KNOWING WHAT WORKS

Central project evaluation

Support to community-based natural resources management (CBNRM), Namibia

Project number: 2015.2209.3

Evaluation Report

On behalf of GIZ by Dr. Stefan Silvestrini (CEval GmbH) and Maxi Louis (CEval GmbH)

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The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.

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Abbreviations

BMCC	Biodiversity Management and Climate Change
BMZ	Bundesministerium für Wirtschaftliche Zusammenarbeit German Federal Ministry for Economic Cooperation and Development
CBNRM	Community-based natural resource management
CRRRF	Conservation Relief, Recovery and Resilient Facility
DWNP	Directorate of Wildlife and National Parks
FGD	Focus group discussion
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH German Development Agency
HWC	Human-wildlife conflict
IRDNC	Integrated Rural Development for Nature Conservation
KfW	Kreditanstalt für Wiederaufbau – German Development Bank
MEFT	Ministry of Environment, Forestry and Tourism
NACSO	Namibian Association of Conservancy Support Organisations
NDT	Namibia Development Trust
NGO	Non-governmental organisation
NNF	Namibia Nature Foundation
OECD/DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development
RCT	Randomised controlled trial
RI	Results indicator
SDG	Sustainable Development Goal
SMART	Specific, measurable, achievable, relevant and time-bound
SSL	Secure sockets layer

The project at a glance

Namibia: Support to community-based natural resource management (CBNRM)

Project number	2015.2209.3
Creditor reporting system code(s)	41030 - Biodiversity, 43042 - Rural development
Project objective	Coherent implementation of the CBNRM policy has improved at all levels (national, regional and local)
Project term	1 January 2017 to 30 September 2020
Project value	EUR 6,800,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Ministry of Environment (Forestry) and Tourism (MEFT) of Namibia
Partner organisations	Directorate of Wildlife and National Parks (DWNP) of the Department of Natural Resources and Parks Management, non-governmental organisations (NGOs) such as Namibia Nature Foundation (NNF), Namibia Development Trust (NDT) and Integrated Rural Development for Nature Conservation (IRDNC); 84 directly supported and 2 indirectly supported communal area conservancies in the Kavango, Kunene and North-Central regions of Namibia (Doc GIZ_54)
Other development organisations involved	-
Development cooperation (DC) programme	Management natürlicher Ressourcen in Namibia [Natural Resources Management in Namibia]
Implementing organisation s of the DC programme	Kreditanstalt für Wiederaufbau (KfW), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), GmbH, Bundesanstalt für Geowissenschaften und Rohstoffe (BGR)
Organisation responsible for implementing and coordinating the DC programme	KfW
Target group(s)	Poor rural Namibians living inside conservancies and community forests, whose livelihoods depend on the effective implementation of the CBNRM policy (Doc_GIZ_15). In particular, management committees and other groups of people with specific functions within community forests the project works with (direct beneficiaries), residents in community forests and conservancies (indirect beneficiaries)
Reporting year CPE	2021
Sample year CPE	2018

1 Evaluation objectives and questions

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

The objective of the evaluation is to inform GIZ about the project's performance and success, and to contribute to planning future activities related to the project objectives by providing evidence-based conclusions and recommendations. Thereby, it should also support the decision-makers in selecting suitable measures for a follow-on-project[1] and support GIZ's accountability towards BMZ. Since the evaluation is carried out at the end of the project implementation phase, it is a final evaluation.

The evaluation is part of the Evaluation Unit's random sample. Accordingly, the main stakeholder groups of the evaluation include the GIZ project management, partner staff of the Ministry of Environment, Forestry and Tourism (MEFT) of Namibia as well as staff of the collaborating non-governmental organisations (NGOs) and communal conservancies. Their primary knowledge interests lie in gathering recommendations on how to improve the project's effectiveness at local and national levels and ensure the sustainability of the impacts achieved at the time of the evaluation. Further stakeholders include the responsible BMZ department as well as the GIZ evaluation department.

1.2 Evaluation questions

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

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

[1] During the kick-off workshop, the evaluation team was informed that there will be no 'direct' follow-on project to this one but that it is planned to integrate some of the project's outstanding activities in a new project, which is a follow-on to its sister project, Biodiversity Management and Climate Change II (PN: 2015.2211.9).

During the evaluation neither the GIZ project, relevant stakeholders nor GIZ's sectoral unit (FMB) have raised any additional questions. With regard to the partners, it has been decided not to ask for their questions, as this could confuse them or raise further expectations.

2 Object of the evaluation

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

2.1 Definition of the evaluation object

The subject of this evaluation is the Support to Community-Based Natural Resource Management project (PN 2015.2209.3) abbreviated with the acronym CBNRM and in the following referred to as 'the project'. The project is regarded as a technical cooperation measure, embedded in the development cooperation programme, Management of Natural Resources in Namibia, funded with an overall budget of EUR 6,800,000 by the German Federal Ministry of Economic Cooperation and Development. It was implemented from 1 January 2017 to 31 December 2020 and builds upon its predecessor project, Biodiversity Management and Climate Change (PN: 2011.2199.5) that was implemented between January 2013 and December 2016.

According to its overall intended goal, the project features Development Assistance Committee (DAC) and BMZ markers for environmental protection and resource conservation (UR: 2) and biodiversity convention (BTR: 2), as well as for gender equality (GG: 1), participatory development/good governance (PD/GG: 1), combatting desertification (DES: 1), climate change, greenhouse gas reduction (KLM: 1) and adaptation to climate change (KLA: 1).

The project operated under fairly good **supportive political conditions** with a government that considers CBNRM as one of its primary development objectives. In 2013, the MEFT and its Directorate for Wildlife and National Parks (DWNP) developed a national CBNRM policy, whose aim

> is to provide a framework that promotes the wise and sustainable use of natural resources on State land outside Protected Areas as well as the promotion of integrated land and natural resource planning and decision-making that considers the most appropriate land uses based on land capability, optimum economic return, environmental and human needs (Doc_MEFT_01).

However, while the policy was subsequently adopted by the Namibian parliament, **appropriate capacities remained to be insufficient** for its implementation at both national and regional levels. Furthermore, conservancy management committees were, in many cases, still limited in the ability to manage the conservancies properly and to improve their long-term revenue situations. Thus, despite an existing legal framework for the sustainable management of the conservancies, DWNP and other actors responsible for implementing the CBNRM policy still did not have the required resources and capacities to implement the CBNRM policy (Doc_GIZ_15).

Accordingly, the project pursued a **multi-level capacity development approach** involving three complementary areas of activity (outputs):

A. Strengthening the capacities of DWNP to implement the CBNRM policy;
B. Promoting standards of good governance in the conservancies; and
C. Improving the revenue situation of the conservancies, integrated community forests and households, which are dependent on natural resources (Doc_GIZ_15).

The project addressed the whole of Namibia, including its current 86 conservancies, in three northern regions of Namibia (Kavango, North-Central and Kunene). From these, 10 conservancies were selected across the three regions and visited during the evaluation by the national consultant for collecting primary data.

Since women play a central role in the project areas, especially with regard to the use of natural resources, agricultural production and the provision of energy, the project put special emphasis on **gender equality** by strengthening the role of women in their communities as well as in the development of value chains and the distribution of generated revenue (Doc_GIZ_15). By supporting the enforcement of Namibia's CBNRM policy and strengthening institutions responsible for implementing it, the project featured a strong linkage to **environmental protection and resource conservation**. Since the project aimed at creating additional employment and income opportunities and advising local communities on how to improve their revenue situations through income diversification, it showed a significant **poverty orientation**. Finally, through its support at the local level and for the management committees of the conservancies and integrated community forests,[2] as well as through its cooperation with the regional and national MEFT departments, the project promoted **good governance standards** and **rural development** (ibid.).

Apart from the above-mentioned MEFT and its DWNP, the key stakeholders of the project on-site were the **conservancy management committees** and other groups of people with specific functions (e.g. farmers/producers, tourism providers) within the conservancies and integrated community forests as well as Namibian NGOs active in the field of CBNRM (i.e. Namibia Development Trust (NDT), Namibia Nature Foundation (NNF) and Integrated Rural Development for Nature Conservation (IRDNC)) and their umbrella organisation Namibian Association of Conservancy Support Organisations (NACSO) in particular. Among these actors, the project played a crucial role as a capacity-building provider and mediator for strengthening the coherent implementation of the CBNRM policy. Its primary target groups were management committees and other groups of people with specific functions within conservancies and community forests. Its indirect beneficiaries comprise the rural population whose livelihoods depend on the effective implementation of that policy, with a total of approximately 100,000 residents in those conservancies being directly supported.

2.2 Results Model including hypotheses

As outlined above, the project aimed at the improvement of a coherent implementation of the CBNRM policy at national, regional and local level (module objective – MO) (Doc_GIZ_01). Thus, it should contribute to equitable access to natural resources and their sustainable management (I1) and hence to the protection of biodiversity, functional ecosystems and the improvement of rural incomes (programme objective I2) (Doc_GIZ_21).

The achievement of the module objective should be indicated by data of the annual reports from conservancies being available in the national CBNRM compliance database, in line with the requirements of the standard operating procedures (Results Indicator RI.1), one additional source of revenue being listed in the annual report of each of 10 communal conservancies or integrated community forests (RI.2), a survey of female members of the conservancies supported by the project revealing a 20% increase in the level of their satisfaction regarding their involvement in decision-making processes and the accommodation of their interests (RI.3), 10 additional communal area conservancies implementing one climate change adaptation measure, in line with their work plans (RI.4), and wildlife management and utilisation plans being applied in five additional communal area conservancies within the project regions (RI.5) (Doc_GIZ_01, 15, 21, 36).

[2] Community forests […] are self-governing entities that are legally recognised by the MEFT. These community organisations manage plant resources in specific areas within the communal lands […], with the dual goal of protecting their resources and improving livelihoods. Community forests receive support from the Directorate of Forestry and NACSO. Cf. http://conservationnamibia.com/factsheets/community-forests.php. Note: Not all community forests are integrated in conservancies although their geographic location may overlap. A different set of governance tools therefore applied for community forests that are not integrated with conservancies, and such community forests were entirely outside the scope of the CBNRM project.

To achieve the module objective, under **activity area (A)**, participatory workshops at all regional branch offices of MEFT were held to prepare work plans in line with the overarching MEFT work plans. Furthermore, training of trainer courses for selected MEFT employees were conducted, aiming at enabling them to work as trainers in various areas (e.g. compliance monitoring, integration, mediation, process support, etc.), as well as training courses for all the relevant actors (i.e. DWNP and conservancy management committees) in the use of the compliance monitoring system, including the possibility of collecting gender-specific data. Finally, Memorandums of Understanding were developed on a participatory basis to formalise cooperation among MEFT, implementing actors (e.g. NGOs, private sector) and the conservancies. The underlying hypothesis was that these activities should strengthen the capacities of the DWNP at headquarter and regional level to implement the CBNRM policy (Output A), which should be indicated by (i) two additional regional CBNRM departments or DWNP sections having adopted one CBNRM-specific work plan (Output Indicator OAI.1); (ii) five courses on CBNRM or related topics being delivered by MEFT staff trained as trainers (OAI.2); and (iii) 80% of the datasets of the Namibian conservancies being accessible online to MEFT staff through the MEFT compliance monitoring database (OAI.3) (Doc_GIZ_21).

Under **activity area (B)**, an auditing approach to identify weaknesses and measure progress in the governance of the conservancies was developed and relevant actors from the conservancies (including NGO field staff and MEFT regional staff) were trained in their gathering and processing of compliance information, including gender-disaggregated data. Furthermore, the project provided logistical, administrative, technical and financial support for the development of an external service provider for assisting the local bookkeepers employed by the conservancies on financial issues. Finally, it implemented climate change vulnerability studies in communal forests and conservancies, and supported the implementation of selected activities to increase the communities' resilience (e.g. fire management, restoration of degraded natural environments, solar-powered water pumps, human-wildlife conflict (HWC) mitigation, horticultural gardens etc.) The hypothesis was that through these activities conservancy management committees should increasingly apply the standards of good governance as set out in the CBNRM policy and its related legislation and regulations (Output B). The application of such standards should be indicated by (i) an audit assessing compliance with the standards of good governance awards in 31+10 communal conservancies with a score of 3 or better on a scale of 1 (very high) to 5 (very low) (Output Indicator OBI.1); (ii) 59 communal conservancies submitting their compliance monitoring data for the compliance monitoring database in two successive years (OBI.2); (iii) five communal conservancies ensuring they have sustainable, high-quality financial management by using external service providers (OBI.3); and (iv) at least one recommendation from vulnerability analyses, including one aspect related to gender, HWC or wildlife crime being implemented in each of the 15 communal conservancies (OBI.4) (ibid.).

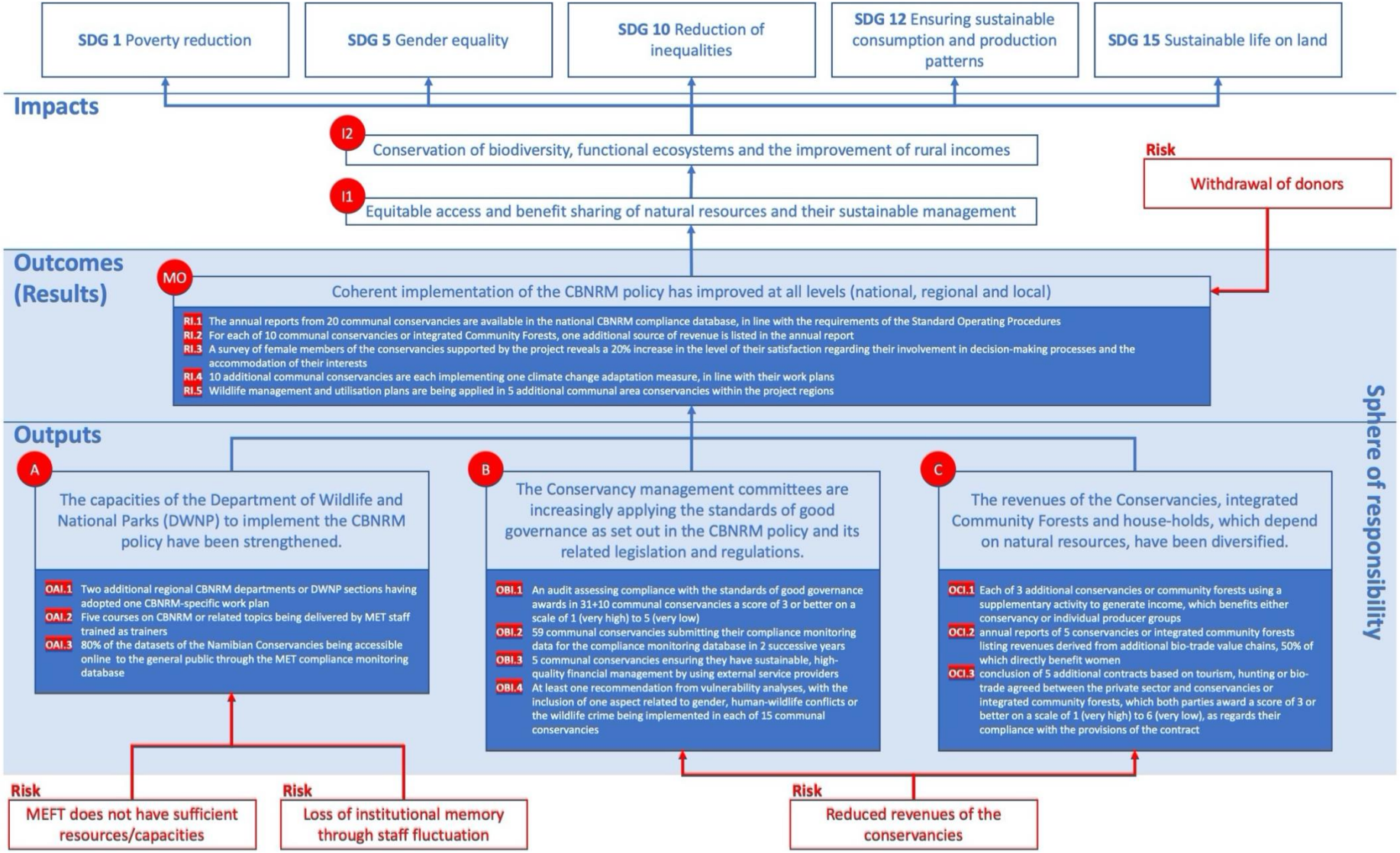
Under **activity area (C)**, the project carried out scoping studies on the potential of innovative income-generating measures, developed approaches for harnessing the value of biological resources, and strategic/technical support for selected value chains, according to their specific needs. They also provided economic and legal advice to conservancies and, where appropriate, integrated community forests in preparing contracts related to tourism concessions, hunting concessions, bio-trade and agreements on benefit sharing, and in meeting the relevant contractual requirements. It is anticipated that these activities will result in diversified revenues of the conservancies, integrated community forests and households, depending on natural resources (Output C). This should be indicated by each of the three additional conservancies or community forests using a supplementary activity to generate income, which benefits both the conservancy and individual producer groups (Output Indicator OCI.1). Moreover, annual reports of five conservancies or integrated community forests should list revenues derived from additional bio-trade value chains, 50% of which should directly benefit women (OCI.2), and the conclusion of five additional contracts based on tourism, hunting or bio-trade agreed between the private sector and conservancies or integrated community forests. These contracts will be scored by both parties with a 3 or better on a scale of 1 (very high) to 6 (very low), regarding their compliance with the provisions of the contract (OCI.3) (ibid.).

Fehler! Verweisquelle konnte nicht gefunden werden. overleaf shows the project's Results Model, oriented a t the model in the annex of the latest project progress report (Doc_GIZ_36) and revised by the evaluation team.

The Results Model shows that the project also faced a number of risks (Doc_GIZ_21, 36). First, the achievement of the module objective was considered to be jeopardised by the continuing withdrawal of more and more donors from Namibia, which was expected to force existing local and national initiatives that support the conservancies to reduce their activities. At output level, the ability of the MEFT to secure the required minimum financial and human resources to effectively manage the implementation of the CBNRM policy was questioned. Furthermore, it was feared that staff fluctuation would lead to a loss of institutional memory. Finally, it was suspected that the revenues of the conservancies could be reduced (e.g. by the exacerbating impacts of climate change on consumptive natural resources and degradation of natural ecosystems, adverse effects of a possible ban on trophy hunting and eventually by the COVID-19 pandemic), which again could impair their management abilities.

Comparing the project proposal (Doc_GIZ_15) and the initial results matrix (Doc_GIZ_01) from 2016 with its revised version from 2019 (Doc_GIZ_21), it turns out that the project's overall goal has been left unaltered throughout its implementation phase. Only target values were adapted in view of implementation conditions, particularly regarding the constraints occurring through COVID-19 in 2020. This finding is also corroborated by a number of interviewees (Int_03, 04, 06, 08, 15, 16, 19, 26), who confirm that there was no need for any fundamental changes in the project objectives.

Figure 1: Current Results Model (April 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

As already outlined in the inception report, all central documents were made available to the evaluation team. The only document missing during the inception phase (i.e. the Excel sheet assigning working months of staff to outputs) was provided as well. The evaluators considered that the documents were complete, comprehensive and of sufficient quality.

Monitoring and baseline data including partner data

The project comes with a quite comprehensive results-based monitoring system whose findings are summarised in an overall monitoring report and several monitoring and evaluating (M&E) reports (Doc_GIZ_45, 46) and implementation reports (Doc_GIZ_33, 47-50, 53). The latter reports particularly focus on COVID-19 and drought-related activities and their results in 2020. According to the project staff, the data from conservancies was collected by MEFT DWNP regional staff with support from relevant NGO staff in the regions. The monitoring results were furthermore summarised in yearly project progress reports for BMZ (Doc_GIZ_34, 35, 36) as well as in a Executive Director's Report, which was provided approximately every two months to the MEFT (Doc_GIZ_26-32). The reports appear to be well aligned with the results matrix and project indicators as well as with the commissioner's and partners' information needs.

The project proposal (Doc_GIZ_15), the results matrix (Doc_GIZ_21) and the monitoring report (GIZ_Doc_33) contain baseline values for each indicator with which the achieved values could be compared. Furthermore, the project monitoring and progress reports (Doc_GIZ_33-36) as well as the operational plans (Doc_GIZ_10-13) contain comprehensive information about the achievement of the module objective over the course of its implementation.

Secondary data

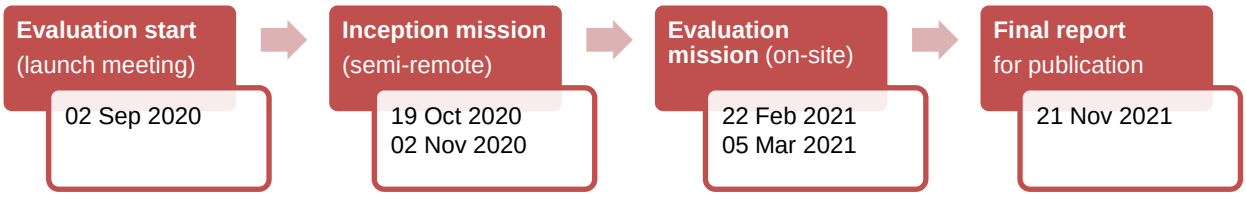
Due to the specific area of intervention of the project and its local containment, the evaluation team could not retrieve substantial secondary (statistical) data for the purpose of triangulation.

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,
- (semi-) remote evaluation (if applicable), and
- context and conflict sensitivity within the evaluation process (if applicable).

Figure 2: Milestones of the evaluation process



Involvement of stakeholders

The evaluation team pursued a participatory approach throughout the data collection and reporting. This included several interactions with the project staff to validate the intermediate findings and to identify potential further issues to be explored. During meetings in the visited conservancy, the management was informed about the purpose of the evaluation and was given the opportunity to add to the topics to be discussed during the interviews and focus group discussions (FGDs).

Selection of interviewees

Key project and partner staff were selected for the interviews during the inception phase, as well as one representative from the German Development Bank (Kreditanstalt für Wiederaufbau (KfW)), who provided a perspective on the programme's other modules and the project's interfaces in particular. Furthermore, a workshop with the project team was conducted to validate the project's Results Model.

The evaluation phase focused on collecting data from the direct and indirect target groups in 10 selected conservancies that the project collaborated with. The selection was purposive, that is, aimed at providing a preferably contextually representative picture in terms of their regional distribution and types of support received, while considering the time and budget constraints, particularly the logistical impediments deriving from the pandemic situation in the country at the time. Interviews were conducted in the visited conservancies with management staff of the conservancies as well as with traditional authorities (i.e. village elders) and community members, respectively conservancy residents. In six cases it was also possible to talk to a local representative of one of the partner NGOs (see Table 1 below). Unlike the initial planning as outlined in the inception report, the national consultant succeeded in gathering data from 10 conservancies with which the project collaborated. Despite a thorough planning, within the conservancies, however, due to time and logistical constraints, the respondents had to be selected by means of a convenience sampling. In other words, the consultant had to take potluck with who was available from the different stakeholder groups when she was there.

In contrast, the initially planned semi-standardised survey among all 86 conservancies did not materialise because most of them did not have an internet connection. So, unfortunately, it was not possible to gather a

representative picture about larger-scale effects the project might have had, respectively the extent to which observable improvements in their compliance with the national CBNRM framework can actually be attributed to the project (see section 4.3 on overachievement of some indicators).

Table 1: List of evaluation stakeholders and selected participants

Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
BMZ	1 f	1 f	-	-	-
GIZ	5 f / 6 m	4 f / 6 m	2 f / 1 m	-	-
GIZ project team, GIZ headquarters Germany					
KfW	1 f	1 f	-	-	-
Senior project manager					
Partner organisations	2 f / 4 m	2 f / 4 m	-	-	-
Ministry of Environment, Forest and Tourism (MEFT), Namibia Nature Foundation (NNF), Integrated Rural Development and Nature Conservation (IRDNC)					
Final beneficiaries/ direct and indirect target groups (sum)					
Orupupa Conservancy • Conservancy staff • Community members • Traditional authority • IRDNC cluster coordinator	 2 f / 5 m 4 f /16 m 4 m 1 m	 4 m 1 m	 2 f / 5 m 4 f /16 m	-	-
Otuzemba Conservancy • Conservancy staff • Community members • Traditional authority • IRDNC cluster coordinator	 4 m 3 f / 8 m 2 m 1 m	 2 m 1 m	 4 m 3 f / 8 m	-	-
Ombombo Conservancy • Conservancy staff • Community members • Traditional authority • IRDNC staff	 9 m 7 m 5 m 1 m	 5 m 1 m	 9 m 7 m	-	-
Uukwaluudhi Conservancy • Conservancy staff • Community members • Traditional authority • NDT staff	 4 m 4 f / 4 m 1 f 1 m	 1 f 1 m	 4 m 4 f / 4 m	-	-
Sheya Shuushona Conservancy • Conservancy staff • Community members • Traditional authority • NDT staff	 2 f / 1 m 10 f / 4 m 1 m 1 m	 1 m 1 m	 2 f / 1 m 10 f / 4 m	-	-
King Nehale Conservancy	 1 m	 1 m		-	-

Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
• Conservancy staff • Community members • Traditional authority • NDT staff	6 f / 2 m 1 f 1 f / 1 m	1 f 1 f / 1 m	6 f / 2 m		
Maurus Nekaro Conservancy • Conservancy staff • Community members • Traditional authority	 4 m 4 m 2 m	 2 m	 4 m 4 m	-	-
Muduva Nyangana Conservancy • Conservancy staff • Community members • Traditional authority	 8 m 4 f / 7 m 3 m		 8 m 4 f / 7 m 3 m	-	-
George Mukoya - Conservancy • Conservancy staff • Community members • Traditional authority	 1 f / 2 m 1 f / 6 m 2 m	 2 m	 1 f / 2 m 1 f / 6 m	-	-
Joseph Mbambangandu Conservancy • Conservancy staff • Community members • Traditional authority	 3 f / 4 m 2 f / 10 m 3 m		 3 f / 4 m 2 f / 10 m 3 m	-	-
Note: f = female; m = male					

Data analysis process

To begin with, it has to be noted that the evaluation is based on an ***ex-post facto*** design, because:

- The **target groups were not selected at random**: to control for so-called unobservable heterogeneity of the target group (i.e. that it differs from the non-treatment group in characteristics that co-determine observable changes/outcomes), randomised controlled trials (RCTs)[3] require randomised selection of beneficiaries. However, the beneficiaries were selected by their location (i.e. living in or close by a conservancy).
- Similarly, it was **not feasible to construct a comparison group** for the target group.
- Project outcomes are partially referring to **changes at institutional and system level**: The project followed a multi-level approach that includes developing capacities at political/governmental level. Since it was not realistic to conduct a country comparison it was also not possible to establish a counterfactual situation for any interventions conducted at institutional level.

[3] RCT: Randomised controlled trial, i.e. a research design in which potential beneficiaries are selected at random into a target group that receives a benefit and a control group that does not. By providing each potential beneficiary the same probability to become a member of any of the groups, bias introduced by unobserved heterogeneity of the population gets controlled for.

To compensate for these deficits and to provide for valid and reliable findings, the evaluation team followed a **theory-based approach** and a **multi-method approach**, when assessing against the OECD/DAC criteria. Thereby, it acquired a thorough understanding about how the project intended to achieve its goals, which measures were implemented therefore, and how they took effect. Furthermore, the roles of the different stakeholders (e.g. MEFT, NACSO, conservancies' managements) involved in the activities as well as their own objectives, strategies and capacities were taken into account. Finally, unintended effects as well as the influence of external factors on the measures' implementation, their effectiveness and their outcomes and impacts were also identified and assessed. Therefore, in the beginning, the intervention logic of the project was reconstructed (as outlined above) by tracing its main impact pathways. The Results Model guided through the data collection process, by highlighting the causal assumptions to be investigated further between output, outcome and impact levels. Eventually, the Results Model was validated by the evaluation as it provided information about the extent to which the causal assumptions between its elements (e.g. activities that focus on income generation and factual income increase and diversification of conservancy households) hold true.

Roles of international and local evaluators

During the inception phase, all interviews with key stakeholders were conducted together with the international and the local evaluator, online with Zoom© or MS Teams©, and discussed afterwards in brief online sessions. This approach facilitated researcher triangulation during analysis and interpretation of the interview findings. It was continued for some further interviews during the evaluation phase. However, as already anticipated, the data collection in the conservancies had to be done by the national consultant only, since it was not possible for the international consultant to travel to Namibia. Furthermore, it was not possible to establish a reliable internet connection during the interviews in the conservancies. Accordingly, the national consultant protocolled all interviews and FGDs in a previously agreed upon standardised format (see annex) and sent the transcription to the international consultant for review. The evaluation team acknowledges that this approach may be prone to bias. Therefore, it attached great importance to closely working together when developing the data collection instruments and assessing the empirical findings. The team met virtually several times to discuss and cross-check results from both the on-site data collection and the document analysis.

4 Assessment according to OECD/DAC criteria

In the following, the evaluation results will be presented, starting with the impact and sustainability of the project's predecessor followed by the assessment of the CBNRM project's relevance, effectiveness, impact, efficiency and sustainability.

Preliminary remark: The structure of this chapter deviates from the current GIZ annotated report structure, as this was not available until after the inception phase. Accordingly, it was agreed to write the inception report on the basis of the old template but the evaluation report on the basis of the new template. This, however, caused some inconsistencies with regard to the assessment dimensions and rating in the effectiveness and sustainability sections. Furthermore, in the former template the aspect of coherence was integrated in the relevance section, which is why this report does not contain a dedicated coherence section, as well. Nevertheless, the evaluation team did their best to provide a coherent report.

4.1 Impact and sustainability of predecessor projects

This section analyses and assesses the impact and sustainability of the predecessor project.

Summarising assessment of predecessor project

The predecessor project Biodiversity Management and Climate Change (BMCC, PN: 2011.2199.5) aimed at a 'coherent implementation of biodiversity and climate-related policies, strategies and practices through the [MEFT] in close cooperation with other ministries and non-governmental actors […] increasingly contributes to diversifying and securing the livelihoods of local users of natural resources' (module objective). For achieving this objective, the project comprised three fields of activities at various levels, including capacity development for the formulation of environmental policies and their implementation at national and regional levels (Field of Activity 1); capacity development for community-based natural resource management under changing climate conditions at regional and local levels (Field of Activity 2); and cross-sectoral mainstreaming of biodiversity, climate change adaptation and green economy (Field of Activity 3). By achieving the module objective, the project would eventually contribute to the German-Namibian development cooperation programme objective, 'a fair access to natural resources and their sustainable management contribute to the conservation of biodiversity, functioning ecosystems and to enhanced income of the rural population' (Doc_GIZ_09).

At a first glance, the evaluation of the predecessor project yielded a rather sobering picture. From the four module objective indicators, only two were partially achieved. The lacking achievements were justified either by indicators being too ambitiously formulated (i.e. the creation of three new income sources), having made no efforts to achieve them (i.e. external audit of the Department of Environmental Affairs of the MEFT) or missing demand from the partner side (i.e. implementation of innovative approaches for mainstreaming biodiversity and climate change adaptation) (ibid). Accordingly, the evaluation concludes that the project has not achieved its module objective as 'no measurable impacts on biodiversity, ecosystems and rural incomes' could be detected and that it is 'hardly visible that [the project's] efforts lead or will lead to more concrete changes of […] policies and programmes' as well as that 'there was little contribution to broader development goals such as sectoral mainstreaming, poverty alleviation and CBNRM so far […]' (ibid).

Nevertheless, the evaluation also indicates that the project could contribute to the programme objective in the long run. This view is shared by the current project manager who states that many processes were taken up and moved forward by the successor project BMCC II, such as the Environmental Management Act process, the promulgation of the Access and Benefit Sharing Act and associated regulations, waste management regulations, as well as the Environmental Impact Assessment (EIA) online system, which is confirmed to be now fully functional. He also points out that the results of policy processes that were initiated by BMCC I take time, and therefore may not be visible in the time frame of a project period. Finally, he highlights that the number of follow-on measures show a sustainable uptake of the results of the BMCC I project, such as the Climate Change and Inclusive Use of Natural Resources programme, BioInnovation in Africa programme, the Climate Action Enhancement Package (CAEP) by the National Determined Contributions partnership, supported through the global GIZ project with an additional EU co-funding of EUR 4 million.

In view of these somewhat contradictory findings, the evaluation team cannot provide a consistent assessment of the sustainability of the predecessor project. On the one hand, it can be assumed that legal frameworks, if further developed and adopted in the future, bear high potential for sustainable implementation. On the other hand, capacity building within the ministry is regarded as an ongoing challenge; this will be further outlined in the effectiveness section 4.3. In sum, it can, however, be agreed with the previous evaluation that further efforts will be required to exploit the up-scaling potential of the pilot activities (Doc_GIZ_09).

Analysis and assessment of predecessor project

In view of the above-mentioned assessment of the predecessor project the four following questions that were outlined in the inception report will be answered:

- To what extent are the results of the predecessor project still visible and of use for the current project? (→Already answered in the section above)
- How did the current project build upon the achievements of its predecessor?
- How was the transition organised between the projects?
- Why has the predecessor project been split into two separate projects within MEFT under two separate departments: the Department of Environmental Affairs and Forestry, and the Directorate for Wildlife and National Parks?

The assessment of the predecessor project is based on a qualitative content analysis of the project's evaluation report and the findings from interviews with current GIZ, KfW and partner staff. Accordingly, the assessment is best described as following a retrospective design.

Since the predecessor project did not appear to yield significant short-term results at outcome level, the question about the extent to which the current project built upon its achievements can only be answered by taking its above-mentioned potential long-term effects into account. Accordingly, while the CBNRM project proposal (Doc_GIZ_15) refers rather briefly to outputs that could be made use of, such as pilot implementations of the CBNRM policy, the identification of options and limitations for creating additional value chains and vulnerability analyses, it also highlights the potential of a continued collaboration with a partner whose needs and capacities are already known. In particular, the long-standing and apparently trustful relationship with the MEFT and the experiences gathered at regional level is viewed as an asset by the project team.

With regard to the transition between the projects, the interview findings indicate there were some turbulences with the political partner at the time. Apparently, there were considerable differences in the perceptions of the different roles and responsibilities between GIZ and MEFT, which resulted in a temporary loss of trust and eventually a clash that almost put the collaboration as such into question, as reported by ministry representatives (Int_02, 14, 31). The findings from the interviews with GIZ and KfW staff (Int_08, 15, 20) confirm that the collaboration with the political partner was quite difficult at the time, due to lacking capacities and unclear responsibilities within the ministry. While four years later it may no longer be possible to unveil the particular reasons, the interviewees' statements led to the conclusion that it may have been rooted in insufficient knowledge about the respective other's mode of operation and associated rules and regulations (e.g. on procurement, work division). There also appeared to be an internal competition within the ministry's departments with whom the project collaborated (i.e. the Department for Environmental Affairs and the Directorate for Wildlife and National Parks).

In one way or another, the conflict, which meanwhile has apparently been resolved, is viewed as the main reason why the predecessor project was split up. Although the project documents give no clue at all in this regard, some respondents (Int_07, 15) state that the decision to continue with two follow-on projects – one operating at national level (i.e. the sister project Biodiversity Management and Climate Change II, PN: 2015.2211.9) and one operating at local level – was due to this conflict. Furthermore, the separation should increase the visibility of the German-Namibian development cooperation (Int_20) and enable GIZ to work closely with the government and, at the same time, with NGOs and the conservancies (Int_07). However, it apparently also resulted in a higher management effort, which is why it is planned to merge the two projects again in the next follow-on project.

Methodology for assessing predecessor project

Table 2: Methodology for predecessor project

Assessment dimension: predecessor project	Basis for Assessment	Evaluation design and empirical methods	Data quality and limitations
Impact of the predecessor project Sustainability of the predecessor project	• The extent to which the results of the predecessor project are still visible and of use for the current project, • How the current project built up upon the achievements of its predecessor, • How the transition between the projects was organised, • Reasons why the predecessor project has been split up into two separate projects.	**Evaluation design:** *Ex-post facto* design. **Empirical methods:** Interviews, qualitative content analysis.	• Possibility of data/method triangulation: Results of project evaluation (Doc_GIZ_09) are compared with interview findings. • Evidence strength: moderate.

4.2 Relevance

This section analyses and assesses the relevance of the CBNRM project.

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	30 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	25 out of 30 points
	Appropriateness of the design	20 out of 20 points
	Adaptability – response to change	15 out of 20 points
Relevance total score and rating		Score: **90 out of 100 points** Rating: **Level 2: successful**

In total, the relevance of the project is rated as Level 2: successful, with 90 out of 100 points.

Analysis and assessment of relevance

The project's relevance is assessed along four analytical dimensions: the alignment of the project concept with **relevant strategic frameworks**, with the **needs and capacities of its beneficiaries and further stakeholders**, the **adequacy of its design** for achieving its objectives, and its **adaptability to changing conditions**.

The assessment is based on the analysis of policy and strategy papers as well as project documents that provide information on the project's goal design. Furthermore, findings from interviews with the political partner (MEFT) as well as interviews and FGDs with conservancy managements and residents are taken into account as empirical data sources. Thereby, particularly the project's alignment with beneficiaries' needs could be

triangulated by empirical and documentary data sources. Given the accessible documentary data sources and the fact that beneficiaries in all 10 conservancies could be consulted, the **evidence is regarded as being good**.

Relevance dimension 1: Alignment with policies and priorities

The alignment of project with policies and priorities is assessed on the basis of the coherence of its objectives with **national frameworks and development strategies**, the **BMZ country strategy** and **relevant Sustainable Development Goals (SDGs)**, as well as of its **complementarity with partner efforts**.

Three documents in particular provide information for assessing the project objectives' coherence with national frameworks and development strategies: (i) the 5th National Development Plan (NDP5, Doc_NamGov_03), which outlines the government's social, economic and environmental development strategy; (ii) the National Policy on Community-Based Natural Resource Management (Doc_MET_01); and (iii) the Revised National Policy on Human-Wildlife Conflict Management (Doc_MET_02). Furthermore, findings from the interviews with MEFT representatives can be used as confirmatory empirical data.

The NDP5 names four pillars for sustainable development, with **Environmental Sustainability** being one of them. Within that pillar the 'sustainable management **and** utilization of natural resources' is declared as a desired outcome of national environmental policy. For achieving this outcome, four spheres of action are declared, including the safeguarding of 'ecosystems, species and genetic diversity by **improving the management of protected areas** through upgraded infrastructure' and '**measures to combat poaching, illegal trade of natural resources and lessen human-wildlife conflict**', and enhancing 'value addition and the sustainable utilization of biodiversity' by increasing 'benefits to communities through […] the **growth of a bioeconomy based on sustainable commercialisation and value addition**' (Doc_NamGov_03).

The aims of the National Policy on CBNRM comprise, among others, empowering 'rural populations to be **actively engaged in and benefit from the management of natural resources** without compromising on biodiversity conservation', increasing 'the **yields of benefits derived from natural resources** on communal land' and to '**enable communities to collectively engage in environmental and natural resource monitoring**'. Regarding the community management of natural resources in particular, the policy specifies the establishment of 'a framework that provides incentives for communities to **manage natural resources in a sustainable manner**', 'the **creation of job opportunities and skills** for community participation in natural resources management' and the promotion of '**integrated conservation and CBNRM strategies** based on sound scientific principles and practices' as objectives (Doc_MET_01).

Finally, the National Policy on HWC pursues the goal 'to provide **measures and approaches to manage and reduce human-wildlife conflict** in Namibia' to reduce the number of incidents by 80% within five years. Therefore, among others a '**standardized monitoring system for human wildlife conflict management**' and '**innovative mechanisms to reduce the level of human wildlife conflict**' should be established (Doc_MET_02).

Comparing the above-outlined national objectives and strategies for achieving them with the results logic of the CBNRM project, it is clear that the project is very well aligned with these and that it **directly supports the government's efforts** by working towards some of its specific objectives. First, the project's objective can be regarded as a key prerequisite for the government's declared outcome of a sustainable management and utilisation of natural resources. The module objective indicators relate directly to the policy fields of action, including outcomes relevant for **managing protected areas** (see section 2.2, RI.1), **reducing human-wildlife conflicts** (RI.5) and **increasing the communities' benefits from the use of natural resources** (RI.2).

Likewise, the project features a **strong linkage to Namibia's CBNRM policy** by supporting conservancies in increasing revenues from the sustainable use of their natural resources and developing a comprehensive monitoring system. It eventually adds to the reduction of human-wildlife conflicts by including wildlife management and utilisation plans into the monitoring.

In sum, the findings from the document analysis indicate that the **CBNRM project is very well aligned with national policies and priorities**. This finding is corroborated by the results from the interviews with the political partner, whose representatives state that the project is part of their workplan for achieving their development goals in the sphere of natural resource management. They further confirm that, while pursuing a slightly different approach (see section 4.3 for further information), the **project activities complement their own measures to the widest extent** (Int_02, 14, 31).

The German-Namibian development cooperation is guided by the cornerstones for a **Marshall Plan with Africa** as the general orientation and takes up the principle of '**promote and challenge**' formulated therein. It is further guided by the 2030 Agenda, the Regional Integrated Strategic Development Plan, the Agenda 2030 and the NDP5, and particularly the 'game changers' identified in them: (i) investment in infrastructure development; (ii) increased agricultural productivity; (iii) investment in vocational training; and (iv) improved natural resource value addition and industrial development' (Doc_BMZ_01).

Focusing on natural resource management as one of the **core areas of German-Namibian development cooperation**, with the overarching goal to improve the use of natural resources for economic development in an ecologically, economically and socially sustainable manner, it can be concluded that the **project is also well aligned with BMZ's latest country strategy**.

With regard to the project's alignment with the SDGs, a linkage to poverty reduction (SDG 1), gender equality (SDG 5), ensuring access to affordable, reliable, sustainable and modern energy (SDG 7), reducing inequalities (SDG 10), ensuring sustainable consumption and production patterns (SDG 12), taking urgent action to combat climate change and its impacts (SDG 13), and sustainable life on land (SDG 15) can be acknowledged. In view of the module objective and therefore implemented measures these **assignments appear plausible**, although displaying varying relevance in practice. While on the one hand the project activities include **many efforts to reduce poverty and ensure sustainable use of natural resources**, on the other hand **reducing inequalities, particularly between the sexes** are rather to be regarded as **secondary goals**.

In view of the Namibian government's efforts to enforce its CBNRM strategy, for instance through establishing a natural resource monitoring with annual game counts, human-wildlife conflict monitoring and management within the framework of its 2017 revised HWC Policy or the HWC Self-Reliance Scheme, the **project measures appear to be well in line** at both national/policy level and at regional level. For instance, while the idea formulated in the National Policy on CBNRM (Doc_MET_01) to establish a 'permanent CBNRM service agency and extension approach' may not (yet) have materialised, the project's efforts to develop and implement a database therefore, point in that direction, as it allows its staff to digitise its monitoring tasks, which before had to be done manually.

In view of these findings, the relevance dimension 1 – Alignment with policies and priorities – scores **30 out of 30 points.**

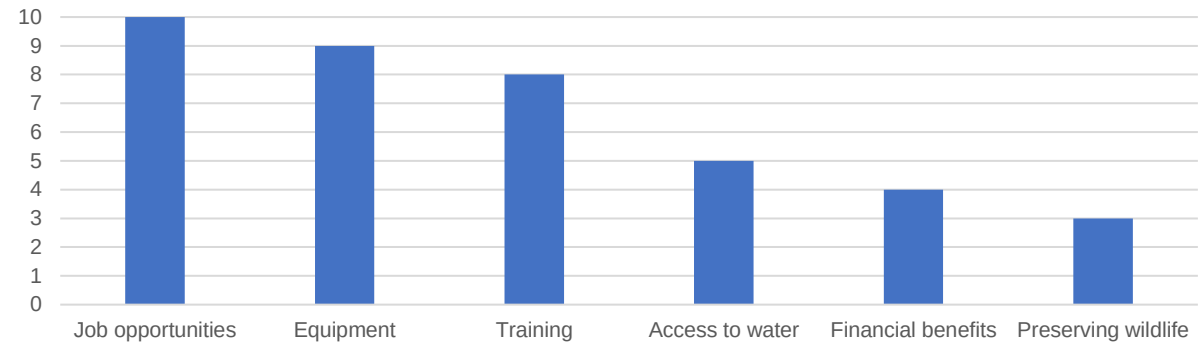
Relevance dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders

Alignment of project objectives with the needs and capacities of the beneficiaries and stakeholders is assessed on the basis of the coherence of its objectives with needs of conservancies' management and residents. Furthermore, the viability of achievement of project objectives is being assessed.

The needs of the target groups at regional level, that is in the conservancies, are identified through FGDs with residents and interviews with the conservancy management and traditional authorities. At national level, the target groups' needs were collected by interviews with MEFT representatives. Further stakeholders' needs and capacities are included by interviews with staff from key collaborating NGOs, that is from NACSO, NNF, IRDNC and NDT.

The FGDs with conservancy residents (FGD_11-20) yield a clear picture about their main needs with **job opportunities** being the most relevant. In all 10 visited conservancies the **lack of possibilities to generate an income**, respectively to make a living from natural resources has been highlighted by the participating residents. The second most often mentioned need was **improved equipment for game guards** (9/10), including transportation and protective gear, followed by **further training** (8/10). Interestingly, further (direct) financial benefits and the need for preserving wildlife was only mentioned in comparatively few cases (4, respectively 3/10). It is also worth noting, that in half of the conservancies apparently **access to water** is deemed to still be improvable. Further needs mentioned by the conservancy residents comprise **more protection against human-wildlife conflicts**, **infrastructure support** and **investments into tourism**. The following figure provides an overview of the number of conservancies in which the particular needs were stated by conservancy residents during the FGDs.

Figure 3: Needs stated by conservancy residents, by number of conservancies



The findings from the FGDs with the conservancies' management (FGD_01-10) closely follow this picture. While sharing a more institutional perspective, and thus more often referring to **funding and capacity needs**, they agree with the residents' **need for more opportunities for jobs and income generation**. Furthermore, they also highlight **human-wildlife conflicts** being still a severe problem that has not yet been solved and that increasingly compromises the residents' belief in the CBNRM approach in general. Eventually, management staff refers to **COVID-19 having exacerbated the conservancies' needs for support**, due to ceased revenue-generating possibilities through tourism.

Ministry and NGO representatives (Int_02, 09, 10, 11, 14, 22, 23-25, 30, 32) highlight even more **capacity-building needs** as being their first and foremost challenge. Although MEFT staff name more **personnel and financial capacities** being most required, the NGOs refer rather to **technical capacities** to extend their fields of actions and improve their support to the conservancies. While increasing those technical capacities also requires funding, they refer to **technical knowledge**, and relevant training needs in particular. Interestingly, **gender aspects** were not mentioned in any of the FGDs or interviews in the conservancies, nor with the partner organisations.

In light of these findings the project appears to be **widely aligned** with the needs of the target groups and further stakeholders. The project worked towards solving one of their key problems by supporting the creation of job opportunities and income for conservancy residents. Also by providing capacity support to the MEFT and NGOs it aimed to satisfy their demand for technical knowledge and skills; and, furthermore, mitigated their lack of adequately qualified national and regional staff.

Finally, coming to the viability of the project's objective achievement, the issue has to be broken down into three subjects, which directly relate to the levels at which the CBNRM project worked: the national/government level, the regional/ institutional level, and the local/ beneficiary level. Therefore, the questions are: Was it viable to enable the MEFT (respectively its Department for Wildlife and National Parks) to adequately implement the CBNRM policy? Was it viable to capacitate the conservancies' management bodies to comply with that policy? And, Was it viable to increase the revenues in the conservancies based on sustainable natural resource management, so that the residents can make a living from it? In short, the answers could read as: Somewhat yes; somewhat no; and hard to tell.

The evaluation team judged that the **project's ministry-level activities were adequate and comprehensive** in principle for enabling the DWNP to establish and implement a coherent policy framework for CBNRM. The fact that it **did not fully succeed** in doing so can be **attributed to external factors** which were not anticipated (such as the COVID-19 pandemic and that Namibia suffered a severe drought). These will be discussed in the effectiveness section (4.3). While according to annual CBNRM good governance audits, apparently the number of conservancies that were compliant with CBNRM good governance standards, including financial management, increased from 27 in 2017 to 47 in 2019 (Int_26). The FGD results suggest that some are not yet able to fulfil the technical prerequisites to provide monitoring data of sufficient quality and to establish and implement a sustainable financial management.

Further efforts will probably be necessary in the future to bring the entire stakeholder group to a sufficient knowledge and skills level. Eventually, concerning the conservancy residents' income and job opportunities, their current situation, again as captured during the FGDs, cannot really tell if achieving the project objective at their level was viable. The **influence of COVID-19 has largely thwarted the project's efforts** and made it impossible to trace the benefits it might have brought. At least the project's monitoring data (Doc_GIZ_33) and progress reports that were issued before the effects of the pandemic started to spread (Doc_GIZ_34-36) allowed the evaluation team to conclude that the project was on its way to improve the livelihood situation in the conservancies, at least to some extent.

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

Relevance dimension 3: Appropriateness of the design

The appropriateness of the project design is assessed on the basis of the quality of its Results Model and the plausibility of its inherent causal hypotheses, the adequacy of the instruments, activities and outputs for achieving project objective, and the extent to which external factors were considered. Unfortunately, within the scope of the evaluation, it was not possible to conduct a comparative analysis of the project's design with similar projects. Instead, its **results logic was analysed descriptively** with particular focus on the traceability and plausibility of its inherent causal assumptions under consideration of the conditions in which it operated.

As outlined in the description of the evaluation object (see chapter 2), the **project followed a multi-level approach** including the collaboration with stakeholders at national/ government, regional/ conservancy and local/ beneficiary levels to achieve its module objective. This makes absolute sense in view of the fact that a coherent policy implementation requires all parties to have the right capacities to do so. While the government

needs the capacity to provide the overall regulatory framework, the conservancies need the skills to comply with it and the conservancy residents need the possibility of making a living from the natural resources in the conservancies. Also, the **contribution of the module objective to overarching development impacts and the associated SDGs is plausible**. Accordingly, from an analytical viewpoint, the project's **results logic and the assumptions associated with it are well thought through**.

In principle, **all support measures**, including training, advisory and technical support **are considered adequate**. Only the **digital monitoring system has apparently not yet been adequately adapted to the technological capacities of its users**. While it has been successfully installed, some issues still need to be resolved that will ensure adequate application by its users. According to the latest progress report (Doc_36) and a number of interviewees, the system still faces some challenges with regard to its accessibility and correct application.

These findings relate to the assessment of the project's instruments. According to the progress reports, the project was implemented by two international long-term experts, one development worker, two national experts and one national junior IT expert. While one international long-term expert was responsible for the overall project management and support to the MEFT, the other coordinated the support to regional DWNP offices and conservancies. The development worker and the national junior IT expert finally implemented the digital CBNRM monitoring system. In view of the above-outlined assessment of the adequacy of the support to the conservancy managements, it can be concluded that a more facilitating approach, bringing together IT expertise, would have potentially been more successful.

The project's proposal and progress reports indicate that the planners and implementers were quite **aware of external factors** that may jeopardise goal achievement. As already outlined in the Results Model, four risks were anticipated. In particular: (i) insufficient personnel and financial resources of the MEFT, therewith associated staff fluctuation; (ii) limited revenues in conservancies, mainly through droughts; (iii) the effects of climate change; and finally (iv) withdrawal of other donor organisations. While all of these factors were beyond the control of the project, it nevertheless directly worked towards **mitigating the negative effects at both the ministry level and conservancy level** by providing continuous capacity building and technical support.

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

Relevance dimension 4: Adaptability – response to change

The adequacy of project adaptations is assessed on the basis of its progress reports (Doc_GIZ_34-36), its special drought support M&E reports (Doc_GIZ_45, 46, 49, 50) and its COVID-19 special reports (Doc_GIZ_47, 48). Furthermore, interviews and FGDs with MEFT, conservancy management and residents were used to validate the findings from the document analysis.

Going by the reports, **until the end of 2019 no considerable changes** as regards the needs and capacities of the project's partners and target groups could be detected. Consequently, in order to ensure the project's achievements, it was extended by a further 12 months until the end of 2020. During that last year of implementation, particularly emergency aid measures for conservation areas coping with the ongoing drought at the time were planned. Therefore, the project budget was increased, with the additional resources for providing drought-resistant seeds and fertilisers, restoring water infrastructure, and providing capacity support for increasing drought resilience (Doc_GIZ_45, 46, 49, 50).

However, further **adaptations were necessary when COVID-19 broke out** in early 2020, forcing the project staff to work partly from home and delaying activities. The negative effects of the pandemic on goal achievement, as documented in the project's results monitoring (Doc_33) comprise **dropouts of audits and**

meetings and, thus, **missing annual conservancy reports** as well as **general cutbacks of activities** in the conservancies, including tourism and hunting.

The project responded to this unforeseen challenge with counter measures, including information and education campaigns about infection risk prevention and hygiene behaviour as well as the provision of masks, disinfectant and other relevant equipment. Furthermore, the project commissioned an **assessment of the pandemic's impacts in conservancies with respect to gender** to develop recommendations for future interventions. Eventually, it provided **technical and financial support to the Conservation Relief, Recovery and Resilience Facility**, which was established by MEFT to mitigate the negative impacts of climate change.

While the project's reactions to the changing environmental and health-related conditions appear to be adequate and comprehensive, the findings from the empirical data collection yield a more critical picture. A number of respondents in the conservancies (FGD_01-10, 13, 14, Int_01, 05, 12, 17, 21, 23, 27, 28) state that living conditions worsened, people have lost their jobs and livestock, and that crime has increased. On the whole, it appears that while the project has taken the right steps to mitigate the consequences of the deteriorating implementing conditions, at least for the conservancies visited, it did not fully succeed in providing sufficient support to all of its target groups.

Relevance dimension 4 – Adaptability: response to change – scores **15 out of 20 points.**

Methodology for assessing relevance

Table 4: Methodology for assessing OECD/DAC criterion: relevance

Relevance: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Alignment with policies and priorities	Alignment of project objectives • with national frameworks and development strategies, • with BMZ country strategy and relevant sectoral concepts, and • with relevant SDGs. Complementarity of project with partner efforts.	**Evaluation design:** *Ex-post facto* design **Empirical methods:** Interviews, FGDs, qualitative content analysis	• Availability of data: BMZ strategy papers, MEFT policy papers on CBNRM and HWC, Namibian development strategy, • Collection of additional data: conservancy residents, • Possibility of data/ method triangulation: source triangulation possible to some extent by comparing feedback from conservancy residents with national policy papers, • Evidence strength: moderate.
Alignment with the needs and capacities of the beneficiaries and stakeholders	Alignment of project objectives • with needs of conservancies' residents, and • with needs of women in particular. Viability of achievement of project objectives.		
Appropriateness of the design*	• Quality of Results Model and plausibility of its inherent causal hypotheses, • Adequacy of instruments, activities and outputs for achieving project objective, and • Consideration of external factors.		

Relevance: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Adaptability – response to change	• Consideration of and adaptation to changing conditions.		

4.3 Effectiveness

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

Summarising assessment and rating of effectiveness

Table 5: Rating of OECD/DAC criterion: effectiveness[4]

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	30 out of 40 points
	Contribution to achievement of objectives	25 out of 30 points
	Unintended results	10 out of 15 points
	Monitoring and exploitation of unintended positive results	10 out of 15 points
Overall score and rating		Score: **75 out of 100 points** Rating: **Level 3: moderately successful**

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

Analysis and assessment of effectiveness

The project's effectiveness is assessed according to four analytical dimensions: (i) the extent to which the project **achieved its objective** (outcome) on time and in accordance with the project objective indicators; (ii) the extent to which its **activities and outputs contributed substantially to the project objective achievement**; (iii) the **occurrence of (unintended) negative results** and the **project's response** to these and the **occurrence of additional (not formally agreed) positive results;** and (iv) the **exploitation of opportunities to create such additional positive results**.

The assessment of the project's effectiveness is based on the analysis of its proposals (Doc_GIZ_06, 15), results matrix (Doc_GIZ_01), operational plans (Doc_GIZ_10-13), progress reports (Doc_GIZ_34-36), results-based monitoring report (Doc_GIZ_33) and mid-term gender assessment (Doc_GIZ_25). Furthermore, findings from interviews with project and partner staff as well as FGDs with conservancy managements and residents are used as empirical data sources for data triangulation.

Effectiveness dimension 1: Achievement of the (intended) objectives

Under dimension 1, the evaluators assess the extent to which the agreed project objective (outcome) has been achieved, measured against the objective indicators, as well as the quality and SMARTness of the indicators, and the necessity of additional project objective indicators to adequately reflect the project objective.

[4] Rating dimensions and target scores were adapted to format of the old report template. See preliminary remark on page 17.

According to the project's results-based monitoring report, at the end of its implementation period **four out of five outcome indicators were overachieved**. Instead of 10 communal conservancies listing one additional source of revenue in their annual reports (RI.2), by December 2020, 29 had done so. Moreover, the number of conservancies whose **environmental management capacities increased** (including climate change adaptation measures) has been far exceeded with 53 instead of 10 reporting to implement at least one climate change adaptation measure in line with their work plans (RI.4); and eight instead of five applying wildlife management and utilisation plans (RI.5). Also, the **women's satisfaction level** regarding their involvement in decision-making processes and the accommodation of their interests (RI.3) improved by 6 percentage points more than envisaged. However, only **12 instead of the targeted 20 annual reports from conservancies are available in the national CBNRM compliance database**, in line with the requirements of the standard operating procedures (RI.1).

While the project does not provide any further explanation for the overachieved indicators[5] (see further details in section 4.5 on project efficiency), the underachievement of the latter is reasoned to be due to the **negative impact of COVID-19** and some **technical difficulties**, having hindered the conservancies to submit their reports to the database. While the lack of a valid SSL certificate[6] is certainly an obstacle for accessing a digital database, the justification that reports could not be entered because no annual general meetings were held in 2020 (see Doc_GIZ_33, p. 2) escapes the evaluation team.

Furthermore, a closer look at the mid-term gender assessment (Doc_GIZ_25) raises concerns about the validity and reliability of the achieved value for RI.4. Although, as outlined in the following section, the indicator can be principally regarded as being sufficiently SMART, its actual measurement is **methodologically inappropriate**. First, the data was collected through FGDs, a primarily qualitative instrument that is unsuitable for providing quantitative findings. Second, as the consultant who conducted the assessment states herself, the **results are not representative** due to the different sampling strategies applied during the baseline in 2017 and at mid-term in 2019 (i.e. different sample sizes and locations, different composition of FGDs, different data collection settings). Third, the **indicator does not comprehensively represent what actually has been measured**. While during the observation period the women's satisfaction with their involvement in decision-making processes and accommodation indeed increased, at the same time their **satisfaction with the allocation of resources decreased by 14 percentage points**. Thus, and also in view of the primary data collected during the evaluation, the evaluation team puts the (over-) achievement of this indicator into question.

In sum, these findings lead to a rather **mixed assessment** of the achievement of the project outcome indicators (see Table 6 overleaf).

In addition to the methodological concerns regarding RI.4, it is further questionable in how far the indicators **comprehensively reflect the achievement of the project objective**. While they provide quantitative information about the extent to which the stakeholders succeeded in a coherent implementation of the CBNRM policy, there is also a qualitative side to these achievements, which is not reported in the indicators.

As regards the three indicators that were apparently overachieved (RI.2, RI.4, RI.5), questions arise such as, **which additional revenues** were found and how (much) did they actually contribute to the livelihood of the conservancy residents, or **what kinds of climate change adaptation** measures were introduced and how did they actually benefit the target groups. Also, the way **in which wildlife management and utilisation plans**

[5] It has to be noted that the project's results-based monitoring report, despite being laid out in its structure, does not provide explanations for achieved indicator values. Instead, the 'explanatory notes' mainly provide information about the measures that were implemented in order to achieve the target values.

[6] SSL stands for Secure Sockets Layer, which is a cryptographic protocol for secure data transfer on the internet. It is usually required for the transmission of personal or confidential data such as financial information. In order to safely transmit the data, the hosting website has to have an SSL certificate with which it 'proves' its authenticity for the user. In order to ensure data security, such certificates are only issued by organisations which again have to be accredited by the governments of their home countries. Furthermore, they are usually only valid for a certain period and, thus, need to be re-applied for on a regular basis. An expired SSL certificate leads to the internet browser not opening the website and/or submitting data to it.

are implemented in the different conservancies would probably need to be scrutinised further to really tell if the policy implementation can be regarded as being generally coherent. As will be further discussed in the impact section (4.4), the project's contributions to such higher-level impacts were rather limited. Thus, it has to be concluded that **further qualitative project objective indicators** would have been necessary for reflecting the achievement of the project objective to its full extent.

The evaluation team comes to the conclusion that while formally three out of five project objective indicators were fully achieved by the end of the project, these do **not sufficiently reflect the achievement of the project objective**.

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **30 out of 40 points.**

Table 6: 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)
RI.1 The annual reports from 20 communal conservancies are available in the national CBNRM compliance database, in line with the requirements of the standard operating procedures. Base value (01/2017): 0 Target value (12/2020): 20 Current value (12/2020): 12 Achievement in % (12/2020): 60% Source: Project monitoring, project and partner staff	The indicator is sufficiently specific, was apparently measurable, as well as in principle achievable by the project. The indicator is also relevant to the project objective and since it refers to its overall implementation period, it is also time-bound.	No change.
RI.2 For each of 10 communal conservancies or integrated Community Forests, one additional source of revenue is listed in the annual report. Base value (01/2017): 3 Target value (12/2020): 10 Current value (12/2020): 29 Achievement in % (12/2020): 290% Source: Project monitoring, project and partner staff	The indicator is sufficiently specific, was apparently measurable, as well as in principle achievable by the project. The indicator is also relevant to the project objective and since it refers to its overall implementation period, it is also time-bound.	No change.
RI.3 A survey of female members of the conservancies supported by the project reveals a 20% increase in the level of their satisfaction regarding their involvement in decision-making processes and the accommodation of their interests. Base value (01/2017): 50% Target value (12/2020): 70% Current value (12/2020): 76% Achievement in % (12/2020): 109% Source: Project monitoring, mid-term gender assessment, project staff	The indicator is sufficiently specific, was apparently measurable, as well as in principle achievable by the project. The indicator is also relevant to the project objective and since it refers to its overall implementation period, it is also time-bound. The formulation of the indicator is, however, not correct. An increase of 20% (of 50%) would mean an increase by 10 percentage points, since 1% of 50% is 0.5%.	A survey of female members of the conservancies supported by the project reveals an increase in the level of their satisfaction regarding their involvement in decision-making processes and the accommodation of their interests by 20 percentage points.
RI.4 10 additional communal conservancies are each implementing one climate change adaptation measure, in line with their work plans. Base value (01/2017): 0 Target value (12/2020): 10 Current value (12/2020): 53	The indicator is sufficiently specific, was apparently measurable, as well as in principle achievable by the project. The indicator is also relevant to the project objective and since it refers to its overall implementation period, it is also time-bound.	No change.

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)
Achievement in % (12/2020): 530% Source: Project monitoring		
RI.5 Wildlife management and utilisation plans are being applied in five additional communal area conservancies within the project regions. Base value (01/2017): 0 Target value (12/2020): 5 Current value (12/2020): 8 Achievement in % (12/2020): 160% Source: Project monitoring, project and partner staff	The indicator is sufficiently specific, was apparently measurable, as well as in principle achievable by the project. The indicator is also relevant to the project objective and since it refers to its overall implementation period, it is also time-bound.	No change.
* SMART: specific, measurable, achievable, relevant and time-bound		

Photo 1: Focus group discussion with conservancy management in Otuzemba conservancy (Source: Maxi Louis).

Effectiveness dimension 2: Contribution to achievement of objectives

Under dimension 2 it is assessed to what extent the agreed project outputs were achieved, measured against the output indicators, if additional output indicators were necessary, and to what extent the project's outputs contributed to the achievement of the project objective. Furthermore, internal and external factors that contribute to or impede project objective achievement as well as alternative explanatory factors for project objective achievement are analysed.

According to the project's results-based monitoring and progress reports, all three outputs were achieved, with most of their (quantitative) indicators again being overachieved; a finding which was also confirmed by the project staff (Int_04, 06, 16, 26, WS_01).

With three additional DWNP divisions having included CBNRM activities into their work plans (OAI.1, planned: 2), MEFT staff who were trained as trainers having delivered five courses on CBNRM or related topics (OAI.2, planned: 5), and all datasets of the Namibian conservancies being accessible through the DWNP monitoring system (OAI.3, planned: 80%), **three out of four indicators for Output A** (i.e. the institutional capacity of

DWNP to monitor compliance and conservancy good governance has improved) **are achieved**. As regards the fourth indicator, due to the restricted activities in 2020, only three instead of four planned agreements between MEFT, support organisations and communal conservancies could be signed (OAI.4).

For Output B (i.e. increased application of good governance standards in line with the Guidelines for Management of Conservancies and standard operating procedures) **all indicators were overachieved**. In particular: 17 instead of 10 additional communal conservancies scored well[7] in an audit assessing compliance with the standards of good governance (OBI.1), 29 instead of 20 additional communal conservancies submitted their compliance monitoring data for the compliance monitoring database in two successive years (OBI.2), 16 instead of 5 communal conservancies ensured sustainable, high-quality financial management with the support of external service providers (OBI.3) and 67 instead of 15 recommendations from vulnerability analyses were implemented in the communal conservancies, with the inclusion of one aspect related to gender, human-wildlife conflicts or wildlife crime.

As regards **Output C** (i.e. conservancies are deriving revenue from additional income sources) only two of the **three indicators were overachieved**. Apparently 29 instead of 3 additional conservancies are using a supplementary activity to generate income, benefiting either the conservancy or individual producer groups (OCI.1), and the annual reports of seven instead of five conservancies are listing revenues derived from additional bio-trade value chains, 50% of which directly benefit women (OCI.2). The last indicator – i.e. the conclusion of five additional contracts based on tourism, hunting or bio-trade between the private sector and conservancies, which are scored well[8] by both parties (OCI.3) – however, could not be achieved. At the end of the project term no contract was concluded since the contract template was not yet approved by the the Attorney General' Office (Doc_GIZ_33).

In light of this at first glance **impressive overachievement** of all bar two output indicators, the rather moderate assessment of the project's outcome achievement in the previous section again raises the question about the **comprehensiveness of the indicator set** to reflect its outputs. As will be further discussed in the next section on impact, at least for Output C it appears that the number of conservancies using supplementary activities for generating income and listing revenues deriving from these activities **does not provide a full picture about the contribution of these outputs to the outcome achievement at conservancy level**. Again, it appears that **further qualitative indicators would have been necessary** to be comprehensive in that regard.

In the following table, three particular results hypotheses from the project's theory of change are validated. The hypotheses were selected so that all three project outputs are reflected, that is, one focuses on its support at national (MEFT) level, one at regional (conservancy management) level and one at local (conservancy residents) level.

Table 7: Selected results hypotheses for effectiveness – hypothesis 1

Hypothesis 1 (activity – output – outcome)	Providing training of trainer courses for selected MEFT employees (**activity**) enables them to disseminate their knowledge and thus increases the capacities of the DWNP (**output**). The DWNP will use these capacities to develop and enforce a regulatory framework for a coherent implementation of the CBNRM policy at national level (**outcome**).
Main assumptions	• Sufficient and adequately qualified staff to be trained at MEFT is available. • Trained MEFT staff is willing and able to disseminate their newly acquired knowledge. • The ministry has an own interest to develop and enforce a regulatory framework for a coherent implementation of the CBNRM policy.

[7] That is, 3 or better on a scale of 1 (very high) to 6 (very low).

[8] That is, both parties award a score of 3 or better on a scale of 1 (very high) to 6 (very low), as regards their compliance with the provisions of the contract.

Risks/unintended results	• Not sufficient and adequately qualified staff to be trained at MEFT being available and/or trained staff leaves the ministry (brain drain). • Trained MEFT staff does not have the resources to disseminate their newly acquired knowledge within the ministry. • The ministry has other priorities than to develop and enforce a regulatory framework for a coherent implementation of the CBNRM policy.
Alternative explanation	None
Confirmed/partly confirmed/not confirmed	According to the project's monitoring report (Doc_GIZ_33) and operational plan (Doc_GIZ_13), the hypothesis can be confirmed. At the end of the project, the trained ministry staff delivered five regional dissemination training courses and has planned two more. According to the ministry (Int_02, 14, 31) and NGO staff (Int_10, 22, 25), these training courses were successful and, thus, can be considered an adequate means for facilitating the regulatory framework for implementing the CBNRM policy.

Table 8: Selected results hypotheses for effectiveness – hypothesis 2

ypothesis 2 (activity – output – outcome)	The provision of logistical, administrative, legal and financial support for developing an external service provider for financial and legal issues (**activity**) improves the conservancy management's capacities to apply the standards of good governance (**output**) in order to comply with the CBNRM policy at regional level (**outcome**).
Main assumptions	• Sufficient and adequately qualified conservancy management staff to be supported is available. • Consulted conservancy management staff has the financial and technical resources to implement the standards of good governance. • The conservancy managements have an own interest to apply these standards of good governance.
Risks/unintended results	• Sufficient and adequately qualified conservancy management staff to be supported is not available and/or leaves the management (brain drain). • Consulted conservancy management staff not sufficient has the financial and technical resources to implement the standards of good governance. • The conservancy managements have conflicting interests, which impede the application these standards of good governance.
Alternative explanation	None
Confirmed/partly confirmed/not confirmed	According to the findings from the FGDs with the conservancy managements, this hypothesis can only be partially confirmed by empirical data. Only three (FGD_01, 09, 10) of the 10 managements report being comfortable with the financial management of the conservancy. However, due to the purposive sampling strategy this result cannot be transferred to the total population of the conservancies.

Table 9: Selected results hypotheses for effectiveness – hypothesis 3

Hypothesis 3 (activity – output – outcome)	The construction of additional water sources and drip-irrigation systems (**activity**) will improve the availability of water in the conservancies (**output**). Using the water increases the residents' resilience against climate change and human-wildlife conflicts, and eventually improves their livelihood (**outcome**).
Main assumptions	• Water sources and drip-irrigation systems are functional. • Residents are able to maintain the sources and systems. • Water is being used for food and cash crops.
Risks/unintended results	• Residents are not able to maintain the sources and systems. • Ongoing human-wildlife conflicts jeopardise the functionality of the sources and systems.
Alternative explanation	None

Confirmed/partly confirmed/not confirmed	The findings from the FGDs with conservancy management, residents and traditional authorities do not fully confirm this hypothesis. While, on the one hand, the improved water supply contributed to the resident's resilience against droughts; on the other hand, human-wildlife conflicts continue and apparently even increased during the project's implementation. According to several respondents (FGD_02, 04, 05, 14; Int_01, 12, 21, 27-29), an increasing number of wild animals such as elephants, lions, cheetahs and jackals destroys water infrastructure and crop fields, and even kill livestock. On the whole, it appears that this activity had rather an ambiguous effect on the conservancy resident's livelihood situation. Again, it has to be noted, that due to the purposive sampling, the external validity of this finding may be questioned.

Regarding factors that are beyond the control of the project but have contributed to or impeded its objective achievement, **COVID-19** must of course be mentioned. As already described, the pandemic considerably limited the project activities in its last year of implementation. However, at least at conservancy level, the project **succeeded in providing continuous capacity support** despite the temporary travel restrictions within the country. Two further factors that affected the project were the **ongoing drought** and **MEFT's continuous lack of financial resources**. Although both factors actually increased the project's relevance to its target groups, they **did not negatively affect its effectiveness** as they were anticipated during the planning stage and thus adequately provided for when designing its measures (e.g. including further technical financial support to the conservancies).

Given the tight budgetary situation of the Namibian Government and the continued withdrawal of other donors from the country on the one hand, and the confirmative feedback from the MEFT on the other, it appears very likely that the **observable achievements** are indeed traceable to the project.

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

Effectiveness dimension 3: Unintended results

As outlined under hypothesis 3 in Table 7 above, the project had at least **one unintended negative result at conservancy level**. While it cannot be retrospectively judged if the **increase of human-wildlife conflicts** is directly related to the project activities (or if they would have occurred anyway), or if it is limited to those conservancies which were visited during the evaluation, at least the interviewed residents attribute this negative development to them. It is also not fully clear if the bearing of this issue was known by the project staff. The latest progress report mentions that an early-warning system against elephants and lions was implemented (Doc_GIZ_36, p. 15) and the fact that respondents repeatedly state that such conflicts have increased, indicate that this **counter measure was not sufficient for eliminating the problem**.

At national/policy level **no negative unintended effects of the project could be detected**.

Effectiveness dimension 3 – Unintended results – scores **10 out of 15 points.**

Effectiveness dimension 4: Monitoring and exploitation of unintended positive results

While the monitoring and progress reports do not provide any information about unintended positive results, the project staff refers to a number of side-effects in line with the project objectives such as a stronger awareness among partners and donors regarding the importance of resilience, as well as diversification. Also a number of new activities and funding opportunities having emerged from the project, e.g. the EU co-financed BioInnovation in Africa project including seven new partnerships with international businesses, some directly linked to CBNRM. It further states that due to the results of the CBNRM project, the EU Appraisal Mission

specifically included vulnerable households in its project design. Moreover, spill-over effects to other projects such as the Green People's Energy project and the Bush-Biomass project are seen for shared experiences with climate change adaptation measures or renewable energy.

In particular with regard to gender, the gender analysis for the follow-on Climate Change and Inclusive Use of Natural Resources programme apparently identified a positive effect on gender relationships in conservancies, highlighting that 'perceptions of the role of women have started to change among men and show positive trends' in rural areas, leading to a higher degree of self-confidence among women (Doc_GIZ_37, p. 19). Eventually, the experiences and impact assessment of the drought measures are regarded to be important inputs for the scaling-up and replication of efforts under the Community Conservation Fund of Namibia project, which joined a mission in September 2020 to some of the most affected areas.

Effectiveness dimension 4 – Monitoring and exploitation of unintended positive results – scores **10 out of 15 points.**

Photo 2: Focus group discussion with conservancy residents in Ombombo conservancy (Source: Maxi Louis).

Methodology for assessing effectiveness

Table 10: Methodology for assessing OECD/DAC criterion: effectiveness

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Achievement of the (intended) objectives	• Extent to which the agreed project objective (outcome) has been achieved, measured against the objective indicators, • Quality, SMARTness* of indicators, and • Necessity of additional project objective indicators needed to reflect the adequately.	**Evaluation design:** *Ex-post facto* design, contribution analysis **Empirical methods:** Interviews, FGDs, qualitative content analysis	

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Contribution to achievement of objectives	• Extent to which the agreed project outputs were achieved, measured against the output indicators, • Necessity of additional output indicators, • Contribution of the project's outputs to the achievement of the project objective, • Internal and external factors that contribute to or impede project objective achievement, • Alternative explanatory factors for project objective achievement.		• Availability of data: project proposals, results matrix, operational plans, progress reports, results-based monitoring report and mid-term gender assessment, • Collection of additional data: interviews with project and partner staff as well as FGDs with conservancy managements and residents, • Possibility of data/method triangulation: source triangulation possible through comparison of project documentation with assessments made by partners and beneficiaries, • Evidence strength: good.
Unintended results	• Occurrence of unintended negative or formally not agreed positive results, • Assessment of risks and assumptions as well as unintended negative results at the output and outcome level in the monitoring system, • Adequacy of project measures to counteract the risks and occurred negative results.		
Monitoring and exploitation of unintended positive results	Extent to which not formally agreed positive results at outcome level were monitored and exploited.		

* SMART: specific, measurable, achievable, relevant and time-bound

4.4 Impact

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

Summarising assessment and rating of impact

Table 11: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	15 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	20 out of 30 points
Impact score and rating		Score: **70 out of 100 points** Rating: **Level 3: moderately successful**

In total, the impact of the project is rated Level 3: moderately successful, with 70 out of 100 points.

Analysis and assessment of impact

The project's impact is assessed according to three analytical dimensions: (i) the extent to which **intended overarching development results have occurred;** (ii) the extent to which the **project objective (outcome) contributed to the occurred overarching development results;** (iv) and the extent to which the **project has contributed to any (unintended) negative results at impact level**.

The assessment of the project's impact is primarily based on findings from interviews with project and partner staff as well as from FGDs with conservancy managements and residents. Furthermore, its results matrix (Doc_GIZ_01), progress reports (Doc_GIZ_34-36) and results-based monitoring report (Doc_GIZ_33), special COVID-19 and drought M&E reports (Doc_GIZ_45-50), as well as the programme reports (Doc_DO_01, 02; Doc_KfW_01) are used as sources for triangulation.

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

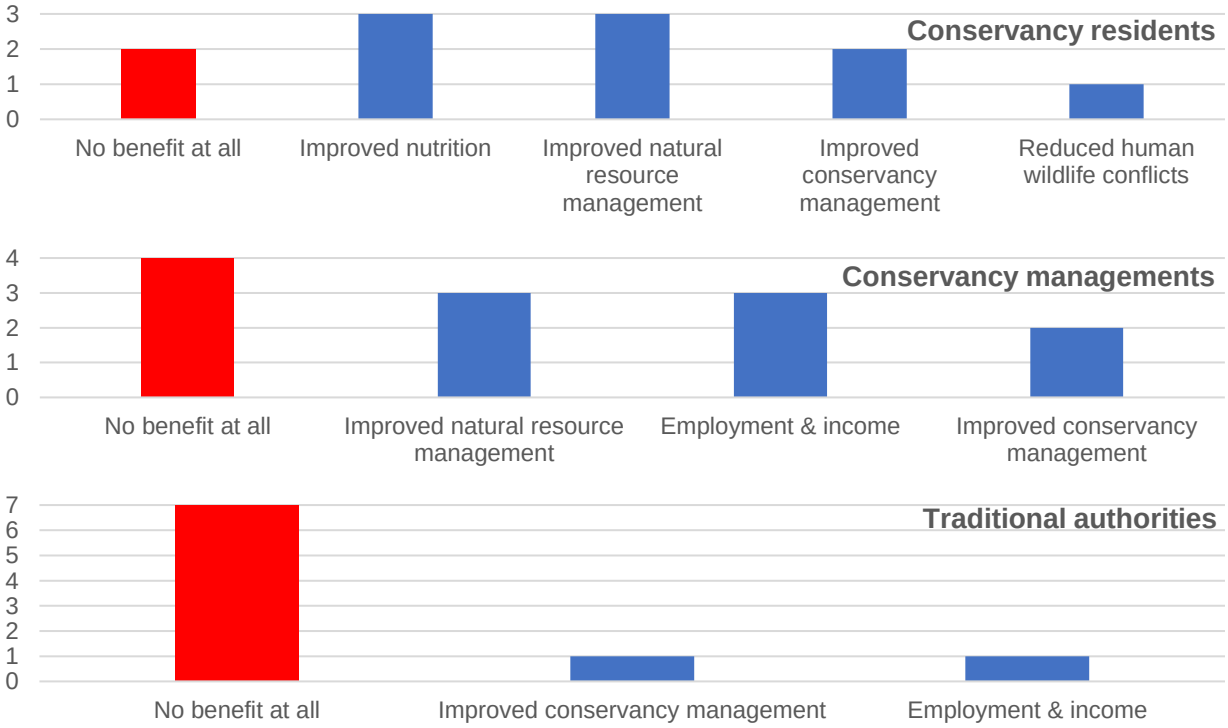
Impact dimension 1 discusses the overarching development results the project supposed to contribute to, its actually observable intended results at impact level, and the extent to which targeted marginalised groups were reached.

According to its latest results matrix, at impact level the project should contribute to **equitable access and benefit sharing of natural resources** and their **sustainable management** (I1) as well as the **conservation of biodiversity, functional ecosystems** and the **improvement of rural incomes** (I2). Ultimately these impacts should contribute to the achievement of the SDGs 1 (poverty reduction) and 15 (sustainable life on land). Furthermore, while the project proposal (Doc_GIZ_15) refers to the SDGs 2 (hunger reduction), 5 (gender equality), 8 (sustainable economic growth) and 13 (combatting climate change), the latest progress report (Doc_GIZ_36) states to have contributed to SDG 11 (making human settlements more sustainable) instead of SDG 8. However, considering the actual area of intervention of the project and its impacts therein – as will be further outlined below – the evaluation team considers SDG 8 as more appropriate.

Unfortunately, the **programme indicators** relating to the higher-level impacts of the project are **not suitable** for impact measurement, as all except for one are formulated **formative**, that is, describe the prerequisites for achieving a desired impact instead of reflecting its achievement. For instance, the enactment of bills and approval of UN conventions by the government (Programme Objective Indicator 1), does not say anything about the extent to which natural resources are actually managed and accessed. The same holds true for integrated park management (Indicator 2), policy adoption (Indicator 3) and safeguarding of land titles (Indicator 4). Only Programme Objective Indicator 5 (improved agricultural productivity) could be regarded as being a suitable impact indicator. Yet, **it does not relate to the CBNRM project**. Thus, to answer the question 'how much has the project contributed to reach the above-mentioned impacts?', the evaluation team had to rely instead on evidence gathered in the conservancies.

Even considering the potential bias introduced by the non-random selection of the conservancies, a quick quantification of the respondents' statements on their perceived long-term benefits yields a rather **sobering picture**. As shown in Figure 4, residents in two conservancies could give no indication at all. The results for conservancy managements and traditional authorities are even worse, with four managements, respectively seven authorities not being able to come up with any positive development.

Figure 4: Impacts at conservancies as reported by residents, management and traditional authorities (by number of interviews/ FGDs)[9]



At least the figure shows further that the reported impacts, such as **improved nutrition** and **natural resource management** as well as **employment and income**, are well in line with the intended project results at this level, although being only mentioned in eight or less cases by the respective stakeholder group.

Impact dimension 1 – Higher-level (intended) development changes/results – scores **15 out of 30 points.**

[9] The number of cases does not add to ten as in some conservancies' respondents mentioned several impacts and not all stakeholder groups were interviewed in each conservancy. The red highlighted first pillars indicate in how many conservancies no benefits were mentioned by the respective stakeholder group. In other words, the respective counter value (10-n) is the number of conservancies in which the stakeholders mentioned at least one benefit.

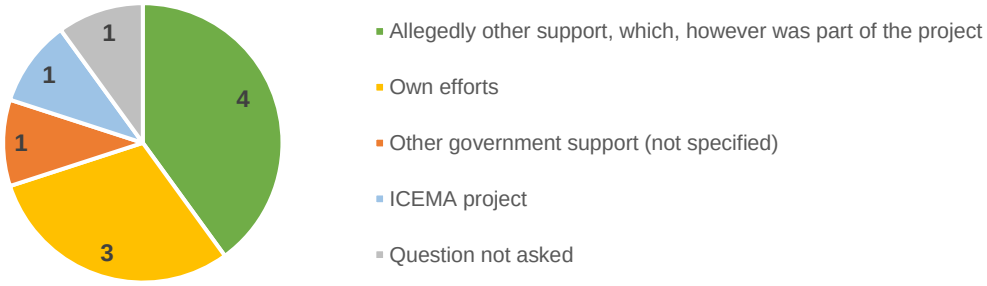
Impact dimension 2: Contribution to higher-level (intended) development results/changes

The assessment of impact dimension 2 focuses on the plausibility of project's outcomes' contribution to the overarching development results and therefore the alternative explanations/factors; the extent to which the impact of the project is positively or negatively influenced by external factors; the extent to which the project made an active and systematic contribution to widespread impact and application of scaling-up mechanisms; and the extent to which the project's contribution can be regarded as being innovative.

Despite the rather moderate impacts of the project, their attribution to its achieved outcomes is very plausible, both from a theoretical and an empirical perspective. On the one hand, the **causal linkages** between the project's outcomes and observable impacts are **quite self-evident**. Ensuring equitable access and benefit sharing in the conservancies and likewise conserving biodiversity, functional ecosystems and improving rural incomes requires some kind of a regulatory framework that is coherently implemented at all institutional levels. On the other hand, the **findings from the interviews and FGDs with the beneficiaries confirm this linkage** as well.

In order to find out about **confounding factors**, the stakeholders were asked about what else may have also contributed to their perceived improvements. As shown in Figure 5, the majority of the respondents in the conservancies relate in this regard either to having received allegedly other support – however, this turned out to be part of the CBNRM project support (i.e. support by the Conservation Relief, Recovery and Resilience Facility, which again was technically and financially supported by the project); or to **own efforts**, e.g. in terms of increased agricultural activities, which probably were only possible due to the support of the project. Only in one case reference was made to another support project,[10] which, to the evaluation team's knowledge was completed in 2006. In another case the respondents referred to some other support from the government. Unfortunately, during the interview it could not be resolved what particular project the person was referring to. The finding that respondents wrongly attribute improvements to other support activities indicates that the project was actually lacking visibility on the ground, which again could negatively bias the above-outlined findings about its impacts. Accordingly, in order to avoid such potential negative bias, it is recommended for the follow-up project to ensure that impacts are traceable for its target groups (e.g. by tagging technical equipment or more distinctive branding of publications such as posters).

Figure 5: Other factors having contributed to perceived impacts at conservancies (by number of interviews, respectively FGDs)



The findings from the data collection in the conservancies are further backed up by the statements from the MEFT (Int_02, 14, 31) and NGO (Int_10, 22, 25) staff, who also regard the Namibian **CBNRM policy as a key prerequisite for sustainable development in the conservancies** (and beyond), based on natural resources and other income sources, particularly from tourism.

[10] I.e. a project called Integrated Community-Based Ecosystem Management (ICEMA) Project, which apparently was implemented between November 2004 and May 2006. See: http://documents1.worldbank.org/curated/en/872361468323957850/pdf/32199.pdf [last checked on 23 April 2021].

In Table 10 below, three further results hypotheses from the project's theory of change are assessed in particular. The hypotheses reflect the contribution of the module objective to the impacts at beneficiary level and their relation to SDG 1 (poverty reduction).

Table 12: Selected results hypotheses for impact – hypothesis 1

Results hypothesis 1 (outcome – impact)	A coherent implementation of the CBNRM policy (**outcome**) contributes to equitable access and benefit sharing of natural resources and their sustainable management (**impact**).
Main assumption	• All stakeholders have the capacities to comply with the CBNRM policy. • All stakeholders regard compliance with the policy to have an added value for them. • Sufficient natural resources are available.
Risks	• Stakeholders do not have capacities to comply with the CBNRM policy. • Conflicts of interests between stakeholders compromise their respective added value. • Natural resources are diminished by the consequences of climate change (e.g. droughts).
Alternative explanation	None
Confirmed/partly confirmed/ not confirmed	As stated by a project staff member (Int 26) in 2019, conservancies spent N$ 6,452,998 on cash and non-cash benefits to 4,964 members and another N$ 5,908,413 on community development projects such as village electrification, benefiting 4,292 members. This spending further translated into 45 new job opportunities being created and meat being distributed to a total of 14,579 conservancy members. In total, in 2019, an average of about 20% of all conservancy income was used for community development projects.

Table 13: Selected results hypotheses for impact – hypothesis 2

Results hypothesis 2 (outcome – impact)	A coherent implementation of the CBNRM policy (**outcome**) contributes to the conservation of biodiversity, functional ecosystems and the improvement of rural incomes (**impact**).
Main assumption	• Available natural resources provide a sufficient basis for rural incomes. • Biodiversity and functional ecosystems can be conserved while using natural resources.
Risks	• Insufficient natural resources. • The use of natural resources leads to their exploitation and degradation.
Alternative explanation	None
Confirmed/partly confirmed/ not confirmed	Also, as described in the previous section, this hypothesis could only be confirmed to a limited extent. Again, it appears that the policy implementation is a necessary but not sufficient condition for achieving this impact.

Table 14: Selected results hypotheses for impact – hypothesis 3

Results hypothesis 3 (outcome – impact)	Equitable access and benefit sharing of natural resources and their sustainable management (**impact**) and the conservation of biodiversity, functional ecosystems and the improvement of rural incomes (**impact**) contribute to poverty reduction in Namibia (**SDG 1, highly-aggregated impact**).
Main assumption	All stakeholder groups in the conservancies can be reached and benefit from the project's impacts.
Risks	Important, particularly vulnerable, groups in the conservancies cannot be reached, and thus do not benefit from the project's impacts.

Alternative explanation	All kinds of support from other actors fighting poverty contribute to the achievement of SDG 1.
Confirmed/partly confirmed/ not confirmed	Unfortunately, within the scope of the evaluation it was not possible to conduct a large-scale survey to provide a representative picture about the project's contribution to poverty reduction in all conservancies. So, the hypothesis can be neither proved nor disproved.

As regards the extent to which **external factors affected the impact of the project** positively or negatively, the same issues as in the efficiency section 4.5 must be mentioned: **ongoing droughts, lacking financial resources of the MEFT** and, above all, the influence of the **COVID-19** crisis. Unfortunately, due to the scarce information about the project's impacts, the **degree of these factors' influence cannot be conclusively assessed**. It can, however, be assumed that they created **rather disadvantageous conditions** for impact achievement.

Eventually, it can be regarded as **moderately innovative** in a sense that it pursued a multi-level approach, including relevant stakeholders at all institutional levels, instead of providing its support to a particular group or institution.

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

Photo 3: Event books and monthly reports from the Orupupa conservancy (Source: Maxi Louis).

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

Under impact dimension 3, we discuss the unintended results of the project at impact level, as well as their trade-offs between the ecological, economic and social dimensions. Furthermore, we will investigate whether risks for results achievement at the impact level were assessed in the monitoring system and if measures were taken to avoid or counteract these. Finally, we will scrutinise the extent to which the framework conditions played a role in achieving the results, and if and how positive results and potential synergies between the ecological, economic and social dimensions were monitored and exploited.

At impact level **neither positive nor negative unintended project results could be detected**. While a certain risk of negative trade-offs between the ecological (i.e. conservation of biodiversity and functional ecosystem) and economic dimension (i.e. improvement of rural incomes) could be possible, the empirical data provide no indication that it actually came true.

The monitoring report contains no information about unintended results, or any countermeasures to avoid or mitigate such. According to the project staff, the **political framework conditions were moderately supportive**. Despite the limited resources the **ministry made an effort** to make its partner contributions according to agreements and facilitate the project activities as far as it could. In contrast, the **general economic and ecologic conditions were not as beneficial to the project**. As already outlined, **MEFT budgetary restrictions and adverse climate conditions constituted significant obstacles** for achieving the project objectives. These obstacles were also anticipated in the project proposals and documented in its progress reports. By providing technical support to the ministry, the former was also directly addressed by the project activities.

Impact dimension 3 – Contribution to higher-level (unintended) development results/changes – scores **20 out of 30 points**.

Methodology for assessing impact

Table 15: Methodology for assessing OECD/DAC criterion: impact

Impact: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Higher-level (intended) development changes/results	• Overarching development results the project supposed to contribute to, • Observable intended results at impact level, • Extent to which targeted marginalised groups were reached.	**Evaluation design:** Retrospective design, contribution analysis **Empirical methods:** Interviews, FGDs, qualitative content analysis	• Availability of data: project proposals, results matrix, operational plans, progress reports, results-based monitoring report and mid-term gender assessment, • Collection of additional data: interviews with project and partner staff as well as FGDs with conservancy managements and residents, • Possibility of data/ method triangulation: source triangulation possible through comparison of project documentation with assessments made by partners and beneficiaries, • Evidence strength: good.
Contribution to higher-level (intended) development results/changes	• Plausibility of project's outcomes contribution to overarching development results, • Alternative explanations/ factors for observed overarching results, • Extent to which the impact of the project is positively or negatively influenced by framework conditions, other policy areas, strategies or interests, • Extent to which the project made an active and systematic contribution to widespread impact and application of scaling-up mechanisms, and • Extent to which the project made an innovative contribution.		

Impact: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Contribution to higher-level (unintended) development results/changes	• Observable (unintended) negative or (formally not agreed) positive results at impact level, • Synergies and negative trade-offs between the ecological, economic and social dimensions, • Extent to which risks of (unintended) results at the impact level were assessed in the monitoring system, • Measures taken by the project to avoid and counteract the risks/ negative results/trade-offs, • Extent to which the framework conditions played a role in regard to the results and the project's reaction, • Extent to which potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions were monitored and exploited.		

4.5 Efficiency

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

Summarising assessment and rating of efficiency

Table 16: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (Resources/Outputs)	70 out of 70 points
	Allocation efficiency (Resources/Outcome)	20 out of 30 points
Efficiency score and rating		Score: **90 out of 100 points** Rating: **Level 2: successful**

In total, the efficiency of the project is rated Level 2: successful, with 95 out of 100 points.

Analysis and assessment of efficiency

The project's efficiency is assessed along two analytical dimensions: its **production efficiency**, i.e. how efficiently the resources were used to produce the project's outputs, and its **allocation efficiency**, i.e. how efficiently these outputs were transformed into outcomes, i.e. tangible benefits for its target groups.
The assessment of the project's efficiency is primarily based on the findings gathered through the application of the efficiency tool and furthermore on the analysis of the project's operational workplans (Doc_GIZ_10-13) and its cost-commitment report (Doc_GIZ_20). Eventually, the results from the document analysis were put into context with further qualitative data gathered from the interviews with project and partner staff.

Efficiency dimension 1: Production efficiency

Dimension 1 discusses first the **deviations between the identified costs and the projected costs** as well as the reasons for them. Second, it will be outlined if under the same framework conditions **outputs could have been qualitatively and quantitatively maximised** with the same amount of resources. Third, the extent to which **outcomes could have been maximised** by reallocating resources between the outputs will be explored.

As shown in the screenshot from the overview of the efficiency tool below, the project budget features a **residual value of EUR 1.4 million**. This underspending can be mainly explained by the **reduction of project activities** in the its last year of implementation **due to the COVID-19 pandemic**. **Travelling and gathering restrictions** impeded the implementation of training courses for MEFT staff and technical support measures in the conservancies, which eventually **put the implementation plan behind schedule**. Due to the end of the project term in December 2020, when the restrictions were still ongoing, it was **not possible to make up for the delay** so that a number of activities could not be implemented. Some further delays were apparently caused by the **limited capacities of the ministry**, which led for instance to the late approval of templates for tourism contracts (see section 4.4 on impact) or deficiencies of the IT-system for the CBNRM database.

The question about the extent to which outputs could have been maximised with the same amount of resources is hard to answer considering the very special conditions the project was working under. Following the **feedback from the project partners** (Int_02, 10, 14, 22, 25, 31) and the **results of the document analysis** (particularly Doc_GIZ_34-36), from a technical point of view the **project measures' implementation can be regarded as highly professional and efficient**. The **high overachievement of the output indicators** further suggests that the project has **succeeded to transform the available budget efficiently into useful products and services for its target groups**. Thus, it is rather questionable if, under the same framework conditions, it would have been possible to achieve more outputs with the same or better quality with the available resources.

Given the mentioned overachievement of all but one output indicator, the question about the extent to which outputs could have been maximised by reallocating resources between the outputs is kind of obsolete. The only indicator that could not be achieved is the closure of tourism contracts with conservancies, which is clearly related to the pandemic and the delay previously caused by the ministry; factors which clearly lie beyond the project's sphere of influence. Accordingly, **shifting more resources towards this activity would have not been more promising**. Eventually, considering the overachievement of the other indicators, contemplating about how these could have been optimised appears rather philosophical and thus does not contribute to the overall efficiency assessment.

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

Figure 6: Screenshot from the efficiency tool overview[11]

Modulziel	The coherent implementation of the CBNRM policy has improved at all levels (national, regional and local).				
BMZ Kosten (Summe Einzelkosten)	6.119.197,96 €				
Ko-Finanzierungen	0,00 €				
Partnerbeiträge	0,00 €				
Gesamtkosten	**6.119.197,96 €**				
Restwert (BMZ Kosten und Kofinanzierung)	7.719,50 €				
Modulziel Indikatoren	The annual reports from 20 communal conservancies are available in the national CBNRM compliance database, in line with the requirements of the Standard Operating Procedures.	For each of 10 communal conservancies or integrated Community Forests, one additional source of revenue is listed in the annual report.	A survey of female members of the conservancies supported by the project reveals a X% increase in the level of their satisfaction regarding their involvement in decision-making processes and the accommodation of their interests.	10 additional communal conservancies are each implementing one climate change adaptation measure, in line with their work plans.	Wildlife management and utilisation plans are being applied in 5 additional communal area conservancies within the project regions.
Zielerreichung	60%	290%	109%	530%	108%

	Output A	**Output B**	**Output C**	**Output D**	**Output E**
Outputs	The institutional capacity of MET/DWNP to monitor compliance, and conservancy good governance has improved.	The application of good governance standards in line with the Guidelines for Management of Conservancies and Standard Operating Procedures (SOPs) has increased.	Conservancies are deriving revenue from additional income sources.	0	0
Kosten inkl. Obligo	2.078.042,93 €	1.946.129,72 €	2.095.025,30 €	0,00 €	0,00 €
Ko-Finanzierungen	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Partnerbeiträge	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Gesamtkosten	**2.078.042,93 €**	**1.946.129,72 €**	**2.095.025,30 €**	**0,00 €**	**0,00 €**
Gesamtkosten in %	**34%**	**32%**	**34%**	**0%**	**0%**
BMZ Gesamtkosten in % ohne Kofi	**34%**	**32%**	**34%**	**0%**	**0%**
Geplante Kosten	2.570,59 €	2.570,59 €	2.570,59 €	0,00 €	0,00 €
Output Indikatoren	Two additional DWNP divisions have CBNRM activities included into their work plans.	An audit assessing compliance with the standards of good governance awards X+10 communal conservancies a score of 3 or better on a scale of 1 (very high) to 6 (very low).	Each of 3 additional Conservancies or Community Forests use a supplementary activity to generate income, which benefits either Conservancy or individual producer groups.	0	0
Zielerreichung	100%	117%	967%	#DIV/0!	#DIV/0!
Output Indikatoren	Five courses on CBNRM or related topics are delivered by MEFT staff trained as trainers.	In 2 successive years, X+20 communal conservancies submit their compliance monitoring data for the compliance monitoring database.	In 5 Conservancies or integrated Community Forests, the annual reports list revenues derived from additional biotrade value chains, 50% of which directly benefit women.	0	0
Zielerreichung	100%	115%	140%	#DIV/0!	#DIV/0!
Output Indikatoren	80% of the datasets of the Namibian Conservancies can be accessed through the DWNP monitoring system and database.	By using external service providers, 5 communal conservancies ensure they have sustainable, high-quality financial management.	For 5 additional contracts based on tourism, hunting or biotrade agreed between the private sector and Conservancies or integrated Community Forests, both parties award a score of 3 or better on a scale of 1 (very high) to 6 (very low), as regards their	0	0
Zielerreichung	125%	320%	0%	#DIV/0!	#DIV/0!
Output Indikatoren	In the project regions, three agreements between MEFT, support organisations and communal conservancies have been signed, clarifying their cooperation.	In each of 10 communal conservancies, 1 recommendation from vulnerability analyses is being implemented, with the inclusion of one aspect related to gender, human-wildlife conflicts or the wildlife crime.	0	0	0
Zielerreichung	133%	353%	#DIV/0!	#DIV/0!	#DIV/0!

[11] Please note that there is an error in the formulae of the efficiency tool. In the cockpit the total amount spent adds up to EUR 6,757,748.78 while the actual cumulated costs according to the cost-commitment report and to our own calculations add to approx. EUR 6,792,280.50. It appears that some residual values are not correctly deducted from the overall amount.

Efficiency dimension 2: Allocation efficiency

Under efficiency dimension 2, the evaluators assess the extent to which the outcome could have been maximised with the same amount of resources and the same or better quality. Furthermore, the outcome–resources ratio and alternatives during the design and implementation process are considered, as well as the extent to which more resources could be leveraged and more results were achieved through cooperation/synergies (e.g. with other ministries, donors and/or GIZ projects).

The project's allocation efficiency has to be assessed in view of the partially critical assessment of the project's effectiveness (see section 4.3), where the evaluation team came to the conclusion that its **resources did not fully translate into benefits at each implementation level**. While it has achieved its intended outcomes as much as possible at national/ministry level (i.e. MEFT/DWNP) and regional/institutional level (i.e. regional DWNP staff, NGOs), this could not be confirmed for the local/conservancy level (i.e. conservancies management and residents), at least with the data from the visited conservancies.

Nevertheless, taking into consideration the sheer size of the country, the overall costs of roughly EUR 6.8 million for developing a database and capacitating its users in the ministry and the conservancies in collaboration with several NGOs over a period of four years, the **allocated resources therefore appear reasonable,** at least at national and regional levels. Again, it should be noted that the **implementing conditions were far from favourable** with the political partner having very limited resources and the pandemic kicking in during its last year of implementation. The only point of critique that could be raised is the fact that **of the approximately EUR 2.2 million personnel costs, almost two thirds (about EUR 1.43 million) were spent on international staff**.

According to the project progress reports (Doc_GIZ_34-36), and also widely confirmed by the project staff (Int_03, 04, 06, 08, 15, 16, 19, 26) **synergies with other GIZ projects as well as with the Green Climate Fund (GCF) and the Global Environmental Facility (GEF)** of the United Nations Development Programme could be created. Particularly: a **cooperation on strategic communication for improved public awareness on poaching and illegal wildlife trade** was established with the BMZ-funded GIZ project, Partnership against Poaching and Illegal Wildlife Trade (PN: 2017.6253.3); a **joint approach to support the implementation of the National Biodiversity Strategy and Action Plan** was developed with its sister project BMCC II (PN: 2015.2211.9); and a **European-African entrepreneurial cooperation for biodiversity-based innovations and products** was built with the GIZ sector project BioInnovation in Africa for Equitable Benefit Sharing (PN: 2018.2235.2). Moreover, the GIZ project Biodiversity Economics in Selected Landscapes of Namibia (PN: 2018.9016.9), funded by the German Federal Ministry for Environment, was advised on the **evaluation and valorisation of ecosystem services and development of the Namibian bioeconomy strategy**. In the end, **climate change adaptation activities with local communities** were coordinated with the GCF project Empower to Adapt, and the **content design** of the GEF project Namibia Integrated Landscape Approach for Enhancing Livelihoods and Environmental Governance to Eradicate Poverty (NILALEG) was supported.

Efficiency dimension 2 – Allocation efficiency – **scores 20 out of 30 points**.

Methodology for assessing efficiency

Table 17: Methodology for assessing OECD/DAC criterion: efficiency

Efficiency: assessment dimensions	Basis for Assessment	Evaluation design and empirical methods	Data quality and limitations
Production efficiency (Resources/Outputs)	• Deviations between the identified costs and the projected costs and reasons therefore, • Extent to which outputs could have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality, • Extent to which outputs could have been maximised by reallocating resources between the outputs, • Consideration of output/resource ratio and alternatives considered during the design and implementation process.	**Evaluation design:** Follow-the-money approach. **Empirical methods:** Qualitative content analysis, quantitative cost-benefit analysis.	• Availability of data: template for HR instruments, operational workplans, cost-commitment report, monitoring and special M&E reports, • Collection of additional data: interviews with project and partner staff, • Possibility of data/ method triangulation: source triangulation possible through comparing data from the efficiency tool with findings from interviews with project and partner staff, • Evidence strength: good.
Allocation efficiency (Resources/Outcome)	• Extent to which the outcome could have been maximised with the same amount of resources and the same or better quality, • Consideration of outcome–resources ratio and alternatives during the conception and implementation process, and • Extent to which more results were achieved through cooperation/ synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations and/or other GIZ projects.		

4.6 Sustainability

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

Summarising assessment and rating of sustainability

Table 18. Rating of OECD/DAC criterion: sustainability[12]

Criterion	Assessment dimension	Score and rating
Sustainability	Prerequisites for ensuring the long-term success of the project	40 out of 50 points
	Durability of results over time	35 out of 50 points
Sustainability score and rating		Score: **75 out of 100 points** Rating: **Level 3: moderately successful**

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

Analysis and assessment of sustainability

The project's sustainability is assessed by the fulfilment of the prerequisites for ensuring the long-term success of the project and the (foreseeable) durability of results over time.

The assessment bases mainly on findings from interviews and FGDs with project partners and beneficiaries. Furthermore, data from the results-based monitoring (Doc_GIZ_33), the final progress report (Doc_GIZ_36) and final report to the MEFT (Doc_GIZ_32) will be taken into consideration.

It has to be added that, since this is a final evaluation (not an *ex post* evaluation), the sustainability of the project cannot be empirically measured but only estimated *ex ante*. Therefore, the following statements focus primarily on the prerequisites for and risks to sustainability.

Sustainability dimension 1: Prerequisites for ensuring the long-term success of the project

Under sustainability dimension 1, the evaluators discuss how the project ensured that the results will be sustained in the medium to long term by the partners and how advisory contents, approaches, methods or design of the project were anchored/institutionalised in the partner system. Furthermore, the evaluation team will explore the extent to which results are continuously used and further developed by the target groups and implementing partners and if they have the therefore required resources available.

To ensure the further development and implementation of the CBNRM policy, at institutional level the project followed a **knowledge dissemination strategy** by applying a training of trainers' approach. Thus, the trained MEFT and NGO staff should be enabled to **continuously provide capacity building measures in the future without its further support**. However, this strategy was questioned by the partners (Int_10, 22, 25), as they do not see how this **will not work out in the long run without alternative funding sources**, since the ministry would not be able to cater for such dissemination training on its own. Furthermore, it was stated that **governmental and non-governmental actors would require further mediation** to ensure their mutual trust and collaboration (Int_22, 25).

[12] Rating dimensions and target scores were adapted to format of the old report template. See preliminary remark on page 17.

Regarding the continuous use and further development of the innovations introduced by the project, the empirical data collections reveal a somewhat antithetical picture. On the one hand, after the rather mediocre assessment of the project's impact at conservancy level, it was a 'surprise' to find that the **on-site stakeholders display a very positive attitude about their willingness to apply and further develop their acquired capacities**. It appears that the majority of the residents (FGD_12, 13, 15-17, 19) are **well aware about the necessity and added value of the sustainable management of their natural resources**. However, they also state they **require further support**, for instance for creating awareness regarding climate change, doing the finances, developing value chains, maintaining the technical infrastructure and improving their agricultural activities.

On the other hand, despite the project being apparently more effective at national level, the **political partner considers the reporting system as being not yet sufficiently anchored**, with too much paperwork still required for reporting and aggregated data not being available when needed (Int_02, 14, 31). Moreover, **further technical and financial support would be necessary for monitoring the compliance of the conservancies**.

Sustainability dimension 1 – Prerequisites for ensuring the long-term success of the project – scores **40 out of 50 points.**

Sustainability dimension 2: Durability of results over time

Dimension 3 discusses the long-term durability, stability and resilience of project results under the given conditions, and the risks and potentials for the durability of the results, the likeliness of their occurrence and risk mitigation strategies.

The interviews and FGDs yield a fairly **heterogeneous picture** when it comes to estimating the potential durability of the project results and the factors which could pose a risk to it. While from the project staff's perspective the main **risks are rooted at the interplay of the stakeholders at national level** (e.g. increased withdrawal of other donors, lacking resources and staff fluctuation at the MEFT (Doc_GIZ_36), conflicting interests and strategies (Int_06)), the partners themselves refer to the **ecological framework of the conservancies**. As partially discussed already, **major threats are expected (for instance in the increasing human-wildlife conflicts, natural catastrophes)** (FGD_10, 18, 19) and the **stability of established value chains**, which could put the benefit of the CBNRM policy at large at stake.

Overall, it seems that **most stakeholders are rather pessimistic about the durability of the project results**. However, a lot of hope is being put into the follow-on project, which apparently adopts some of the main 'building sites' the CBNRM project leaves behind. The follow-on project is regarded as having the potential not only to **provide for more visibility of the German-Namibian development cooperation** (Int_20) but also to have the **potential to raise more leverage effects** (Int_02, 14, 31) and thus to **contribute to the consolidation and further development of the project's long-term impacts** – at least at national and regional levels.

Sustainability dimension 3 – Durability of results over time – scores **35 out of 50 points**.

Photo 4: The national consultant, Maxi Louis, with traditional authorities in Ombombo conservancy (Source: Maxi Louis)

Methodology for assessing sustainability

Table 19: Methodology for assessing OECD/DAC criterion: sustainability

Sustainability: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Prerequisites for ensuring the long-term success of the project	• Extent to which the results are continuously used by the target groups and implementing partners, • Extent to which resources and capacities at the individual, organisational and political level are available to ensure the continuation of the results achieved, • The project's efforts to ensure that the results can be sustained in the medium to long term by the partners themselves, and • Institutionalisation of advisory contents, approaches, methods or concepts of the project in the partner system.	**Evaluation design:** *Ex-post facto* design. **Empirical methods:** Interviews, FGDs, qualitative content analysis.	• Availability of data: results-based monitoring, final progress report and report to MEFT, • Collection of additional data: interviews and FGDs with project partners and beneficiaries, • Possibility of data/ method triangulation: source triangulation possible by comparing empirical findings with reporting data, • Evidence strength: moderate (since it is a final evaluation).
Durability of results over time	• Long-term durability, stability and resilience of project results under the given conditions, and • Risks and potentials for the durability of the results, likeliness of their occurrence and risk mitigation strategies.		

4.7 Key results and overall rating

The project shows some discrepancies between the **quantitative facts and figures** as provided in monitoring and progress reports on the one hand, and the rather **qualitatively perceived reality** on the ground, on the other. As became particularly visible in the effectiveness and impact sections (4.3 and 4.4), while having reached and even exceeded most of its outcome indicators, the interviewed project's **key stakeholders shared a different, yet slightly more critical perspective about their factual benefits**. While, as already outlined several times, a certain bias due to the purposive sampling cannot be ruled out, the fact that the respondents in the 10 visited conservancies do not fully confirm its success on the ground should be acknowledged and taken into consideration in the further planning of the follow-on project.

Nevertheless, the empirical and documentary data leaves no doubt that the **project was efficiently and professionally implemented** by all means. Furthermore, it also features **two particular strengths** that should be mentioned and taken up by its successor. First, this is its **comprehensive approach tackling key challenges at national, regional and local levels**, and thus including all relevant actors. This **inclusive approach** allows for the **integration of different perspectives and interests**, and to provide for **mutual understanding** of the different stakeholders. Second, not (only) providing direct support to final beneficiaries but instead **developing a regulatory framework** so that the stakeholders can benefit from their natural resources is, in principle, the more promising approach and, thus, should be continued. While pursuing such an approach, however, these indirect target groups should not be forgotten.

Photo 5: Focus group discussion with residents in Uukwaluudhi conservancy (Source: Maxi Louis)

Table 20: Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	Dimension	Max	Score	Total (max.100)	Rating
Relevance	Alignment with policies and priorities	30	30	**90**	Level 2: successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	25		
	Appropriateness of the design*	20	20		
	Adaptability – response to change	20	15		
Effectiveness	Achievement of the (intended) objectives	40	30	**75**	Level 3: moderately successful
	Contribution to achievement of objectives	30	25		
	Unintended results	15	10		
	Monitoring and exploitation of positive unintended results	15	10		
Impact	Higher-level (intended) development changes/results	30	15	**70**	Level 3: moderately successful
	Contribution to higher-level (intended) development results/changes	40	35		
	Contribution to higher-level (unintended) development results/changes	30	20		
Efficiency	Production efficiency	70	70	**90**	Level 2: successful
	Allocation efficiency	30	20		
Sustainability	Prerequisites for ensuring the long-term success of the project	50	40	**75**	Level 3: moderately successful
	Durability of results over time	50	35		
Mean score and overall rating		100	**80**		**Level 3: moderately successful**

Table 21: 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

The evaluation team draws the following key findings and factors of success and failure:

- The CBNRM project was very well in line with national development objectives and strategies. By supporting conservancies in increasing revenues from the sustainable use of their natural resources and developing a comprehensive monitoring system it featured a strong linkage to Namibia's CBNRM policy in particular. The project was also well aligned with BMZ's country strategy, focusing on natural resource management as one of the core areas of German-Namibian development cooperation.
- First and foremost, the conservancy residents need job opportunities, namely the opportunity to make a living from their available natural resources. Therefore, they also require adequate equipment and training. Their awareness of the necessity to preserve wildlife is, however, not as distinct. This may be related to their basic need to having safe access to water and being protected against human-wildlife conflicts.
- Conservancies management require further capacity support to fulfil their tasks in line with the CBNRM policy. As regards the political partner, despite the project's efforts, the MEFT is still lacking personnel and financial capacities.
- In principle, all support measures, including training, advisory and technical support are considered adequate. However, they may not have always been sufficient in quantity. It further appears that the digital monitoring system still needs to be adapted to demands of its users; an issue that is being picked up by its follow-on project.

- The validity and reliability of the achieved value for the indicator RI.4 has to be questioned. The indicator's measurement is methodologically not appropriate. Quantitative data was collected by (qualitative) FGDs and not representatively sampled. Moreover, the indicator does not comprehensively represent what actually has been measured. While the women's increasing satisfaction with their involvement in decision-making processes and accommodation is reported, their declining satisfaction with the allocation of resources is not.
- The number of conservancies using supplementary activities for generating income and listing revenues deriving from these activities does not provide a full picture about the contribution of these outputs to the outcome achievement at conservancy level. Further qualitative indicators would have been necessary for reflecting the achievement of the project objective to its full extent.
- The project could not prevent one unintended negative result at conservancy level, i.e. the increase of human-wildlife conflicts. Respondents from several conservancies state that such conflicts have increased during the project implementation and that they do not feel sufficiently resilient against this threat.
- The higher-level impact programme indicators are mostly not suitable for impact measurement, as all except for one are formulated formative, meaning that they describe the prerequisites for achieving a desired impact instead of reflecting its achievement. For instance, the enactment of bills and approval of UN conventions by the government does not say anything about the extent to which natural resources are actually managed and accessed.
- Ongoing droughts, lacking financial resources of the MEFT and, above all, the influence of the COVID-19 crisis constituted rather adverse conditions for the project and accordingly negatively affected its implementation and effectiveness. While the degree of these factors' influence cannot be assessed conclusively, it can, however, be assumed that they had a negative effect on the project's impact achievement as well.
- The project implementation can be regarded as highly professional and efficient. The high overachievement of the output indicators indicates that the project has succeeded in transforming the available budget efficiently into useful products and services for its target groups. Thus, it probably would have not been possible to achieve more outputs of the same or better quality with the available resources.
- However, the project's resources did not translate likewise into benefits at each implementation level. While it has achieved its intended outcomes at the MEFT/DWNP, it probably did not to the same extent at the conservancies.
- The project followed a knowledge dissemination strategy by applying a training of trainers' approach. This strategy was, however, questioned by the partners. To their notion this will not work out in the long run without alternative funding sources, since the ministry cannot finance such dissemination training on its own. Furthermore, governmental and non-governmental actors apparently require further mediation to ensure their mutual trust and collaboration.
- The project established management capacities at the conservancies; however, apparently, measures to provide for their retention were not sufficient and need to be continued in the follow-on project, e.g. prioritising permanent staff such conservancy managers and game guards and supporting knowledge dissemination between the conservancies.
- The stakeholders on-site display a very positive attitude about their willingness to apply and further develop their acquired capacities. The majority of the residents are well aware about the necessity and added value of the sustainable management of their natural resources. However, they also state to require further support, for instance for creating awareness regarding climate change, doing the finances, developing value chains, maintaining the technical infrastructure and improving their agricultural activities.
- The political partner regards the reporting system as being not yet sufficiently anchored, with too much paperwork still required for reporting and aggregated data not being available when needed. Moreover, further technical and financial support would be necessary for monitoring the compliance of the conservancies.
- From the project staff's perspective, the main risks are rooted at the interplay of the stakeholders at national level, the partners refer to the ecologic framework of the conservancies. Major threats are seen in the increasing human-wildlife conflicts, natural catastrophes and the stability of established value chains.

- Most stakeholders are rather pessimistic about the durability of the project results. Much hope is put into the follow-on project, which apparently adopts some of the main ‘building sites’ the CBNRM project leaves behind. Its merging with the BMCC II project is regarded as having the potential not only to provide for more visibility of the German-Namibian development cooperation but also to have the potential to raise more leverage effects and thus to contribute to the consolidation and further development of the project’s long-term impacts.
- The project features two particular strengths that should be taken up by its successor: (i) its comprehensive approach tackling key challenges at national, regional and local level; and (ii) its endeavour to develop a regulatory framework so that the target groups can benefit from their own natural resources.

5.2 Recommendations

In view of these conclusions, the following recommendations can be drawn:

- The successor project should focus more on the conservancy residents’ and managements’ needs (i.e. job opportunities, technical and capacity needs) and on fostering their awareness about the necessity to preserve wildlife. Furthermore, safe access to water and protection against human-wildlife conflicts should still be addressed. Eventually, further activities for creating awareness regarding climate change, financial management, developing value chains, maintaining the technical infrastructure and improving their agricultural activities would be required.
- The MEFT should be provided with further technical and capacity support to bring its staff to a sufficient level of knowledge and skills for sustainably implementing and further developing the Namibian CBNRM policy. Moreover, the project should strive to mediate between governmental and non-governmental actors to ensure their future collaboration.
- The successor project should seek professional assistance when developing its module and programme objective indicators. In particular, formative indicators should definitively be prevented, as they do not provide any information about factual impacts. It is further strongly recommended to also consider the use of qualitative indicators to adequately reflect the objective achievement. Finally, when formulating indicators for sub-national intervention areas, the accessibility of sufficiently disaggregated data should be checked beforehand.
- In the future, more effort should be undertaken to seek scaling-up opportunities. In particular, a stronger involvement of the indirect target groups, i.e. the residents and management in the not-directly supported conservancies, should be considered, for instance by establishing regional roundtables or some kind of social network.
- Taking into account the significant share of the project costs for international staff, further consideration should be given to working more with national and regional personnel. This would also contribute to generating secondary impacts, relating to capacity development and income generation.
- The training of trainers’ approach should be thought over in terms of including not only contents and teaching materials but also a refinancing mechanism that enables the partners to sustainably continue with their dissemination activities.
- As already outlined, the project’s comprehensive approach tackling key challenges at national, regional and local level, and its endeavour to develop a regulatory framework that ensures the target groups can benefit from their own natural resources in the long run should be maintained.

List of references

GIZ project documents

Doc_GIZ_01: 2016-Sept_Result Matrix_Support to CBNRM.pdf
Doc_GIZ_02: 2017_CBNRM Project Baseline study.pdf
Doc_GIZ_03: 2017-Nov_Stakeholdermap – Support to CBNRM project.pdf
Doc_GIZ_04: 2018_CBNRM Project Regions Map.pdf
Doc_GIZ_05: 2018-Mar_CDS Support to CBNRM.pdf
Doc_GIZ_06: 2019-Nov_Proposed Amendment CBNRM Project.pdf
Doc_GIZ_07: 2020-Jan_CBNRM Project Organogram.pdf
Doc_GIZ_08: 2020-June_CBNRM Project Factsheet.pdf
Doc_GIZ_09: Namibia Biodiv und KW PEV Report 2016 Endversion ohne Änderungsmodus.docx
Doc_GIZ_10: 2017_CBNRM Project Operational Plan.xlsx
Doc_GIZ_11: 2018_CBNRM Project Operational Plan.xlsx
Doc_GIZ_12: 2019_CBNRM Project Operational Plan.xlsx
Doc_GIZ_13: 2020_CBNRM Project Operational Plan.xlsx
Doc_GIZ_14: 2016_Gesprächsvermerk.pdf
Doc_GIZ_15: 2016_project proposal.pdf
Doc_GIZ_16: 2016_umwelt-und-klimapruefung.pdf
Doc_GIZ_17: 2017-Dec_Triple Mainstreaming Study.pdf
Doc_GIZ_18: *Deleted duplicate*
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Doc_GIZ_20: 20210323_Kostenträger-Obligo-Bericht_15.2209.3.pdf
Doc_GIZ_21: 2020_Result Matrix.pdf
Doc_GIZ_22: 2020_Results model.pdf
Doc_GIZ_23: 2020_Stakeholdermap.pdf
Doc_GIZ_24: 2020_Steering Structure_Support to CBNRM.pdf
Doc_GIZ_25: 2020-March_Gender CBNRM Mid-Term Assessment_COVID-19.pdf
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Doc_GIZ_28: 2019-Nov_Executive Director Report.pdf
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Doc_GIZ_30: 2020-Jan_Executive Director Report.pdf
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Doc_GIZ_32: 2020-May_Executive Director Report.pdf
Doc_GIZ_33: 2020_Resultsbasedmonitoring.pdf
Doc_GIZ_34: 2017_Project Fortschrittsbericht.pdf
Doc_GIZ_35: 2018_Project Fortschrittsbericht.pdf
Doc_GIZ_36: 2019_Project Fortschrittsbericht.pdf
Doc_GIZ_37: Gender analysis for the project: ‘Climate change (resilience) and inclusive use of natural resources’/Namibia.
Doc_GIZ_38: MEFT poster, Human wildlife conflict mitigation and adaptation in Namibia’s communal areas
Doc_GIZ_39: Baseline assessment on the impact of water infrastructure upgrades on human-elephant conflict incidence and community livelihoods in the Kunene region.
Doc_GIZ_40: Signed hunting contracts.
Doc_GIZ_41: CRRRF analysis, MS Excel sheet.
Doc_GIZ_42: CRRRF analysis for conservancies.
Doc_GIZ_43: HWC Measures_MEFT_30.12.20, MS Excel sheet.
Doc_GIZ_44: Progress Report, Borehole Rehabilitation and Water Provision for People, Livestock and Elephants in the Erongo and Kunene Regions.

Doc_GIZ_45: Monitoring & Evaluierung (M&E) Bericht der Dürrehilfe in Namibia durch die deutsche Entwicklungszusammenarbeit, M&E Bericht 03 (07/2020).
Doc_GIZ_46: Monitoring & Evaluierung (M&E) Bericht der Dürrehilfe in Namibia durch die deutsche Entwicklungszusammenarbeit, M&E Bericht 04 (10/2020).
Doc_GIZ_47: Entwurf CBNRM-BMCC Corona Berichterstattung.
Doc_GIZ_48: Erläuterungen zur geplanten Anpassung von Aktivitäten in den TZ Projekten 'Kommunales Ressourcenmanagement' (CBNRM) und 'Biodiversitätsmanagement und Klimawandel' (BMCC) in Namibia im Hinblick auf die Minderung der erwarteten Auswirkungen der Corona/COVID19 Pandemie auf Namibia.
Doc_GIZ_49: Fortschrittsbericht der Dürrehilfe durch die deutsche Entwicklungszusammenarbeit – Stand: 07.2020.
Doc_GIZ_50: Fortschrittsbericht der Dürrehilfe durch die deutsche Entwicklungszusammenarbeit – Stand: 10.2020.
Doc_GIZ_51: Targeted Boreholes Map.
Doc_GIZ_52: Duplicate – Deleted.
Doc_GIZ_53: CBNRM project activities Summary – per conservancies.
Doc_GIZ_54: Number of conservancies directly and indirectly supported by the Support to CBNRM project
Doc_GIZ_55-57: Kostenträger Obligo Bericht 12/2020.
Doc_GIZ_58: Support to CBNRM project achieved activities, July 20.
Doc_GIZ_59: Government Gazette of the Republic of Namibia, No. 6343.
Doc_GIZ_60: Fact Sheet, Access and benefit sharing in Namibia.
Doc_GIZ_61: Finding bio-trade potentials and setting up value chain promotion projects in the integrated conservancies and community forests: Okongo in Ohangwena Region, Muduva Nyangana & George Mukoya in Kavango East Region.
Doc_GIZ_62: BMCC Fact Sheet 2014, Creating benefits from nature in a changing climate.
Doc_GIZ_63: BMCC Poster – Sustainable Development.
Doc_GIZ_64: BMCC Presentation 2013-2016.
Doc_GIZ_65: Eba Measures MARISCO Poster – BMCC.
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Doc_DO_02: 2018_Programm Berichterstattung.pdf
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Doc_MET_01: 2013_National Policy on CBNRM.pdf
Doc_MET_02: 2018_HWC Policy.pdf

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Doc_NamGov_03: 2017_National Development Plan 5.pdf

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Annex: Evaluation matrix

OECD-DAC Criterion RELEVANCE (max. 100 points)						
The project concept (1) is in line with the relevant strategic reference frameworks. Max. 30 points	Standard	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender (2))	Existence of strategy papers (e.g. CBNRM development plans)	Document analysis, interviews with MET staff	Government publications	strong
	Standard	To what extent is the project concept in line with the relevant strategic reference frameworks?	Coherence of the project's goal conception with the strategic reference frameworks	Document analysis	Project proposal & reports	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)?	n.a.			
	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?	Coherence of the project's goal conception with BMZ's country/sector strategy	Document analysis	BMZ publication	strong
	Standard	To what extend 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?	Coherence of the project's goal conception with relevant SDGs	Document analysis	SDGs	strong
	Standard	To what extend is the project concept subsidiary to partner efforts or efforts of other relevant organisatons (subsidiarity and complementarity)?	Coherence of the project's goal conception with ME(F)T's CBNRM strategy	Document analysis, interviews with MET staff	Government publications, MET staff	strong
	and IZR	To what extent does the measure close gaps in the solution of global development problems where classical multilateralism reaches its limits?	n.a.			
The project concept (1) matches the needs of the target group(s). Max. 30 points	Standard	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	Feedback from target groups on core problems and needs	FGDs with residents in selected conservancies	Residents in conservancies	strong
	Standard	How are the different perspectives, needs and concerns of women and men represented in the project concept?	Feedback of men and women on their particular benefit of the project	FGDs with residents in selected conservancies (gender disaggregated)	Residents in conservancies	strong
	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?	n.a.			
	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)?	Feedback from target groups	FGDs with residents in selected conservancies	Residents in conservancies	strong
The project concept (1) is adequately designed to achieve the chosen project objective. Max. 20 points	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 plausibe?	Alignment of project's goal conception, results matrix & model with given resources, adequacy of activity, instrument and outputs under consideration of local conditions, plausibility and verifyability of results hypotheses, system boundaries including outputs and excluding outcomes which feature confounding factors, detectable influence of other actors, occurrence of assumed and not-assumed risks during project implementation	Document analysis, interviews and FGDs with all stakeholders	All	good
	Standard	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	Changes in results matrixes with reference to changing conditions, statements about changing conditions in project reports	Document analysis	Project results matrixes and reports	strong
	and IKT	Which digital solutions are used in the project and what significance do these digital solutions have in the framework of the results model?	References in reports and by interviewees and to digital solutions (SSL certificate etc.)	Document analysis, interviews with GIZ staff	Project documents, GIZ staff	strong
	Standard	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	n.a.			
The project concept (1) was adapted to changes in line with requirements and re-adapted where applicable. Max. 20 points	Standard	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	References about changes in government documents and project reports	Document analysis	Government publications	good
	Standard	How were the changes dealt with regarding the project concept?	References about changes in project reports and in the results-based monitoring system as well as made by project staff	Document analysis, interviews with GIZ staff	Project documents, GIZ staff	good

OECD-DAC Criterion EFFECTIVENESS (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The project achieved the objective (outcome) on time in accordance with the project objective indicators.(1) Max. 40 points	Standard	To what extent has the agreed project obective (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?	Matching of project outcome (module objective) indicator values with set target values	Document analysis	Results-based monitoring system	strong
	Standard	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	Matching of project output and outcome (module objective) indicator values with set target values	Document analysis	Results-based monitoring system	strong
The activities and outputs of the project contributed substantially to the project objective achievement (outcome).(1) Max. 30 points	Standard	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	Matching of project output indicator values with set target values	Document analysis	Results-based monitoring system	strong
	Standard	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	Validity of results model	Document analysis, interviews with GIZ and partner staff, FGDs with target groups	Project's results model, GIZ, MET and conservancy staff and target groups in selected conservancies	good
	Standard	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)	Anecdotal references about the influence of external factors and project management on the project's goal achievement	Interviews with GIZ and partner staff, FGDs with target groups	GIZ, MET and conservancy staff and target groups in selected conservancies	moderate
	Standard	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	Anecdotal references about other/alternative factors	Interviews with GIZ and partner staff, FGDs with target groups	GIZ, MET and conservancy staff and target groups in selected conservancies	moderate
	and IKT	To what extent has the utilization of digital solutions contributed to the achievement of objectives?	Anecdotal references by GIZ and MET staff about the contribution of digital solutions	Interviews	GIZ and MET staff	good
	Standard	What would have happened without the project?	n.a. (no comparative evaluation design possible)			
No project-related (unintended) negative results have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results	Standard	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	Anecdotal references about unintended effects made by partners and target group	Interviews, FGDs	MET staff, target group	good
	Standard	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the concept phase?	Risks mentioned in project proposal, the monitoring system and by GIZ and partner staff	Document analysis, interviews with GIZ and partner staff	Project proposal, monitoring system, GIZ and partner staff	good
	Standard	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	Risk mitigation measures mentioned in project progress and monitoring reports, and mentioned by GIZ staff	Document analysis, interviews with GIZ staff	Project progress and monitoring reports, GIZ staff	good
	Standard	To what extend were potential (not formally agreed) positive results at outcome level monitored and exploited?	Anecdotal references by GIZ and partner staff about use of potential positive results	Interviews with GIZ and partner staff, FGDs with target groups	GIZ and MET staff	good

OECD-DAC Criterion IMPACT (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
The intended overarching development results have occurred or are foreseen (plausible reasons). (1) Max. 40 points	Standard	To which overarching development results 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?	Programme indicators, relevant national (sectoral) development indicators, relevant SDC indicators	Document analysis	Programme reporting to BMZ, national CBNRM policy and strategy papers, SDGs	strong
	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?	n.a.			
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1) Max. 30 points	Standard	To what extent 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)	Plausibility of causal assumptions, evidence from comparable projects	Document analysis, internet research	Project documents, other projects' documents	moderate
	Standard	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	Activities of other actors in the field of CBNRM	Document analysis, internet research	Project documents, other actors' projects' documents	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?	References made in other policy documents to CBNRM related effects	Document analysis	Policy papers (e.g. on economic development)	moderate
	Standard	What would have happened without the project?	n.a. (no comparative evaluation design)			
	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?	References made in the project proposal and progress report about scaling-up potential and possible leverage effects and how they were exploited, and references made by project and partner staff	Document analysis, interviews	Project documents, project and partner staff	good
No project-related (unintended) negative results at impact level have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Standard	Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?	References made in the project proposal and progress report about goal conflicts and potential synergies and how they were avoided, respectively exploited, and references made by project and partner staff	Document analysis, interviews	Project documents, project and partner staff	good
	Standard	To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the planning phase?	Reference made about risks in project monitoring and progress reports	Document analysis	Project monitoring and progress reports	good
	Standard	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	References made about risk mitigation measures in project monitoring and progress reports	Document analysis	Project monitoring and progress reports	good
	Standard	To what extent have the framework conditions played a role in regard to the negative results ? How did the project react to this?	References made about the influence of framework conditions on the projetc's results in project monitoring and progress reports	Document analysis	Project monitoring and progress reports	good
	Standard	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	References made about potential positive results and synergies in project monitoring and progress reports	Document analysis	Project monitoring and progress reports	good

OECD-DAC Criterion EFFICIENCY (max. 100						
Assessment dimensions	**Filter - Project Type**	**Evaluation questions**	**Evaluation indicators (pilot phase for indicators - only available in German so far)**	**Data collection methods** (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	**Data sources** (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	**Evidence strength** (moderate, good, strong)
The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/Outputs] Max. 70 points	Standard	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.	Document analysis	Kostenträger Obligo Bericht, project operational plan, project progress reports, monitoring report	good
	Standard	Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können.	Document analysis, interviews	Project operational plan, project progress reports, monitoring report, project staff	strong
	Standard		Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten. Die übergreifenden Kosten des Vorhabens stehen in einem angemessen Verhältnis zu den Kosten für die Outputs. Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	Document analysis	Kostenträger Obligo Bericht, project operational plan, project progress reports, monitoring report	good
	Standard		Die übergreifenden Kosten des Vorhabens stehen in einem angemessen Verhältnis zu den Kosten für die Outputs.	Document analysis	Kostenträger Obligo Bericht, project operational plan, project progress reports, monitoring report	good
	Standard		Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	Document analysis	Kostenträger Obligo Bericht, project operational plan, project progress reports, monitoring report	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).	Document analysis, interviews	Project operational plan, project progress reports, monitoring report, project and partner staff	strong
	Standard	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Interviews	Project and partner staff	strong
	Standard		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.	Interviews	Project and partner staff	strong
	Standard		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	Interviews	Project and partner staff	strong
	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.	Interviews	Project and partner staff	strong
	Standard		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.	Document analysis, interviews	Project operational plan, project progress reports, monitoring report, project and partner staff	strong
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Document analysis	Internet research	moderate
	Standard	For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?	siehe oben	n.a.		

The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency: Resources/Outcome] Max. 30 points	Standard	To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.	Document analysis	Internet research	moderate
	Standard	Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung) Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung)	Document analysis	Kostenträger Obligo Bericht, project operational plan, project progress reports, monitoring report	good
	Standard		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews	Project and partner staff	strong
	Standard		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhaben gut realisiert werden.	Interviews	Project and partner staff	strong
	Standard		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	Interviews	Project and partner staff	strong
	Standard		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.	Interviews	Project and partner staff	strong
	Standard		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden.	Interviews	Project and partner staff	strong
	Standard		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	Document analysis	Internet research	moderate
	Standard	To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. co-financing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency?	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.	Interviews	Project and partner staff, other donors	strong
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.	Interviews	Project and partner staff, other donors	strong
	Standard		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.	Interviews	Project and partner staff, KfW staff, BMZ staff	strong
	Standard		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.	Interviews	Project and partner staff, KfW staff, BMZ staff	strong
	Standard		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.	n.a.		
	Standard		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.	n.a.		
	Standard		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.	Interviews	Project and partner staff	strong

OECD-DAC Criterion SUSTAINABILITY (max. 100 points)

Assessment dimensions	Filter - Project Type	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	Standard	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	Evidence about dissemination and refinancing mechanisms at partner side	Interviews, document analysis	MET staff, conservancy managements, policy papers	good
	Standard	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	Evidence about adopted contents, approaches (etc.) in partner system	Interviews	MET staff	good
	Standard	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	Evidence about dissemination and refinancing mechanisms at partner side	Interviews, document analysis	MET staff, conservancy managements, policy papers	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?	Evidence about partner capacities	Interviews, document analysis	MET staff, conservancy managements, policy papers	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?	n.a.			
Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	Standard	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	Evidence about political and regulatory framework, and future strategies with regard to CBNRM	Interviews, document analysis	MET staff, conservancy managements, policy papers	good
	Standard	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks?	Evidence about potential risks	Interviews, document analysis	MET staff, conservancy managements, policy papers	moderate

Additional Evaluation Questions

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods (e.g. interviews, focus group discussions, documents, project/partner monitoring system, workshop, survey, etc.)	Data sources (list of relevant documents, interviews with specific stakeholder categories, specific monitoring data, specific workshop(s), etc.)	Evidence strength (moderate, good, strong)
Impact and sustainability (durability) of predecessor project(s)	Which of the intended impact of the predecessor project(s) can (still/now) be observed?	Predecessor impact indicators	Document analysis	Evaluation of predecessor project	moderate
	Which of the achieved results (output, outcome) from predecessor project(s) can (still) be observed?	Predecessor output and outcome indicators	Document analysis	Evaluation of predecessor project	moderate
	To what extent are these results of the predecessor project(s) durable, stable and resilient in the long-term under the given conditions?	Anecdotal references from project staff and target group	Interviews and FGDs	Project staff and target group	moderate
	In what way were results anchored/institutionalised in the (partner) system?	Anecdotal references from staff of MET and MAWF	Interviews	MET and MAWF staff	moderate
	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)?	References made in project proposal and by project staff	Document analysis and interviews	Project proposal, project staff	good
	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?	n.a.			
	Which factors of success and failure can be identified for the predecessor project(s)?	Factors mentioned in project evaluation	Document analysis	Predecessor project evaluation	good
Follow-on project (if applicable)	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?	SMART criteria	Document analysis	Project results model and matrix	strong
	(1)				
Additional evaluation questions	(1)				
	(1)				

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