



# Evaluation

Strategic Evaluation of the ADC Engagement  
on Good Governance (2007–2017)

Vol II – Annex

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## **Imprint**

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This is an independent evaluation report. Views and conclusions expressed do not necessarily represent those of the contractors.

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# 1 Overview of international governance indices

The following table provides an overview of relevant governance indices that were consulted by the evaluation.

**Table 1: Overview of governance indices**

	Description
<b>Worldwide Governance Indicators (WGI)</b>	<p>The WGI was developed by the World Bank and reports on six broad dimensions of governance since 1996. The six dimensions include 1) Voice and Accountability, 2) Political Stability and Absence of Violence, 3) Government Effectiveness, 4) Regulatory Quality, 5) Rule of Law and 6) Control of Corruption. The governance score ranges from -2.5 to +2.5. In total, 30 different data sources are being used to create the WGI, the data originate from surveys of households and firms, commercial business information providers, non-governmental organizations and public sector organizations. Data are available for 200 countries and territories.</p> <p>(See <a href="http://info.worldbank.org/governance/wgi/index.aspx#doc">http://info.worldbank.org/governance/wgi/index.aspx#doc</a> )</p>
<b>Bertelsmann Transformation Index (BTI)</b>	<p>The BTI evaluates the governance situation of 129 developing countries and countries in transition worldwide. The BTI focuses on normative goals such as transformation towards democracy under the rule of law and social market economy. Country experts assess a country's governance situation based on a standardized codebook along 17 criteria. The different criteria can be divided into three main areas: Political Transformation, Economic Transformation and Governance. The BTI aggregates the results into two different indices which are the Status Index and the Governance Index. The Status Index is calculated based on the average of the results for "Political Transformation" and "Economic Transformation" in a given country. The Governance Index refers to the leadership political management performance and consists of five criteria which are formed by 20 indicators. The five criteria are 1) the level of difficulty, 2) steering capability, 3) resource efficiency, 4) consensus building, and 5) international cooperation. The BTI uses self-collected data to analyze and compare governance performance. At the end, a ranking for each of the indexes is created. The index is published every two years.</p> <p>(See <a href="https://www.bti-project.org/en/about/project/methodology/">https://www.bti-project.org/en/about/project/methodology/</a> )</p>
<b>Corruption Perception Index (CPI)</b>	<p>The CPI ranks 180 countries and territories according to their perceived levels of corruption in the public sector. A scale of 0 to 100, indicating 0 as highly corrupt and 100 as very clean is created by aggregating data from 13 different data sources that capture the perceptions of experts and business people on the level of corruption in a given country.</p> <p>(See <a href="https://www.transparency.org/cpi2018">https://www.transparency.org/cpi2018</a> )</p>

<b>Fragile State Index (FSI)</b>	<p>The FSI is produced by the Fund for Peace (FFP) and measures the risk and vulnerability of fragility in 178 countries. The index measures the condition of fragility of a given country based on qualitative and quantitative indicators and twelve conflict risk indicators. The FSI validates the insights gained from the indicators through quantitative, qualitative and expert validation to arrive at the final scores (0-120) of FSI. Countries are then ranked based on their scores. A high score and rank signifies a highly fragile country context whereas a low rank and score indicates a high level of stability in a given country.</p> <p>(See <a href="https://fragilestatesindex.org/">https://fragilestatesindex.org/</a> )</p>
<b>Ibrahim Index of African Governance (IIAG)</b>	<p>The IIAG is formed by four categories namely 1) Safety &amp; Rule of Law, 2) Participation &amp; Human Rights, 3) Sustainable Economic Opportunity and 4) Human Development. The index provides data from all 54 African countries in the time frame from 2008 to 2017. In total, 102 indicators from 35 sources are being used to measure governance in Africa. The index ranges from 0 to 100 whereas 100 means perfect governance conditions in a country.</p> <p>(See <a href="http://mo.ibrahim.foundation/iiag/">http://mo.ibrahim.foundation/iiag/</a> )</p>

## 2 Development partners' approaches to GG

The following table presents an overview of the definition, understanding and portfolio in the area of GG of other development partners. The contents therein are based on the desk research conducted during this evaluation's inception phase.

**Table 2 – Development partners' approaches to GG**

Actor	Term	Definition	Understanding & Portfolio
<b>ADA</b>	Good Governance	"In the context of a political and institutional environment that upholds human rights, democratic principles and the rule of law, GG is the transparent and accountable management of human, natural, economic and financial resources for the purpose of equitable and sustainable development." <sup>1</sup> (BMEIA, 2011, p.5)	<p><u>Understanding:</u></p> <ul style="list-style-type: none"> <li>- Six sectors of engagement: Human Rights, Democratization, Peace Building, Rule of Law and Justice, Civil society and Administrative reform</li> <li>- Four principles: (1) Participation, ownership and empowerment, (2) Transparency and Accountability, (3) (Mainstreaming) conflict prevention, and (4) Anti-Corruption Measures. (BMEIA, 2011)</li> </ul>
<b>UNDP</b>	Democratic Governance	UNDP defines democratic governance via the Sustainable Development Goals, specifically through Goal 16: " <i>Promote peaceful and inclusive societies for sustainable development; provide access to justice for all; and build effective, accountable and inclusive institutions at all levels.</i> " (UNDP, 2019a)	<p><u>Understanding:</u></p> <p><i>"We support the peaceful resolution of conflicts, promote the rule of law and access to justice, citizen security and human rights. We assist governments in strengthening their public institutions, help countries reduce corruption and support inclusive participation to ensure that no one is left behind"</i> (UNDP, 2019b)</p> <p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- Conflict prevention</li> <li>- Inclusive political processes</li> <li>- Responsive and accountable institutions</li> <li>- Rule of law, justice, security and human rights</li> <li>- Empowering youth</li> <li>- Fight corruption</li> <li>- Preventing violent extremism</li> <li>- HIV and health</li> </ul>

<sup>1</sup> It should be noted that the definition adopted by the ADC only reflects parts of the original definitions defined in the ACP-EU Cotonou Partnership Agreement.

Actor	Term	Definition	Understanding & Portfolio
<b>World Bank</b>	Governance	"Governance is the process through which state and non-state actors interact to design and implement policies within a given set of formal and informal rules that shape and are shaped by power." (World Bank, 2017, p.3)	<p><u>Understanding:</u>  <i>"Building capable, efficient, open, inclusive, and accountable institutions is critical for sustainable growth and is at the heart of the World Bank's twin goals of ending extreme poverty and boosting shared prosperity."</i> (World Bank, 2019)</p> <p><u>Portfolio:</u>  The Governance Global Practice's strategic priorities focus on five key areas</p> <ul style="list-style-type: none"> <li>- Strengthening public policy processes</li> <li>- Promoting effective resource management</li> <li>- Reinforcing public service delivery</li> <li>- Strengthening the public-private interface</li> <li>- Understanding the underlying drivers and enablers of policy effectiveness</li> </ul>
<b>OECD</b>	Public Sector Governance	"Public sector governance is as much about strengthening core state functions (such as public finance and public procurement) as it is about ensuring that all citizens – including women and children, older persons, those with disabilities, and marginalized groups – all enjoy a full range of civil and human rights. Strengthening institutions means taking a holistic approach, and working not only with governments, but also with parliaments, independent institutions (such as Supreme Audit Institutions), the media, civil society, and the private sector." (OECD, 2019a)	<p><u>Understanding:</u>  <i>"Strengthening governance mechanisms and practices is an essential element to the effective delivery of public services and to ensuring citizens to hold their governments to account in meeting their development goals."</i> (OECD, 2019b)</p> <p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- Economic and financial crime (delivering responses to curb corruption and illicit financial flows)</li> <li>- Public sector governance and institutions: supporting more effective and inclusive public sector institutions</li> <li>- Governance support: facilitating exchange between governance practitioners and experts to identify and scale best practices → OECD-DAC Network on Governance (GOVNET) (OECD, 2019b)</li> </ul>
<b>EU</b>	(Good) Governance	"Governance concerns the state's ability to serve the citizens. Governance refers to the rules, processes, and behavior by which interests are articulated, resources are managed, and power is exercised in society." (European Commission, 2014, p.5)	<p><u>Understanding:</u>  <i>"As the concepts of human rights, democratization and democracy, the rule of law, civil society, decentralized power sharing, and sound public financial management gain importance and relevance, a society develops into a more sophisticated political system and governance evolves into good governance."</i> (Directorate-General for External Policies, 2016)</p> <p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- The EU gives strong priority to supporting the effectiveness of government institutions, in particular with regard to public sector reform and legal and judicial development. In its support for</li> </ul>

Actor	Term	Definition	Understanding & Portfolio
			<p>democratic governance, the EU focuses particularly on elections, human rights and assistance for civil society.</p> <ul style="list-style-type: none"> <li>- The EU action should center on the support and promotion of democracy, human rights and the rule of law, gender equality, civil society and local authorities, public-sector management, corruption, tax policy and administration. (European Commission, 2011)</li> </ul>
<b>BMZ</b>	Good Governance	<p><i>"The term "Governance" encompasses the way in which a state makes decisions, formulates political agendas and implements them. Good Governance is transparent, effective and ensures accountability. Good Governance ensures the participation of the whole population and considers the opinion and needs of minorities. All citizens receive necessary public goods and social services."</i> (BMZ, 2019)</p>	<p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- Governance</li> <li>- Human Rights</li> <li>- Democracy</li> <li>- Participation</li> <li>- Rule of Law</li> <li>- Corruption</li> <li>- Decentralization</li> <li>- E-Governance</li> <li>- Freedom of Expression</li> <li>- Good Financial Governance</li> <li>- EITI (BMZ, 2019)</li> </ul>
<b>SIDA</b>	Democratic Governance / Governance	<p><i>"Democratic governance includes democracy, human rights, and public administration, which are intrinsically related. Democratic governance is about the use of power and how state institutions and citizens relate to each other to make change happen."</i> (SIDA, 2014, p.2)</p>	<p><u>Understanding:</u></p> <p><i>"Human rights are an integral part of international law and a prerequisite for upholding peace and security, and for just, equitable, gender-equal and sustainable development. They are integral both in definition and to upholding democracy and the principles of the rule of law. To be fully enjoyed, however, they require systems of democracy and the principles of the rule of law that include free and independent elections as essential elements. Democracy and respect for human rights, gender equality and the principles of the rule of law are goals in and of themselves, but also a means of achieving other goals."</i> (Sida, 2014)</p> <p><u>Portfolio:</u></p> <p><i>"inclusive and democratic societies"</i> as one of three objectives, encompassing:</p> <ul style="list-style-type: none"> <li>• Strengthened democratic principles, processes and governance for independent and transparent societies based on the rule of law</li> <li>• Increased democratic participation and influence</li> <li>• Strengthened preconditions for freedom of expression (Government Offices of Sweden, 2017)</li> </ul>

Actor	Term	Definition	Understanding & Portfolio
<b>DFID</b>	Governance	" <i>Governance is about the use of power, authority and how a country manages its affairs.</i> " (DFID, 2019, p.4)	<p><u>Understanding:</u> Strengthening global peace, security and governance: the government will invest more to tackle the causes of instability, insecurity and conflict, and to tackle crime and corruption. This is fundamental to poverty reduction overseas, and will also strengthen our own national security at home. (DFID, 2015)</p> <p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- Tackle causes of instability, insecurity and conflict</li> <li>- Tackle crime and corruption</li> </ul>
<b>USAID</b>	Democratic Governance	" <i>Democratic Governance - Building open, responsive, and accountable institutions and processes that serve the needs and preferences of the public.</i> " (USAid, 2017)	<p><u>Understanding</u> "<i>Democratic governance and human rights are critical components of sustainable development and lasting peace.</i>" (USAid, 2019)</p> <p><u>Portfolio:</u></p> <ul style="list-style-type: none"> <li>- Democratic Governance - Building open, responsive, and accountable institutions and processes that serve the needs and preferences of the public.</li> <li>- Participation - Ensuring that all have the opportunity to participate and have a voice in how they will be governed.</li> <li>- Fair Competition - Promoting free, transparent and fair political competition so that citizens' preferences are represented.</li> <li>- Civil Society and Independent Media - Defending citizens' rights of association and expression, so that they can play a role in their country's future.</li> <li>- Justice - Holding institutions and people responsible to the rule of law. (USAid, 2013)</li> </ul>

### 3 Theory of change

To achieve a common understanding of the objectives of ADC's operational engagement on Good Governance, including how ADC intends to achieve these objectives, a theory of change (ToC) with two components was developed in the inception phase of the Strategic Evaluation of the ADC's Engagement on Good Governance (2007-2017):

- The **first component of the theory of change** visualizes **GG as core area of intervention**, and within this, the core of Good Governance to be assessed in this evaluation as per the Terms of Reference <sup>2</sup>

*This component forms the basis of the theory-based evaluation design for the assessment of effectiveness / impact, as per the focus defined in the Terms of Reference.*

- The **second component of the theory of change** visualizes **intended synergies between GG as core area, sector-specific GG and mainstreaming**.

*This component serves as an underpinning to assess the strategic approach to Good Governance as well as coherence and complementarity.*

The theory of change (incl. input provided by representatives of the ADA coordination offices) has been presented, discussed and finalized in a workshop with representatives from ADA and the BMEIA. In addition, representatives of the ADA field offices as well as selected interviewees from the exploratory interviews were given the opportunity to comment on the ToC. Slight adaptations were made after the conduct of the two country case studies in Albania and Uganda. As an additional exercise of the commenting, participants of the workshop and commentators were asked to prioritize impact hypotheses from output to outcome level. This prioritization exercise provided insights into which outcomes and connections were deemed particularly important and why. In the following, the revised ToC including the prioritized impact hypotheses (from output to outcomes) are highlighted.

The ToC presented here provided the basis for the evaluation. Once the evaluation is concluded, this ToC will form the basis for the development of a ToC for ADC's future GG engagement. As expressed by multiple workshop participants, the re-conceptualization of the GG engagement could also lead to a focusing and consolidation of the GG engagement, depending on the findings of the evaluation.

The ToC consists of boxes, which represent impacts, outcomes, outputs, activities and inputs, as well as arrows. The arrows represent causal impact hypotheses, e.g. an arrow between an output and an outcome means that it is hypothesized that the achievement of this output will lead to the outcome. In this way, the ToC is a linear order of causal relationships that link the program's direct outputs to the overall impacts it aspires to achieve. As such, it consists of different interconnected and independent components:

- **Inputs / activities:** "The financial, human, and material resources used for the development intervention"
- **Outputs:** "The products, capital goods and services which result from a development intervention"
- **Outcomes:** "Likely or achieved short-term and medium-term effects"
- **Impacts:** "Positive and negative, long-term effects produced (intended or unintended)" (all definitions according to the OECD-DAC, 2010)

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<sup>2</sup> In line with the Terms of Reference, security management and reform, civilian peace building, conflict prevention and resolution, participation in international peacekeeping operations, reintegration and SALW control, child soldiers and general budget support-related aid are excluded from the evaluation and therefore not included in the theory of change.

In the following, the two components of the ToC are presented.

The theory of change component on GG as core area is presented in more depth as it contains more detailed impact hypotheses that form the basis of the assessment of effectiveness and impact. Consequently, each impact hypotheses from output to outcome and outcome to impact is presented in turn.

The theory of change component on the sector-specific GG engagement illustrates synergies between the core area Good Governance engagement and other sector-specific projects/programs in which Good Governance principles are applied.

### 3.1 Theory of change component for GG as core area of intervention

The ToC component for GG as core area of intervention is depicted in Figure 10. It shows that GG is a highly complex area of intervention with many interconnected components. On an overarching level, one **underlying assumption of the ToC** is that effects in Good Governance are dependent on the level of partner orientation; that is to what extent interventions are contextualized and adapted to the institutional needs and realities of the partner countries. Furthermore, considering the complexity and long-term nature of governance interventions, one can further assume that the outcomes achieved through ADC will be contingent on the financial scope and the length of the interventions in an area.

The overarching **impacts** to which ADC seeks to contribute are derived from the ADC law: poverty reduction in partner countries [I 6], safeguarding peace and human security [I 7] and protection of the environment [I 8]. In line with partner orientation, all ADC activities should further contribute to the attainments of long-term objectives of partner countries [I 9]. The underlying rationale of ADC's GG engagement is that Good Governance contributes to these overarching impacts. Since Good Governance is an ill-defined concept (see e.g. chapter 2, Gisselquist, 2012; Grindle, 2007), it is used here as an umbrella term that is broken down into more specific intended impacts of ADC's GG engagement. These are contributions to:

- equitable and efficient, transparent and accountable public management [I 1],
- enhanced democratic participation [I 2],
- a strengthened rule of law and justice system [I 3],
- respect for human rights [I 4],
- promotion of gender equality & empowerment of women and girls [I 5].

To contribute to these impacts, ADC seeks to achieve change in **three main outcome areas**: (1) government effectiveness, (2) rule of law and (3) democratic participation and quality of democracy. In the following, these outcome areas are first presented before describing selected impact hypotheses that will be analyzed in this evaluation.

- **Government effectiveness** encompasses that:
  - Partner governments have engaged in administrative reform [OC 1],
  - Existing administrative frameworks are implemented by partner governments of ADC [OC 2],
  - Administrative processes are strengthened in the medium to long-term [OC 3],
  - The functioning of public sector institutions is improved [OC 4].

IH	Impact hypotheses from government effectiveness to impacts
1	<p>If partner governments have engaged in administrative reform processes [OC 1], then this contributes to equitable and efficient, transparent and accountable public management [I 1].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i></li> </ul>
2	<p>If existing administrative frameworks are implemented by partner governments of ADC [OC 2], then this contributes to equitable and efficient, transparent and accountable public management [I 1].</p> <p><i>Necessary conditions:</i></p> <p><i>The content of the administrative frameworks is suitable, and these existing frameworks have been implemented successfully.</i></p>
3	<p>If administrative processes are strengthened in the medium to long-term [OC 3], then this contributes to equitable and efficient, transparent and accountable public management [I 1].</p>
4	<p>If partner governments have engaged in administrative reform processes [OC 1], then this contributes to the promotion of gender equality &amp; empowerment of women and girls [I 5].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The reform processes tackle aspects of gender equality and equal participation in the administration and beyond.</i></li> </ul>
5	<p>If existing administrative frameworks are implemented by partner governments of ADC [OC 2], then this contributes to the promotion of gender equality &amp; empowerment of women and girls [I 5].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Existing administrative frameworks address aspects of gender equality and equal participation in the administration and beyond.</i></li> </ul>
6	<p>If administrative processes are strengthened in the medium to long term [OC 3], then this contributes to a strengthened rule of law and justice system [I 3].</p>
7	<p>If administrative processes are strengthened in the medium to long term [OC 3], then this contributes to the respect for human rights [I 4].</p>
8	<p>If the functioning of public sector institutions is improved [OC 4], then this contributes to equitable and efficient, transparent and accountable public management [I 1].</p>
9	<p>If the functioning of public sector institutions is improved [OC 4], then this contributes to a strengthened rule of law and justice system [I 3].</p>
10	<p>If the functioning of public sector institutions is improved [OC 4], then this contributes to the respect for human rights [I 4].</p>

- **Rule of law** encompasses that:
  - Duty-bearers fulfill their duties [OC 5],
  - Partner governments have engaged in legal reform processes [OC 6],
  - Legal reform is enacted [OC 7],
  - Access to justice is improved [OC 8].

IH	Impact hypotheses from rule of law to impacts
11	If duty-bearers fulfill their duties [OC 5], then this contributes to the respect for human rights [I 4].
12	If duty-bearers fulfill their duties [OC 5], then this contributes to the promotion of gender equality & empowerment of women and girls [I 5].
13	If partner governments have engaged in legal reform processes [OC 6], then this contributes to a strengthened rule of law and justice system [I3].  <i>Necessary conditions:</i>  <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i>
14	If legal reform is enacted [OC 7], then this contributes to a strengthened rule of law and justice system [I 3].  <i>Necessary conditions:</i> <ul style="list-style-type: none"> <li>• <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i></li> </ul>
15	If partner governments have engaged in legal reform processes [OC 6], then this contributes to the respect for human rights [I 4].  <i>Necessary conditions:</i>  <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i>
16	If legal reform is enacted [OC 7], then this contributes to the respect for human rights [I 4].  <i>Necessary conditions:</i> <ul style="list-style-type: none"> <li>• <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i></li> </ul>
17	If partner governments have engaged in legal reform processes [OC 6], then this contributes to the promotion of gender equality & empowerment of women and girls [I 5].  <i>Necessary conditions:</i>  <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i>
18	If legal reform is enacted [OC 7], then this contributes to the promotion of gender equality & empowerment of women and girls [I 5].

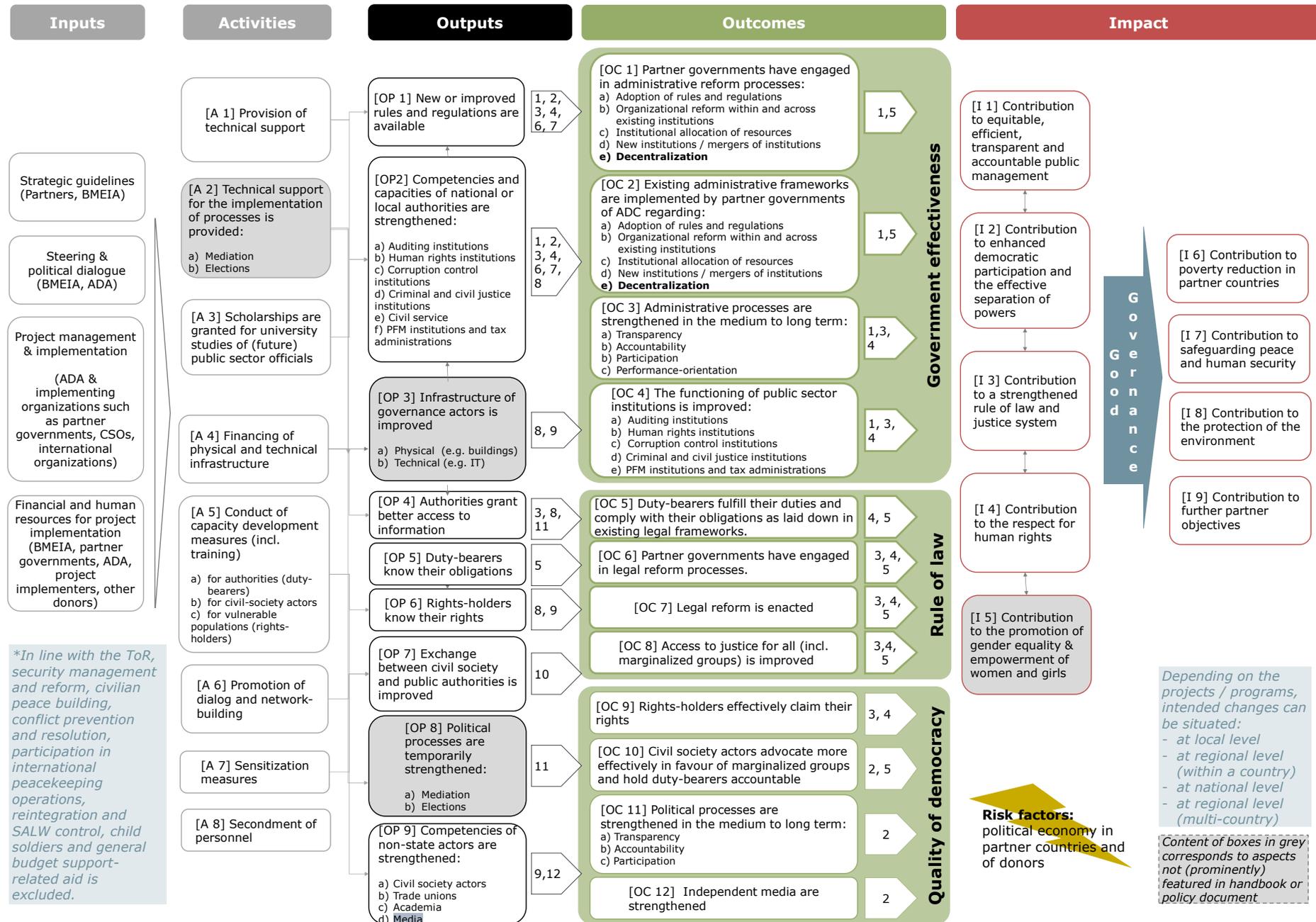
	<p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The content of the reforms is suitable, and the reform processes have been implemented successfully.</i></li> </ul>
19	If access to justice is improved [OC 8], then this contributes to a strengthened rule of law and justice system [I 3].
20	If access to justice is improved [OC 8], then this contributes to the respect for human rights [I 4].
21	If access to justice is improved [OC 8], then this contributes to the promotion of gender equality & empowerment of women and girls [I 5].

- **Democratic participation and quality of democracy** encompasses that:
  - Rights-holders effectively claim their rights [OC 9],
  - Civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10],
  - Political processes are strengthened in the medium to long term [OC 11],
  - Independent media are strengthened [OC 12].

IH	Impact hypotheses from democratic participation and quality of democracy to impacts
22	<p>If rights-holders claim their rights [OC 9], then this contributes to a strengthened rule of law and justice system [I 3].</p> <p><i>Assumption:</i></p> <ul style="list-style-type: none"> <li>• <i>When rights-holders claim their rights, justice is effectively provided.</i></li> </ul>
23	<p>If rights-holders claim their rights [OC 9], then this contributes to the respect for human rights [I 4].</p> <p><i>Assumption:</i></p> <ul style="list-style-type: none"> <li>• <i>When rights-holders claim their rights, justice is effectively provided, and human rights are thereby safeguarded.</i></li> </ul>
24	If civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10], then this contributes to enhanced democratic participation and the effective separation of powers [I 2].
25	<p>If civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10], then this contributes to the promotion of gender equality &amp; empowerment of women and girls [I 5].</p> <p><i>Necessary condition:</i></p> <ul style="list-style-type: none"> <li>• <i>Civil society actors advocate in favor of gender equality (incl. the empowerment of women and girls).</i></li> </ul>
26	If civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10], then this contributes to enhanced democratic participation and the effective separation of powers [I 2].

27	<p>If political processes are strengthened in the medium to long term [OC 11], then this contributes to enhanced democratic participation and the effective separation of powers [I 2].</p> <p><i>Necessary condition:</i></p> <ul style="list-style-type: none"> <li>• <i>Political processes are strengthened in particular in terms of participation, in case of prior barriers to participation.</i></li> </ul>
28	<p>If independent media are strengthened [OC 12], then this contributes to enhanced democratic participation and the effective separation of powers [I 2].</p>

**Figure 1: Theory of change component for GG as core area of intervention**



It is assumed that ADC’s Theory of Change involves **synergies between the different outcome areas**. For example, an improvement of the functioning of public sector institutions (government effectiveness) can favor legal reform (rule of law). Another example is that if rights-holders claim their rights (democratic participation and quality of democracy), this favors an improved access to justice (rule of law). Furthermore, it is assumed that the reaching of one outcome will not guarantee the reaching of an impact. Instead, one underlying assumption is that the impacts can only arise if numerous outcomes have been reached.

To achieve the intended outcomes, ADC delivers a range of **outputs**. Depending on the project, these include that the new or improved rules or regulations are made available [OP 1], that competencies and capacities of local authorities are strengthened [OP 2], and that the infrastructure of governance actors is improved [OP 3]. Linked to this, at the output level, it is intended that authorities grant better access to information [OP 4], that competencies of non-state actors are strengthened [OP 8] and that rights-holders know their rights [OP 5]. Further intended outputs are that exchange between civil society and public authorities is improved [OP 5] and that political processes are temporarily strengthened [OP 7].

Due to the high level of interlinkages between different aspects of Good Governance, several of these outputs are linked to more than one outcome area. This is illustrated by the following **impact hypotheses from output to outcome level**, which are structured according to outcome areas, but where one output can contribute to outcomes in different areas. The hypotheses are structured along three main outcome areas in which ADC seeks to achieve change. The following table presents the impact hypotheses. It further presents the outcomes of the prioritization exercise with the workshop participants and other commentators. Overall, the exercise made apparent that the work with civil society, the human-rights based approach and access to justice issues are considered key themes of the ADC’s GG engagement:

IH	Impact hypotheses from outputs to government effectiveness	Prioritization
	<b>Engagement in administrative reform (Outcome 1)</b>	
29	<p>If new or improved rules and regulations are available [OP 1], governments have engaged in administrative reform processes [OC 1].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used.</i></li> <li>• <i>The rules and regulations create an impetus for change at the administrative level.</i></li> <li>• <i>There is an underlying willingness for change at the level of the government within the partner country.</i></li> </ul>	
30	<p>If competencies and capacities of national or local authorities are strengthened [OP 2] and local authorities apply these competencies and capacities towards administrative reform, governments have engaged in administrative reform processes [OC 1].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>National / local authorities apply these strengthened competencies and capacities in practice towards administrative reform processes.</i></li> </ul>	

	<ul style="list-style-type: none"> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> <li>• <i>There is an underlying willingness for change in the targeted public sector institutions.</i></li> </ul>	
	<b>Implementation of existing administrative frameworks (Outcome 2)</b>	
31	<p>If new or improved rules and regulations are available [OP 1], existing administrative frameworks have been implemented [OC 2].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used.</i></li> <li>• <i>The rules and regulations create an impetus for change at the administrative level.</i></li> </ul> <p><i>There is an underlying willingness for change at the level of the government within the partner country.</i></p>	
32	<p>If competencies and capacities of national or local authorities are strengthened [OP 2] and local authorities apply these competencies and capacities towards administrative reform, existing administrative frameworks have been implemented [OC 2].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>National / local authorities apply these strengthened competencies and capacities in practice towards implementation of existing administrative frameworks.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> </ul> <p><i>There is an underlying willingness for change in the targeted public sector institutions.</i></p>	
	<b>Strengthening of administrative processes (Outcome 3)</b>	
33	<p>If new or improved rules and regulations are available [OP 1], then administrative processes are strengthened in the medium to long term [OC 3].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used.</i></li> </ul>	
34	<p>If competencies and capacities of national or local authorities are strengthened [OP 2], then administrative processes are strengthened in the medium to long term [OC 3].</p> <p><i>Necessary conditions:</i></p>	<i>Prioritization was indicated but no reason given.</i>

	<ul style="list-style-type: none"> <li>• <i>National / local authorities apply these strengthened competencies and capacities in practice.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> </ul>	
35	<p>If authorities grant better access to information [OP 4], then administrative processes are strengthened in the medium to long term [OC 3].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Access is granted to both authorities and the public.</i></li> <li>• <i>The information granted can be used and understood by the public / rights-holders.</i></li> <li>• <i>This access translates into more efficient flows of information both within the administration and towards other actors (such as rights-holders and civil society).</i></li> </ul>	<i>Prioritization was indicated but no reason given.</i>
<b>Improvement of the functioning of public sector reform (Outcome 4)</b>		
36	<p>If new or improved rules and regulations are available [OP 1], then the functioning of public sector institutions is improved [OC 4].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used.</i></li> <li>• <i>There is an underlying willingness for change in the targeted public sector institutions.</i></li> <li>• <i>The targeted public sector institutions have adequate infrastructure and funding of running costs.</i></li> </ul>	
37	<p>If competencies and capacities of national or local authorities are strengthened [OP 2], then the functioning of public sector institutions is improved [OC 4].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>National / local authorities apply these strengthened competencies and capacities in practice towards administrative reform processes.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> <li>• <i>There is an underlying willingness for change in the targeted public sector institutions.</i></li> </ul>	<i>Prioritization was indicated but no reason given.</i>

IH	Impact hypotheses from outputs to rule of law	Prioritization
	<b>Fulfillment of duties by duty-bearers (Outcome 5)</b>	
38	<p>If duty-bearers know their obligations [OP 5] then duty-bearers fulfill their duties [OC 5].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Duty-bearers who know these obligations are still in office. If this is not the case, knowledge management systems are in place to ensure the transfer of this knowledge.</i></li> <li>• <i>Persons trained occupy adequate positions / have adequate room for maneuvering to influence practice.</i></li> </ul>	
	<b>Partner governments have engaged in legal reform processes (Outcome 6)</b>	
39	<p>If new or improved rules and regulations are available [OP 1], then partner governments engage in legal reform processes [OC 6].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used and create an impetus for change in the judiciary.</i></li> <li>• <i>There is an underlying willingness for change in the judiciary in the partner country.</i></li> <li>• <i>The power dynamics between executive, judiciary and legislative allow for legal reform.</i></li> </ul>	
40	<p>If competencies and capacities of national or local authorities are strengthened [OP 2], then partner governments engage in legal reform processes [OC 6].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Competencies and capacities are relevant for legal reform.</i></li> <li>• <i>National / local authorities apply these strengthened competencies and capacities towards legal reform.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> <li>• <i>An underlying willingness for change in the judiciary of the partner country is present.</i></li> </ul> <p><i>The power dynamics between executive, judiciary and legislative allow for legal reform.</i></p>	
	<b>Legal reform is enacted (Outcome 7)</b>	
41	<p>If new or improved rules and regulations are available [OP 1], then legal reform is enacted [OC 7].</p> <p><i>Necessary conditions:</i></p>	<i>Prioritization was indicated</i>

	<ul style="list-style-type: none"> <li>• <i>The rules and regulations are of high quality and appropriate content.</i></li> <li>• <i>The rules and regulations are practically applied / used and create an impetus for change in the judiciary.</i></li> <li>• <i>There is an underlying willingness for change in the judiciary in the partner country.</i></li> <li>• <i>The power dynamics between executive, judiciary and legislative allow for legal reform.</i></li> </ul>	<i>but no reason given.</i>
42	<p>If competencies and capacities of national or local authorities are strengthened [OP 2], then legal reform is enacted [OC 7].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Competencies and capacities are relevant for legal reform.</i></li> <li>• <i>National / local authorities apply these strengthened competencies and capacities towards legal reform.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> <li>• <i>An underlying willingness for change in the judiciary of the partner country is present.</i></li> <li>• <i>The power dynamics between executive, judiciary and legislative allow for legal reform.</i></li> </ul>	<i>Prioritization was indicated but no reason given.</i>
<b>Access to justice (Outcome 8)</b>		<b>All related IH prioritized:</b>  Access to justice issues are deemed central to ADC's GG engagement.
43	<p>If competencies and capacities of national or local authorities are strengthened [OP 2], then access to justice is improved [OC 8].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Competencies and capacities are relevant for access to justice issues.</i></li> <li>• <i>National / local authorities apply these strengthened competencies and capacities for improving access to justice.</i></li> <li>• <i>National / local authorities are still in power. If this is not the case, knowledge management systems are in place to ensure the transfer of strengthened competencies.</i></li> <li>• <i>Adequate infrastructure and funding of running costs in the targeted public sector institutions is given.</i></li> <li>• <i>An underlying willingness for change in the judiciary of the partner country is present.</i></li> <li>• <i>The political climate in the partner country does not obstruct access to justice.</i></li> </ul>	
44	<p>If infrastructure of governance actors is strengthened [OP 3] in the justice sector, then access to justice is improved [OC 8].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Infrastructure is provided for governance actors in the justice sector</i></li> </ul>	

	<ul style="list-style-type: none"> <li>• <i>Adequate funding of running costs in the targeted public sector institutions.</i></li> <li>• <i>The political climate in the partner country does not obstruct access to justice.</i></li> </ul>	
	<p>If authorities grant better access to information [OP 4], then access to justice is improved [OC 8].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Authorities grant access to information relevant for the access to justice issues for other authorities and the public.</i></li> <li>• <i>The political climate in the partner country does not obstruct access to justice.</i></li> </ul>	

<b>IH</b>	<b>Impact hypotheses from outputs to democratic participation and quality of democracy</b>	<b>Prioritization</b>
	<b>Rights-holders effectively claim their rights (Outcome 9)</b>	<b>All related IH prioritized:</b>
45	<p>If authorities grant better access to information [OP 4], then rights-holders effectively claim their rights [OC 9].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Authorities grant access to information to the public that is relevant to rights-holders learning about their rights and access to justice.</i></li> </ul>	Important because rights awareness and HRBA are central to ADC's engagement.
46	<p>If rights-holders know their rights [OP 5], then rights-holders effectively claim their rights [OC 9].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Rights-holders do not only know their rights but have been informed on how to claim their rights.</i></li> <li>• <i>The political climate in the country does not obstruct access to justice.</i></li> </ul>	Focus on marginalized and vulnerable groups is a niche of ADC.
47	<p>If infrastructure of governance actors is improved [OP 3] and physical access to justice institutions and technical access information is thereby improved, then rights-holders effectively claim their rights [OC 9].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>The improved infrastructure leads to improved physical access to justice institutions and technical access to information for the public.</i></li> <li>• <i>The political climate in the country does not obstruct access to justice.</i></li> </ul>	Interest to find out what actually leads to rights-holders claiming their rights.
	<b>Civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable (Outcome 10)</b>	<b>All related IH prioritized:</b>

48	<p>If competencies and capacities of non-state actors are strengthened [OP 8], then civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Civil society actors have strengthened competencies and capacities that are relevant to advocacy work.</i></li> <li>• <i>Civil society actors use these capacities and competencies.</i></li> <li>• <i>The political climate in the partner country does not obstruct the activities of civil society actors.</i></li> </ul>	<p>Important because rights awareness and HRBA are central to ADC's engagement.</p> <p>Focus on marginalized and vulnerable groups is a niche of ADC.</p>
49	<p>If exchange between civil society and public authorities is improved [OP 6], then civil society actors advocate more effectively in favor of marginalized groups and hold duty-bearers accountable [OC 10].</p> <p><i>Necessary condition:</i></p> <ul style="list-style-type: none"> <li>• <i>The political climate in the partner country does not obstruct the activities of civil society actors.</i></li> </ul>	
<b>Political processes are strengthened in the medium to long term (Outcome 11)</b>		
50	<p>If authorities grant better access to information [OP 4], then political processes are strengthened in the medium to long term [OC 11].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Access to relevant information is granted to civil society and political stakeholders.</i></li> <li>• <i>The stakeholders use this information.</i></li> <li>• <i>Laws and the political climate in the partner country do not obstruct freedom of the press and freedom of expression.</i></li> </ul>	
51	<p>If political processes are temporarily strengthened [OP 7], then political processes are strengthened in the medium to long term [OC 11].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Through the temporary strengthening of the political processes (e.g. through an election that was conducted in a fair and transparent manner), trust in the political processes is created, which is necessary for a structural strengthening of the political processes.</i></li> <li>• <i>The political climate in the partner country stays favorable.</i></li> </ul>	
<b>Independent media are strengthened (Outcome 12)</b>		
52	<p>If competencies of non-state actors are strengthened [OP 8], then independent media are strengthened [OC 12].</p> <p><i>Necessary conditions:</i></p> <ul style="list-style-type: none"> <li>• <i>Journalists and other media actors have strengthened capacities and competencies relevant to their work.</i></li> </ul>	

	<ul style="list-style-type: none"> <li>• <i>Journalists and other media actors apply these capacities and competencies in practice.</i></li> <li>• <i>Laws and the political climate in the partner country do not obstruct freedom of the press and freedom of expression.</i></li> </ul>	
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As becomes clear in the necessary conditions described above, the political economy in the partner countries is a **risk factor** to be considered in hypotheses on change in the different outcome areas.

Depending on the given project, **activities** to achieve outputs may include thematic and technical support for the elaboration of rules and regulations, technical support for the implementation of processes (e.g. mediation or elections), granting of scholarships for university studies of (future) public sector officials, and the financing of physical and technical infrastructure. Further activities include the implementation of training, networking and dialog as well as sensitization.

**Inputs** provided by BMEIA, ADA, the intervention implementers and the partner countries are the starting point for these activities. The BMEIA is responsible for steering and political dialog, based on which ADA selects and manages projects that correspond to the priorities of the partner country strategies. Depending on the context, the intervention implementers carrying out activities can either be national or international civil society organizations, international organizations, or partner governments.

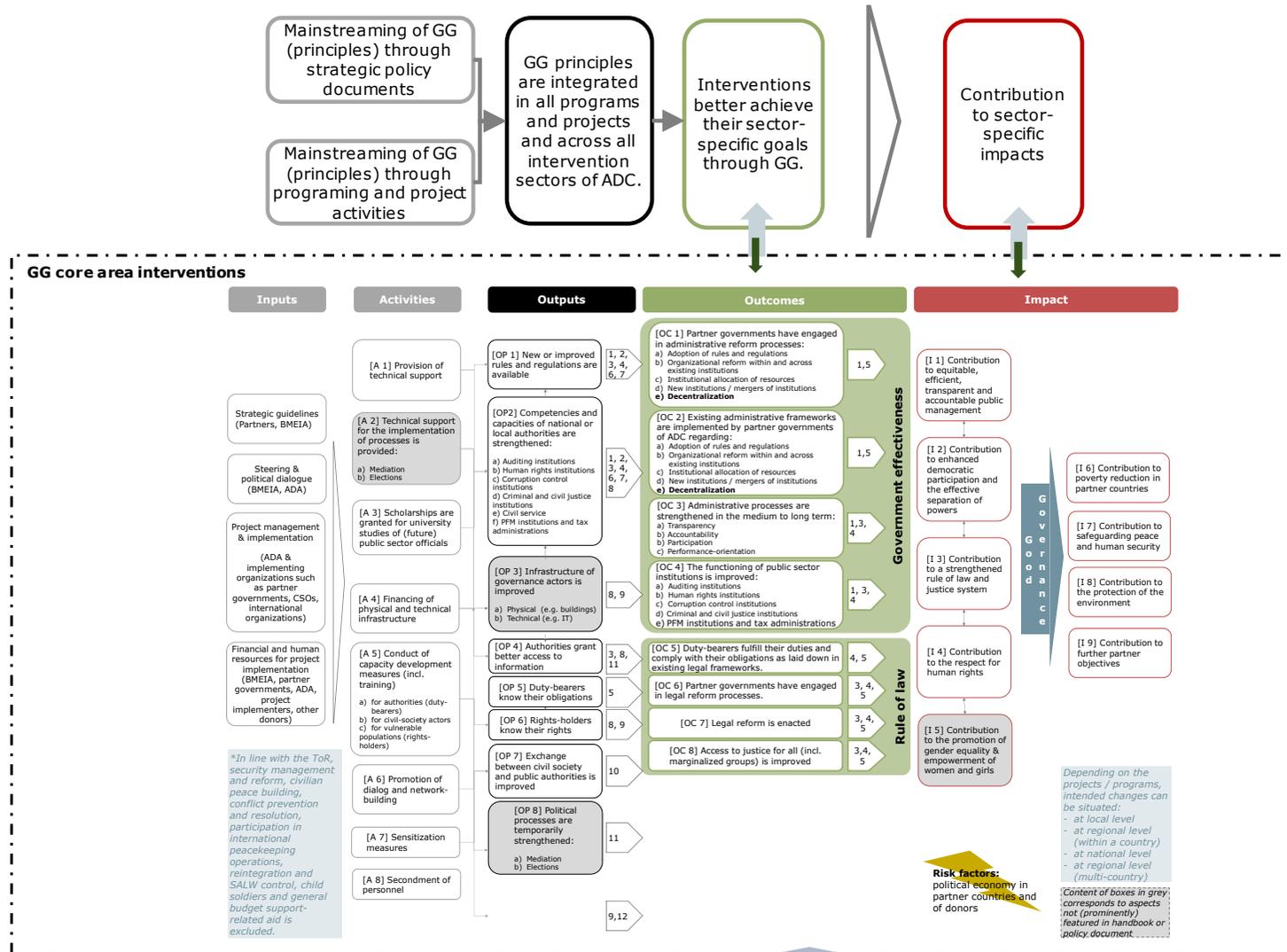
### 3.2 Theory of change component for intended synergies between GG as core area, sector-specific GG and mainstreaming

The ToC component for GG for intended synergies between GG as core area, sector-specific GG and mainstreaming is depicted in Figure 11.

It shows that:

- The activity of mainstreaming of GG (principles) through strategic policy documents and through programing and project activities is meant to ensure that GG principles are integrated in all programs and projects and across all intervention sectors of ADC.
- The integration of GG principles in all programs and projects and across all intervention sectors of ADC shall contribute to interventions better achieving their sector-specific goals (outside the GG core area).
- The outcomes of GG core area projects (improvements in the area of government effectiveness, rule of law, democratic participation and quality of democracy) contribute to interventions better achieving their sector-specific goals (outside the GG core area). To a lesser extent, achievement of sector-specific outcomes also contributes to achieving outcomes related to Good Governance.
- Likewise, the impacts of GG core area projects contribute to interventions better achieving their sector-specific impacts (outside the GG core area). To a lesser extent, the achievement of sector-specific impacts also contributes to achieving outcomes related to Good Governance.
- ADC’s participation in political dialog and international processes on GG complements its operational engagement and contributes to achieve its GG objectives.

Figure 2: Theory of change component for intended synergies between GG as core area, sector-specific GG and mainstreaming



**Political dialog and international processes on GG**

- Multilateral level
- Programing in Partner countries
- Budget support
- Political dialog

### 3.3 Definition and explanation of terms in the theory of change

One exercise of the ToC workshop included agreeing on the preliminary definition of terms in the ToC to allow for a joint understanding of the interventions. These definitions are based in part on the Policy Document on Good Governance as well as further literature. In the following, these definitions are presented. Beyond these definitions, further terms in the ToC are explained below to ensure a joint understanding of the ToC.

For the development of the ToC of the future ADC engagement, we propose a careful reviewing of these underlying terms. We deem this necessary to guarantee that a joint understanding of the ADC's intervention logic is formed.

#### Definitions:

- **Human rights:** Human rights encompass civil, political, economic, social and cultural rights. Together these rights are considered universal, indivisible and interdependent. (BMEIA, 2011)
- **Rule of law:** Rule of law is understood as the impartiality of the justice system, the validity and observance of the constitution and laws derived from it, separation of powers and equality before the law and legal institutions. (BMEIA, 2011)
- **Decentralization:** Decentralization encompasses the transfer of power, authority and responsibility within from the center to lower levels of the administration as well as the sharing of authority and resources for shaping public policy within society. It can be categorized into at least four forms: administrative, political, fiscal and economic. (Cheema & Rondinelli, 2007)
- **Democracy:** Democracy describes a systems with the following 8 characteristics: the right to vote; the right to be elected; the right of political leaders to compete for support and votes; elections that are free and fair; freedom of association; freedom of expression; alternative sources of information; and institutions that depend on votes and other expressions of preference. (Dahl, 1971)
- **Democratization:** Democratization can be understood as a complex, long-term, dynamic and open-ended process. It consists of progress towards a more rule-based, more consensual and more participatory type of politics. (Whitehead, 2002)
- **Civil society:** Civil society includes all non-state organizations such as grassroots movements, community-based organizations and in particular non-governmental organizations (NGOs) and other non-profit making associations that represent specific public interests. Examples include consumer associations, unions, human rights groups and grassroot movements. (BMEIA, 2011; adapted by including grassroot movements and CBOs)
- **Functioning administration of public resources:** Functioning administration of public resources is understood as the systematic and equitable distribution of public resources that is free of inappropriate government interventions or abuse of government competences. (BMEIA, 2011)
- **Administrative reform:** Administrative reform is a political process designed to adjust the relationships between a bureaucracy and other elements in a society, or within the bureaucracy itself. (Montgomery, 1967)

#### Further explanations:

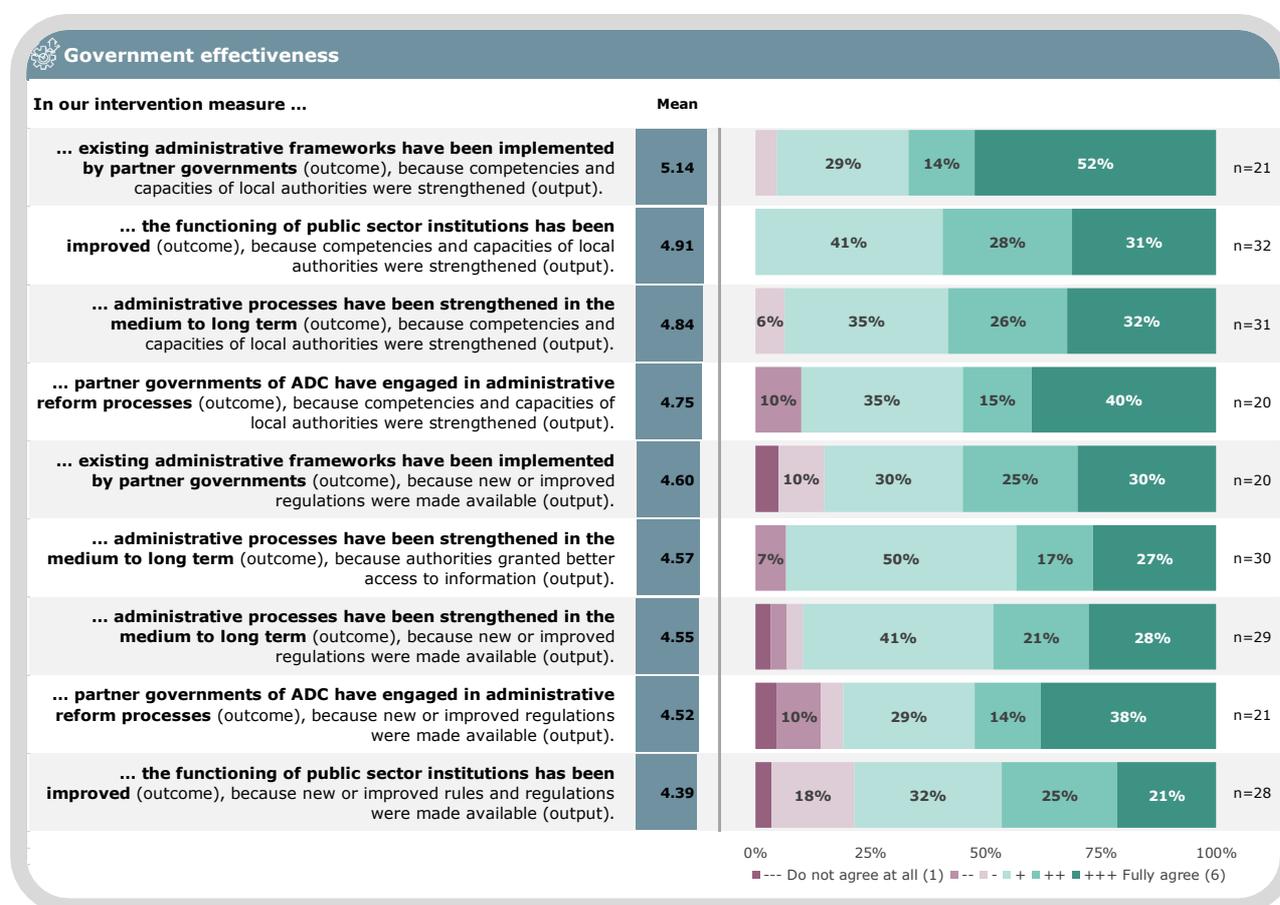
- **Legal reform:** Legal reform as used in this ToC refers to the revision and formulation of laws in all sectors.
- **Administrative processes are strengthened in the medium to long term:** A strengthening in the medium to long term of administrative processes is understood as the embedding of the principles of transparency, accountability, participation and/or performance orientation in all administrative processes. Ideally, this should lead to increased government effectiveness.

- **Political processes are strengthened in the medium to long term:** A strengthening of political processes in the medium to long term is understood as the embedding of the principles of transparency, accountability and/or participation in all political processes. Ideally, this should provide a basis for increased democratic participation.

### 3.4 Assessment of impact hypotheses

The ToC reconstructed in this evaluation was developed in a participatory process and subsequently validated in the online survey as well as the validation meeting with the Heads of coordination office. Within the online survey, the focus was put on assessing the impact hypotheses associated with the three outcome areas. More specifically, project implementers were asked to assess to what extent impact hypotheses were applicable within their intervention context. The following figures present the results per outcome area. As apparent in the figures, project implementers for the most part express agreement with impact hypotheses.

**Figure 3: Government effectiveness: assessment of impact hypotheses**



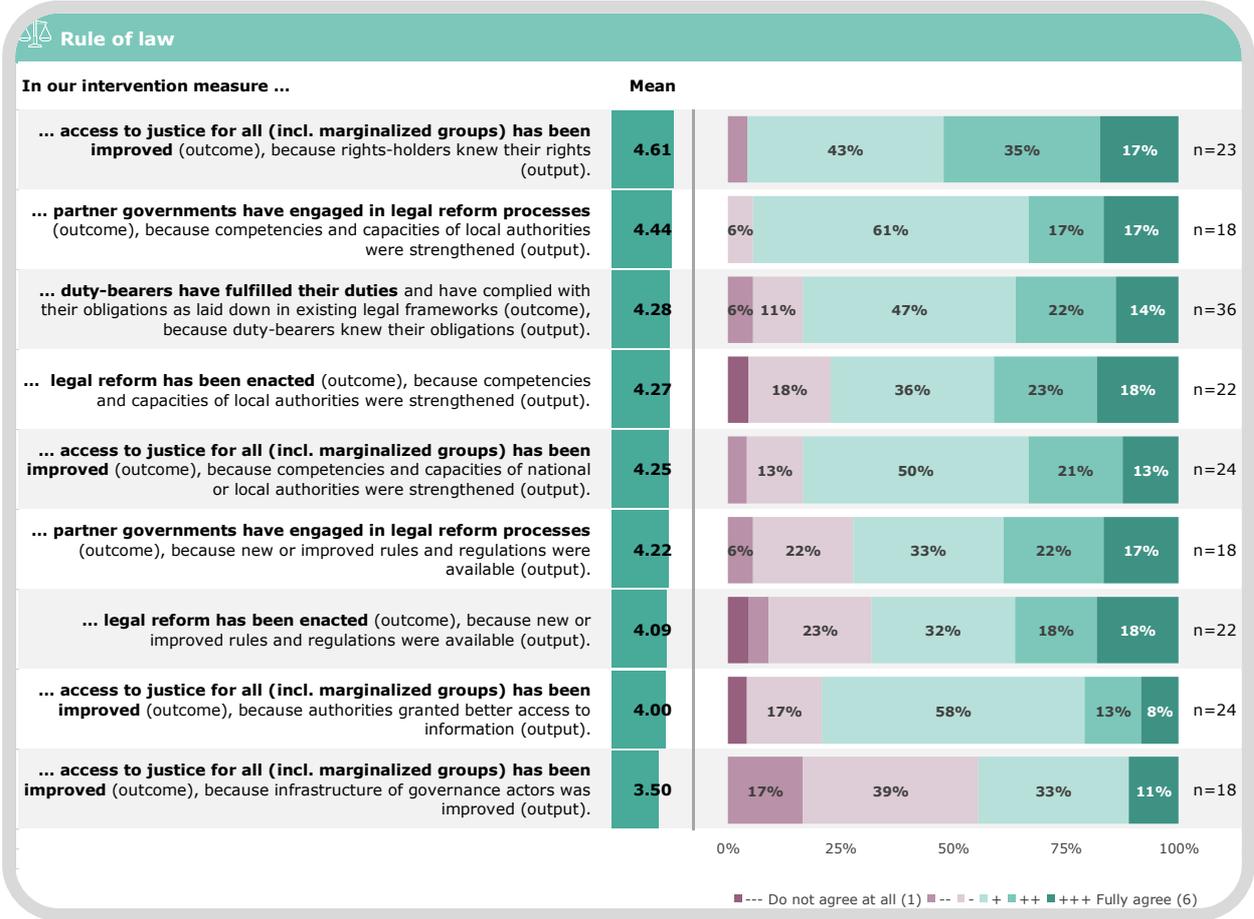
Source: Syspons 2019, based on the online survey

Within the outcome area “Government effectiveness” (see Figure 3), the hypothesis that new and improved rules and regulations led to an improvement of the functioning of public sector institutions was least applicable within the interventions participating in the survey. Compared with the other outcome areas (see Figure 2 and Figure 3), the average assessment is comparatively high, pointing to its relevance in multiple intervention contexts within ADC’s GG engagement.

Within the outcome area “Rule of Law” (see Figure 2), the impact hypotheses that were least applicable in the interventions in the online survey received a markedly lower average assessment. Less than half

of the interventions in the online survey seek to strengthen access to justice through improved infrastructure of governance actors.

**Figure 2: Rule of law: assessment of impact hypotheses**

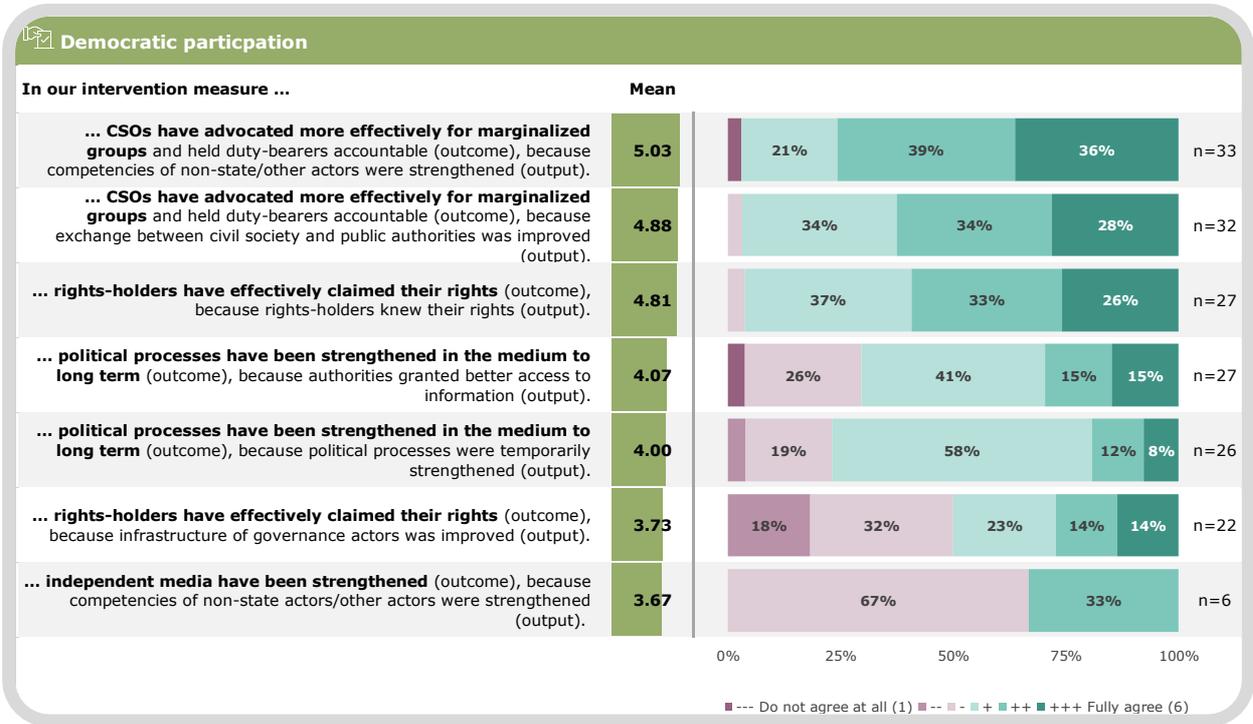


Source: Syspons 2019, based on the online survey

Finally, within outcome area “Democratic participation” (see Figure 3), the least applicable impact hypothesis was only relevant in the context of 33% of interventions working in the field (n=6). Furthermore, it concerns an outcome that interventions least addressed in the online survey. Similar to the outcome area “Rule of Law”, the impact hypothesis on the link between *improving infrastructure* (output) and *rights-holders effectively claiming their rights* (outcome), was relevant in only half of the interventions working towards the outcome (n=22).

The findings across outcome areas, offer some insights that can be considered by ADC in the development of a ToC for future GG engagement. Impact hypotheses that have been assessed less frequently and have been applicable in fewer interventions point towards impact pathways that might be less relevant for ADC’s GG engagement. For instance, the assessments suggest that interventions less frequently seek to improve infrastructure of governance actors as a means to reach a certain outcome. The output might consequently be less relevant in the context of ADC GG interventions. In turn, impact hypotheses that are applicable in many intervention contexts point towards particularly relevant impact pathways within GG interventions. A revision of the ToC should consequently address these impact pathways.

**Figure 3: Democratic participation: assessment of impact hypotheses**



Source: Syspons 2019, based on the online survey

## 4 Country case study Albania

The following section presents the context of and the interventions investigated in the country case study in Albania. The country case study was carried out from July 15 to July 26, 2019 in the Tirana, Shkodra and Lezhe municipalities. In total, four interventions were selected as the focus of the country case study and 45 people were interviewed in 33 interviews / focus groups.

### 4.1 Overview of the governance situation in Albania (2007 – 2017)

The Albanian governance context is strongly marked by the EU accession process, which is an important driver for reform. Albania entered negotiations on the Stabilization and Association Agreement in 2003 and has been a candidate since 2014. Albania received EUR 1.2bn funding under the Instrument for Pre-Accession Assistance (IPA) for the years 2007 – 2013. Austria is seen as one of the most prominent advocates of Albania’s EU accession. The two countries share a historically strong relationship marked by common resistance to the Ottoman Empire, and by support of Austria-Hungary to Albanian nation-building.

During the period subject to evaluation, a positive trend in governance indices can be observed in Albania, with stagnation in some areas (see Figure 4).

**Figure 4: Development of the Albanian governance context along selected indices**

	Index	2007 Score	2007 Rank	2012 Score	2012 Rank	2017 Score	2017 Rank	Development
<b>WGI</b>	Voice and Accountability	-0.11	51.92	-0.02	50.70	-0.20	54.19	➡
	Political Stability and Absence of Violence/ Terrorism	-0.20	37.68	-0.14	40.28	-0.40	61.90	⬆
	Government Effectiveness	-0.41	42.23	-0.27	46.45	-0.08	55.77	⬆
	Regulatory Quality	-0.06	55.34	-0.20	57.35	-0.22	62.02	➡
	Rule of Law	-0.65	30.62	-0.52	39.44	-0.40	39.42	➡
	Control of Corruption	-0.69	28.64	-0.73	27.49	-0.42	42.31	⬆
<b>BTI</b>	Status Index	7.1	33	7	31	6.8	30	➡
	Governance Index	5.6	46	5.4	49	6	24	➡
<b>CPI</b>		2.94	105	33	113	38	91	⬆
<b>FSI</b>		70.5	110	66.1	118	60.5	124	⬆

Source: Syspons 2019, based on an analysis of select governance indices<sup>3</sup>

### 4.2 ADC’s country strategies for Albania

The two ADC country strategies available for Albania do not cover the whole period subject to evaluation but nonetheless provide orientation regarding the priorities of the portfolio. The **country strategy 2007 – 2009** defined two thematic foci: (1) water, wastewater, environment and (2)

<sup>3</sup> See Section 2.4 for further descriptions of the governance indices.

tourism education. **Good governance** was a **cross-cutting issue** to be pursued in all activities at program and project level. Specifically, the following objectives were to be achieved:

- Greater transparency in administration and the use of public funds
- Separation of politics and public administration through autonomy and de-politicization of the administration
- Strengthening of local governments
- Strengthening of civil society
- Decentralization (especially in the education sector)

Gender was also defined as an ADC priority in Albania, with a focus on women's rights.

The **country strategy 2015 – 2020** states the endeavor to support Albania's EU integration and defines three thematic foci: (1) **governance and rule of law**, (2) integrated wastewater management and (3) labor market-oriented vocational education / employability. In the focus area of governance and rule of law, the following objectives are pursued:

- Strengthening the rule of law and accountability
- Implementation of human rights principles
- Equal access to justice for marginalized groups
- The promotion of the protection of disadvantaged groups
- The promotion of transparency and anti-corruption measures
- The modernization and digitalization of institutions by improving the quality and quantity of public services, above all citizen's access to such services
- Reducing poverty and inequality between rural and urban areas, and among municipalities and regions
- Public Finance Management Reform (PFMR)

The comparison between the country strategy 2007 – 2009 and the country strategy 2015 – 2020 raises the question to what extent there is a difference between (good) governance as a cross-cutting issue and as a thematic focus.

### **4.3 Brief overview of ADC's operational GG engagement in Albania**

The portfolio in Albania ranks 9th in terms of overall disbursement (EUR 11m) into Good Governance in the period subject to evaluation in comparison to other ADC priority countries. Around 40% (EUR 4.4m) of these disbursements account for disbursements into GG core area interventions.

Interventions within Albania are diverse in terms of focus, topic, budget and project implementers. From 2007 to 2017, 14 core area GG interventions were implemented in Albania in eight different focus areas. The interventions were further implemented by 11 different implementing organizations. Budgets of these interventions range from EUR 3m to EUR 6,800 (for an overview see Table 3). In the same time period, nine sector-specific GG interventions were implemented by seven different implementing organizations. These interventions mostly addressed social protection issues and water sector policy and administration (for an overview see Table 4).

Four of these interventions were selected as the focus of the country case study in Albania, out of which two were core area interventions<sup>4</sup>, and two were sector-specific interventions. The interventions which were the focus of the country case studies were analyzed in depth more than other interventions, both through document analysis and interviews.

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<sup>4</sup> In some cases, a number of projects were consolidated to one intervention as they were implemented by the same partner and characterized by strong continuity in terms of objectives, see information on the following pages.

In some cases, a number of projects were consolidated to one intervention as they were implemented by the same partner and characterized by strong continuity in terms of objectives. This concerns the interventions highlighted in darker blue below.

**Table 3: Core area GG interventions in Albania (2007-2017)**

Project number	Title	Project implementer	Focus area	Budget (In EUR)	Duration
<b>Interventions investigated in-depth in the country case study in Albania:</b>					
6520-00/2009	Project preparation facility- EC funds	Consortium of implementers	Public sector policy & administrative management	2,955,000	10/07/2009 - 16/02/2016
8265-00/2009	Developing a child protection safety net in Albania	Terre des Hommes (TdH) Albania	Human rights	620,000	01/10/2009 - 31/12/2012
<b>Further interventions in the portfolio:</b>					
6524-00/2010 & 6524-00/2015	Support and expansion of the Albanian treasury system - EC funds & ADC co-financing	Consortium of implementers	Public finance management (PFM)	1,540,000	15/04/2011 - 30/06/2016
8140-00/2016	Regional development programme in Albania (RDP 3)	DEZA (SDC)	Decentralization & support to subnational government	900,000	01/04/2017 - 31/03/2019
8153-00/2007 & 8153-00/2012	Support for the Integrated Planning Systems (IPS) I & II in Albania	World Bank - IBRD	Public sector policy & administrative management	638,483	15/11/2007 - 31/10/2014
8345-00/2017	ISDA Support Project - Innovation against corruption: building a citizen centric service delivery model in Albania	UNDP - Albania	Public sector policy & administrative management	600,000	01/05/2017 - 31/12/2019
8069-02/2006	Call for proposals SOE/01/2006: Not for sale: Fighting trafficking of women and girls in Albania	UNICEF - Albania	Human rights	350,000	01/01/2007 - 30/04/2008
8338-00/2015 & 8338-01/2015	Support to the Government of Albania for implementing the EU gender equality acquis	UNWOMEN - Albania Country Office	Women's equality organizations & institutions	268,800	01/05/2015 - 31/10/2016
8334-00/2016	Justice without delays	OSCE	Legal & judicial development	231,000	01/03/2016 - 31/12/2019
8069-06/2007	Call for proposals SOE 01/2006: Supporting the Government of Albania in the implementation of the national strategy in combating trafficking in human beings	OSCE	Human rights	163,192	01/01/2007 - 30/06/2009
8108-04/2010	Empowerment and health improvement for women	VOLKSHILFE ÖSTERREICH (NÄ)	Women's equality organizations & institutions	71,500	01/07/2010 - 30/06/2012
8108-01/2011	Women empowerment and health protection	Österreichische Caritaszentrale	Women's equality organizations & institutions	56,200	01/01/2011 - 31/12/2012
8330-00/2014	Building a bridge between parliament and civil society	OSCE	Democratic participation & civil society	50,042	01/12/2014 - 30/04/2017
8265-01/2009	Evaluation of the child protection unit intervention in the framework of decentralization process and welfare system in Albania	UNICEF - Albania	Human rights	6,800	15/09/2009 - 15/11/2009

**Table 4: Sector-specific GG interventions in Albania (2007-2017)**

Project number	Title	Project implementer	Focus area	Budget (in EUR)	Duration
<b>Interventions investigated in-depth in the country case study in Albania:</b>					
8140-00/2009 & 8140-01/2010	Regional development programme in Albania (RDP 1)	ÖAR	Urban development & management	4,269,832	20/05/2009 - 31/03/2015
8108-07/2011 & 8108-14/2014	Support to people with disabilities (Caritas Albania)	Österreichische Caritaszentrale	Social Protection	250,000	01/09/2011 - 30/09/2017
<b>Further interventions in the portfolio:</b>					
6525-00/2011 & 6525-01/2011 & 6525-02/2011	Technical assistance to the water supply and sanitation sector	ARGE - GFA Consulting Group	Water sector policy & administrative management	4,872,969	01/03/2013 - 31/08/2015
8347-00/2016	Improving the living conditions and reintegrating migrant children in Albania	Terre des Hommes Albania	Social Protection	472,000	01/04/2016 - 30/06/2019
8108-14/2017	INCLUSION - strategic intervention for people with disabilities in Albania	Österreichische Caritaszentrale	Social Protection	150,000	01/09/2017 - 31/08/2020
8108-04/2008	Valuable life (Wertvolles Leben - wertvoll leben)	Österreichische Caritaszentrale	Social Protection	72,500	01/07/2008 - 31/08/2011
8189-00/2012	Raising awareness and increase participation of civil society in country policies on water issues	REC - Albania	Water sector policy & administrative management	70,000	01/10/2012 - 31/07/2014
8139-00/2010	Technical assistance to support capacity development in the water and sanitation sector in Albania	KPC	Water sector policy & administrative management	38,922	15/02/2010 - 31/05/2010
8294-00/2012	Supporting implementation of national water supply and sewerage services sector strategy in Albania	Water Supply and Sewerage Association of Albania	Water sector policy & administrative management	30,000	01/08/2012 - 31/07/2013

## 4.4 Reconstructed theory of change and objectives of selected interventions

The diversity of interventions implemented makes it **challenging to reconstruct a theory of change** for Albania's GG engagement. Virtually all areas of the overarching ADC GG theory of change developed for this evaluation are somewhat addressed in the Albanian portfolio but visualizing this in a classic Theory of Change would create a misleading picture. ACD's Albanian portfolio is a "**potpourri**" of **different interventions** which are very diverse regarding their level of ambition. No overarching rationale of how these interventions shall jointly contribute to shared objectives can be discerned. This is depicted in Figure 5. The various interventions are supported in the achievement of their individual objectives through policy dialog by ADC.

In the following, an overview of the intended objectives of selected interventions grouped along the outcome areas of the overall Theory of Change for ACD's GG core area engagement is presented. These include the interventions subject to in-depth analysis in the country case studies and select others that repeatedly came up in the country case study interviews and / or can be considered illustrative of additional elements of the portfolio. This overview does not aspire to be comprehensive but shall rather provide a bigger picture.



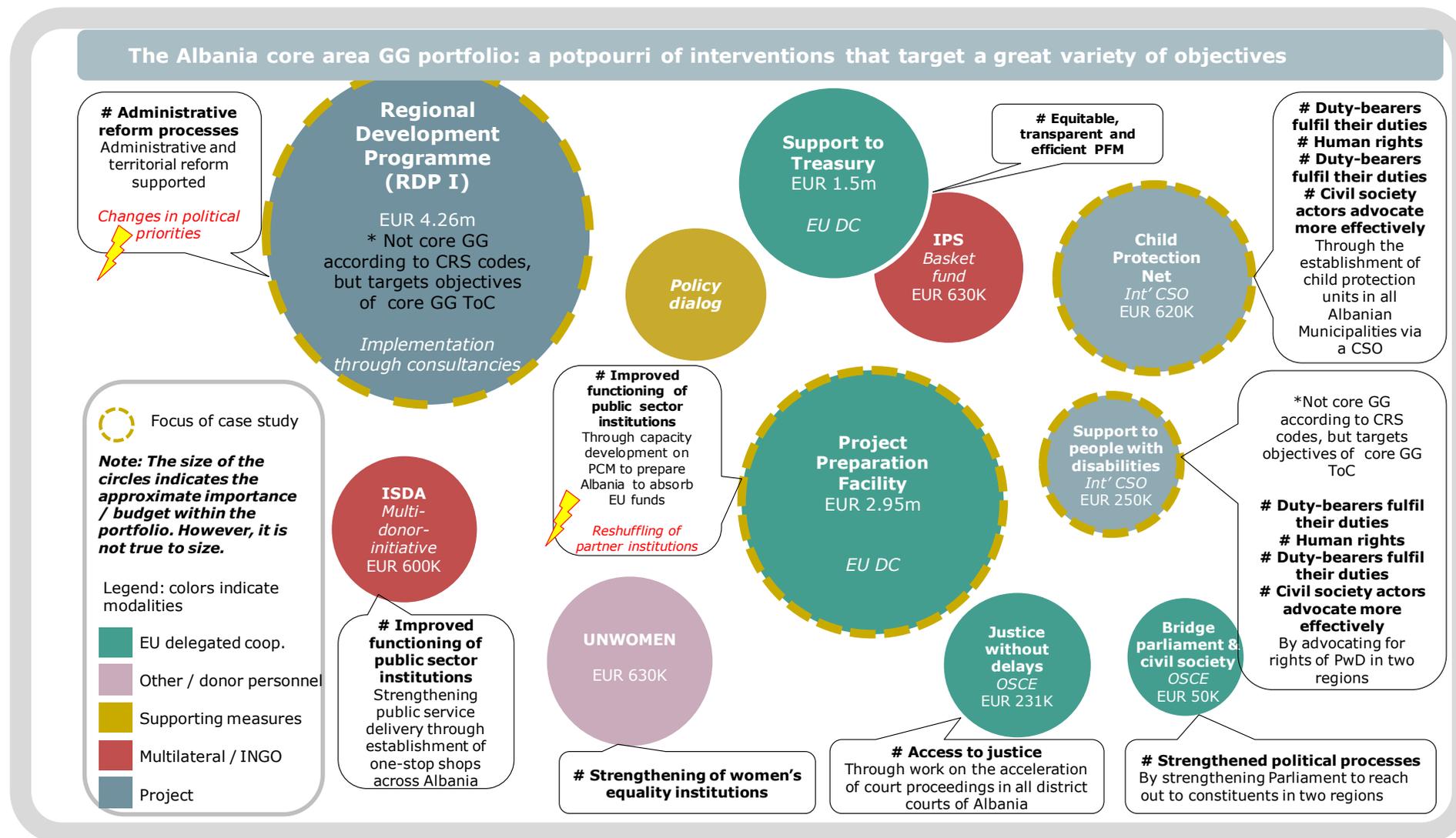
### Objectives and interventions related to government effectiveness

- To contribute to the **partner government's engagement in administrative reform processes** ADC financed the **Regional Development Program phase I** (budget EUR 4.25m). This intervention was jointly financed by ADC (lead donor funding 70%) and Swiss Development cooperation (30%)<sup>5</sup>. Specifically, it sought to support Albania's Territorial and Administrative reform in two Qarks (second-level administrative divisions), thereby improving citizens' access to quality public services and economic opportunities. The intervention was implemented jointly by an Albanian and an Austrian consultancy.
  - *Note: RDP Phase one is not a core GG intervention according to the definition of this evaluation (based on CRS codes). It does however target changes included in the overall Theory of Change for core GG developed for this evaluation.*
- Two interventions sought to contribute to **structurally strengthened administrative processes in the field of public financial management**:
  - ADC implemented an EU delegated cooperation related to the **Support and expansion of the Albanian Treasury System (SETS)** (budget EUR 1.5m). This intervention intended to strengthen the capacities of the Ministry of Finance, line ministries, spending units and large municipalities to improve financial management of government resources.
  - ADC's contribution to the **Integrated Planning System (IPS) basket fund** (contribution of EUR 620K of EUR 12.4m) also sought to strengthen public financial management. IPS is a broad planning and monitoring framework which aims at ensuring that the core policy and financial processes developed by the Government of Albania function in an integrated manner. The IPS basket fund is managed by the World Bank.

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<sup>5</sup> Information on respective contributions were not included in project documentation. They were obtained through personal communication, 04/11/2019

Figure 5: Visualization of the ADC GG portfolio in Albania



Source: Syspans 2019, based on an analysis of ADC's GG portfolio in Albania

- Two interventions sought to contribute to an **improved functioning of public sector institutions**:
  - To contribute to strengthened **public service delivery**, ADC participated in the multi-donor initiative **“Innovation Against Corruption: Building a Citizen Centric Service Delivery Model in Albania” (ISDA)** (contribution of EUR 600K of EUR 2m<sup>6</sup>) managed by UNDP. The pillars of this initiative are Front Office – Back Office Separation, centralized service delivery and a focus on online services.
  - In the context of the **EU accession process**, ADC implemented the EU delegated cooperation **PPF**, short for Project Preparation Facility (budget EUR 2.95m). The objective of this intervention was to strengthen the capacities of the Albanian authorities to submit good quality project proposals and action fiches to the European Commission for the Implementation of the European Partnership (EP) and the Stabilization Agreement (SSA). It also sought to strengthen authorities in the implementation of these projects and actions.



### Objectives and interventions related to the rule of law

- One intervention sought to contribute to **improved access to justice for all**:
  - ADC contributed financially to the **Justice without delays** initiative of the OSCE (contribution of EUR 231K). This nation-wide initiative seeks to improve the efficiency of judicial proceedings in all district courts in Albania through capacity development.
- To contribute to the promotion of gender equality and empowerment of women and girls, various interventions are financed, among others an **UNWOMEN** intervention to support the Government of Albania in implementing the EU Gender Equality acquis (budget EUR 620K).



### Objectives and interventions related to democratic participation and the quality of democracy

- To contribute to **structurally strengthened political processes**, ADC contributed financially to the **Building a Bridge between Parliament and Civil Society** intervention of the OSCE (contribution of EUR 50K). The intervention facilitates outreach of assembly members to the communities of Korca and Shkodra through the establishment of Regional Parliamentary Constituency Offices.
- It also financed the Terre des Hommes Albania intervention **Developing a Child Protection Net in Albania** (budget EUR 620K, total budget EUR 2.3m<sup>7</sup>). This intervention intended to contribute to the national efforts of Albania to address the situation of children in need of protection by testing and improving the performance of the Albanian child protection system in 9 municipalities. Part of the approach included empowering children / **rights-holders**<sup>8</sup> to **effectively claim their rights**.
- The intervention **Support to people with disabilities** (ADC contribution EUR 250K, Caritas Albania contribution EUR 255K) promoted respect for the rights of PwD and their access to education, health and cultural life in three Albanian municipalities (Vau-Deje, Lac and Elbasan). The approach included advocacy, capacity development, exchange and service delivery.

<sup>6</sup> Information on total budget was not included in project documentation. It was obtained through personal communication, 30/10/2019

<sup>7</sup> Information on total budget was not included in project documentation. It was obtained through personal communication, 05/11/2019

<sup>8</sup> The human rights-based approach (HRBA) cuts across two outcome areas of the ToC: rule of law and democratic participation. While duty-bearers fulfilling their duties is subsumed under the outcome area rule of law in the ToC, the two CSO interventions presented in this section did not work in the area of rule of law but followed a human rights-based approach.

- *Note: Support to people with disabilities is not a core GG intervention according to the definition of this evaluation (based on CRS codes). It does however target changes included in the overall Theory of Change for core GG developed for this evaluation.*
- While none of the interventions has strengthening civil society actors as objectives, the underlying rationale for ADC to implement various interventions through CSOs (e.g. Terre des Hommes and Caritas) is to strengthen **civil society actors** to **advocate more effectively in favor of marginalized groups and hold duty-bearers accountable**.

To support the achievements of objectives of interventions in all three outcome areas, ADC contributed to **policy dialog** with the Albanian government, engaged in coordination with other development partners, and supported its partners in mainstreaming Good Governance principles. While no implicit theory of change for the GG engagement existed and engagement was **often opportunity driven**, reports from ADC's Albanian coordination office document **strategic considerations in some instances**, e.g. engagement in the Treasury and IPS to ensure access to dialog on public spending.

## 4.5 Effectiveness of ADC's GG engagement in Albania

The effectiveness of ADC's GG engagement in Albania is presented along the areas of ADC's overall Theory of Change. The analysis draws on monitoring and evaluation data from projects and programs and on interviews conducted during the country case study. Because the objective of the country case study was to provide a bigger picture of changes at the level of the country portfolio, this chapter does not aim for comprehensiveness but rather focusses on the most significant changes mentioned in key informant interviews and which could be corroborated through document analysis.

An overarching conclusion on the effectiveness / impact of Good Governance in Albania proves difficult because of the **different levels of objectives and indicators** of the interventions. One characteristic shared by several interventions is that intended changes beyond output-level often include **capacity development**. While capacity development at individual level has taken place, sustainability of capacity development at **institutional level** has been hampered in two major interventions (PPF and RDP) because of a **reshuffling of the organizations** which were beneficiaries.

Another overarching observation is that for interventions where ADC is one of several contributors to pooled funding / multi-donor initiatives, the effectiveness of ADC is difficult to analyze separately from contributions of other development partners. To provide context, information on the financial contribution of ADC against the overall budget of a given intervention is presented wherever this information was available to the evaluation. At the same time, contributions to these interventions are not only of financial nature, as active participation in policy dialog can also contribute to achieve results. In this regard, development partners and Albanian counterparts concurred that ADC is very visible in policy dialog, especially for a small country with limited development cooperation funding. In this regard, the physical representation of ADC through its **coordination office** and the presence of the Austrian Ambassador constitutes an **added value**. This added value is particularly significant because the physical presence of bilateral cooperation partners is limited in Albania, as a sizeable share of their contributions to cooperation is implemented through multilateral institutions.



### Effectiveness: Government effectiveness

The contribution made by the **Regional Development Program Phase I** to the partner government's engagement in administrative reform was only **partly successful**. The intervention's support to Albania's **Territorial and Administrative Reform** was hampered because of a lack of political will and a lack of a champion at the level of the national government. The intervention's approach had been to strengthen two Qarks to constitute a model for regional development. However, as the Territorial and Administrative Reform in Albania progressed, it became

clear that the Qarks would not play a significant role. Thus, while the program developed capacities of the two Qarks, the **assumptions made regarding the role of these entities in regional development did not hold** (OEAER et al., 2015). Nonetheless, several representatives that benefitted from capacity development through the program continue to work in the Albanian administration and state that the skills and competencies they acquired, especially in **proposal writing, project management and reporting**, enable them to do their job more effectively. One interviewee stated that the entity for which she was currently working was able to acquire third-party funding for 10 different projects, including funding for one major IPA project (the EU Assistance Program for Pre-accession) after the end of RDP 1, and that this would not have been possible without the skills acquired in the program. One successful mechanism through which the program fostered project management capacities at the level of local authorities, but also at the level of CSOs, was a small grants scheme (OEAER et al., 2015). This was a fund to which the program had allocated EUR 2m (out of its total budget of EUR 5.16m) which were administered by the Qarks and to which local municipalities and could apply for funding of regional development initiatives (OEIR, 2015), thereby building proposal writing and project management skills as well as monitoring capacities (OEAER et al., 2015). Two of the CSOs that received funding under this scheme stated that this funding in combination with coaching by the consultants implementing the RDP program had constituted an essential push for the growth of their organization. Contributions of the Regional Development Program Phase I were not made possible by ADC alone, as Swiss Development Cooperation was co-financing 30% of the intervention.

In the field of **public financial management**, the **Support and expansion of the Albanian Treasury System** intervention strengthened processes and IT systems, trained staff of the Ministry of Finance through a training-of-trainers approach as well as through workshop and awareness-raising events, and facilitated PFM reform through assistance in elaborating solutions for managing external funds (EU / IPA and others). As a result, according to an independent evaluation, reporting at the Ministry of Finance was improved, application of rules and controls in Treasury operations was increased, and capacities were strengthened (ADA, 2015A.a). Other development partners interviewed for this evaluation credit ADC for making a sizeable contribution to the consolidation of public financial management in Albania. A success factor for this was the competency of the intervention team, which was sitting in the Ministry of Finance and had a very hands-on approach. According to a high-ranking official from the Ministry of Finance, the collaboration with this team **not only brought upgrades of technical nature, but also contributed to a culture of transparency** regarding how taxpayers' money is spent. This interview partner also expressed the opinion that exposure to international cooperation, including ADC, ensures heightened attention on compliance with standards, thereby narrowing the scope for circumvention and the discretion for malpractice. He further expressed that in his view, support to public financial management benefits all sectors. In the case of the intervention supporting the Albanian Treasury, linkages between the Treasury and ministries, agencies and local government were prepared (ADA, 2015A.a).

The **IPS basket fund** to which ADC contributed also played a role creating linkages between sectors. However, **expectations of development partners** regarding the Integrated Planning System were **only partly met**. The endeavor to ensure that **core policy and financial processes of the Government of Albania function in an integrated manner** was described as ambitious, and interview partners acknowledged that even though this objective is not yet achieved, progress has been made. According to a representative from the Ministry of Finance, there is continuity between the intervention supporting the Treasury and IPS, albeit the implementation approach is a different one. The IPS intervention has been less hands-on than the support to the Treasury, but according to this interviewee, this was appropriate because the Albanian institutions involved had become more self-reliant over time. ADC's financial contribution of EUR 620K represented one of the smaller contributions to the basket fund, which had a total budget EUR 10.2m of in the period subject to

evaluation (World Bank 2007, 2011<sup>9</sup>). Between three and seven development partners provided funding to IPS at various stages.

The **ISDA** multi-donor initiative to which ADC contributed to **strengthen public service delivery** only started at the end of the period subject to evaluation, in 2017. The intervention is still ongoing until end of 2019. Progress has been rated satisfactory by the coordination office in Tirana (Ungersböck et. al., 2019) and the lead development partner UNDP. The presence of one-stop-shops of the Agency for the Delivery of Integrated Services (ADISA) has been established across Albania (SIGMA, 2019).

The contribution made by the **Project Preparation Facility (PPF)** to **an improved functioning of public sector institutions** is somewhat debilitated because the main beneficiary of capacity development, the Ministry of European Integration, was subsequently abolished and merged with the Ministry of Foreign Affairs to become the Ministry for Europe and Foreign Affairs. While the indicators defined for the interventions define mainly outputs related to an increased quality of project fiches submitted to the EU IPA program (ADA, 2009A.a), interview partners saw the main contribution of the project in capacity building to the Ministry of European Integration and line ministries affected by IPA. During the last year of the intervention alone, 500 civil servants have participated in capacity building events on IPA-related topics, from on the job training to mentoring and coaching (ADA, 2014A.a). Topics addressed include: **PCM, procurement, risk management, financial management, preparation of ToR, as well as monitoring and evaluation**. While some of the capacities built have eroded because of staff turnover and the merger of the Ministries, the project established a pool of 15 national trainers on IPA-related topics that have continued their activity beyond the end of the project. It can thus be reasonably assumed that some of the capacities continue to benefit the Albanian public sector.



#### Effectiveness: Rule of Law

The OSCE intervention **Justice without delays** only started at the end of the period subject to evaluation, in 2017, and is still ongoing until the end of 2019. Progress has been rated satisfactory by the coordination office in Tirana (Ungersböck et. al., 2019) In six courts, a reduction of delays of proceedings between 4% and 14% has been achieved through the promotion of active case management measures (ibid).



#### Effectiveness: Democratic participation

In the area of **strengthening political processes**, the performance of the OSCE intervention **Building a Bridge between Parliament and Civil Society** has been rated satisfactory by the coordination office Tirana (Habertheuer et al., 2017A.b). Assembly members of two communities have been brought closer to their constituents through training activities in communication and the facilitation of cross-party events and meetings. In addition, three MPS and four assembly staff have participated in a study tour to the German Bundestag and German MP Constituency Offices. With a budget of EUR 50K and objectives formulated at output level, the level of changes to which this intervention aspired had been lower than in the other interventions analyzed.

In terms of **duty-bearers fulfilling their duties**, the intervention **Developing a Child Protection Net** in Albania made very successful contributions according to the capitalization report commissioned by Terre des Hommes (Bradford, 2013). It **established Child Protection Units (CPU)** in 12 municipalities and communes, a system that did not exist before the intervention. A key **success factor** of the intervention lies in its **systems approach** which targeted multiple levels of stakeholders and included various strategies. It targeted national decision makers, child protection stakeholder coalitions, local governments, schools, professionals as well as families, communities, children and youth. It entailed capacity development of stakeholders, piloting of approaches, supporting the establishment of policy as well as legislation and methodologies; it nurtured

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<sup>9</sup> Budget is provided in USD in the project document: USD 7.19m for period 2007 – 2011, USD 6.55m for period 2012 – 2014. Conversion to EUR done at the historic rate with date of respective proposal by evaluation team using the online converter OANDA.

collaborations and partnerships and established a shared understanding around training methodology and working protocols. By **scaling up** effective approaches and empowering duty-bearers to replicate them and apply them systems-wide, the intervention created a sustainable framework for child protection in Albania. In particular, the intervention managed to rally different stakeholder groups around a **shared vision** for child protection, defining the role of authorities but also of schools and communities in the **protection of children's rights** (Bradford, 2013). As a result, the number of children who benefit from the systems at municipal level has increased, referrals to and from CPUs have gone up, and the number of high-risk cases moving to medium or low risk within a quarter has increased. In addition, cooperation between sector stakeholders on strategic issues has improved (Bradford, 2013).

Also related to duty-bearers fulfilling their duties, the intervention **Support to people with disabilities** contributed to the rights of people with disabilities being respected and their access to education, health and cultural life being improved in the municipalities of Vau-Deje, Lac and Elbasan. This increased an additional number of **children with disabilities enrolled in schools, teachers and educators trained in providing quality care for PwD, and life skills of PwD and their families improved** (Caritas, 2014A.c). According to the interviewees, PwD in Albania tended to be hidden from society with little exposure to community life. Caritas worked on changing that by increasing their **visibility**. In particular, PwD are **actively involved in advocacy** carried out by Caritas, which gives credibility to these efforts and changes perceptions of PwD, and is in itself a contribution to inclusion (Caritas, 2014A.b). Beneficiaries report benefitting from study visits abroad to exchange experiences, as well as from peer-to-peer counseling. While the interventions have made strides for beneficiaries, beneficiaries also report that there is still a long way to go to achieve inclusion in Albania. This is illustrated by the fact that rehabilitation and inclusion plans which have been developed by the intervention have not been adopted by the authorities (Caritas, 2014A.c). While local government authorities display openness for dialog with PwD, they often do not follow up on commitments made in this dialog.

By implementing several interventions through CSOs, ADC has contributed to **strengthen civil society actors to advocate more effectively in favor of marginalized groups and hold duty-bearers accountable**. Representatives of Terre des Hommes Albania credit the partnership with ADC for strengthening its network. In addition, the collaboration was significant because it made TdH realize the relevance of working through a systems approach. It has also contributed to build TdH's credibility, opening doors for the organization when it approaches municipalities to work with a systems approach on other subjects. Representatives of Caritas Albania credit ADC for providing it with the tools to achieve its objectives.

## 5 Country case study Uganda

The following section presents the context of and the interventions investigated in the country case study in Uganda. The country case study was carried out from June 24 to July 5, 2019 in Kampala. In total, four interventions were selected as the focus of the country case study and 44 people were interviewed in 28 interviews / focus groups.

### 5.1 Overview of the governance situation in Uganda (2007 – 2017)

The governance context in Uganda is characterized by a strong legal and policy framework, but by weak implementation of this framework (ADA 2012). President Museveni has been in power since 1986 and has received recognition for bringing stability after the civil wars in the early 1980s, and for eventually bringing an end to the Lord's Resistance Army rebellion (ICG). Since then, Uganda's economic situation has improved significantly. Uganda has for a long time been perceived as a successful example of development. However, this positive image has increasingly eroded as corruption cases were brought to light, parliamentarians and opposition leaders face repression as well as intimidation and the space for civil society is shrinking (APRM 2009, ADA 2012). In the period subject to evaluation, Uganda's ranking and scores in most renowned governance indices have developed negatively (see **Fehler! Ungültiger Eigenverweis auf Textmarke.**).

**Figure 6: Development of the Ugandan governance context along selected indices**

	Index	2007 Score	2007 Rank	2012 Score	2012 Rank	2017 Score	2017 Rank	Development
<b>WGI</b>	Voice and Accountability	-0.49	33.17	-0.49	31.92	-0.59	33.03	↓
	Political Stability and Absence of Violence/Terrorism	-0.92	18.36	-0.87	20.38	-0.56	27.14	↑
	Government Effectiveness	-0.43	40.78	-0.57	32.70	-0.58	31.73	↓
	Regulatory Quality	-0.22	48.54	-0.24	44.55	-0.22	45.67	→
	Rule of Law	-0.36	44.50	-0.35	45.54	-0.30	41.31	↗
	Control of Corruption	-0.82	20.39	-0.99	17.06	-1.04	13.94	↓
<b>BTI</b>	Status Index	6.19	47	6.24	43	5.66	59 (2018)	↓
	Governance Index	5.77	39	5.82	37	5.31	52 (2018)	↓
<b>CPI</b>		2.8[1]	111	29	130	26	151	↓
<b>FSI</b>		96.4	15	96.5	20	96	24	→
<b>IIAG</b>		51(2008)[2]	24	54.5	19	55.0	20	↑

Source: Syspons 2019, based on an analysis of select governance indices<sup>10</sup>

<sup>10</sup> See Section 2.4 for further descriptions of the governance indices.

## 5.2 ADC's country strategy for Uganda

Uganda is the most important priority country for the ADC's GG engagement in terms of budget. This focus is also visible in the Ugandan country strategy. ADC's Ugandan country strategy (2010 to 2015) defines three strategic areas of intervention in Uganda **to promote rights, justice and peace:**

- Access to justice including the development and implementation of a legal aid policy
- Mainstreaming gender and human rights standards in the administration and delivery of justice
- Promotion of alternative conflict resolution and reconciliation mechanisms to enhance justice in post-conflict areas (transitional justice)

The overarching goal was to contribute to Uganda's overall development objectives through **strengthened rule of law, respect for human rights and an effective legal environment** (intended impacts<sup>11</sup>). A contribution to these impacts was pursued through a **mix of different modalities**.

## 5.3 Brief overview of ADC's operational GG engagement in Uganda

The Ugandan portfolio is the single biggest portfolio of ADC. It has received the highest amount of disbursements into Good Governance from 2007 to 2017 overall (EUR 75m), as well as into GG as core area (EUR 33m), and for GG sector-specific interventions (EUR 42m). The portfolio had two focus areas in the period subject to evaluation: **rights, justice and peace (core GG)** and **water and sanitation (sector-specific GG)**. These foci are specified in the country strategy 2010 – 2015<sup>12</sup> and reflected in the disbursements.

The foci are also visible in the Ugandan portfolio. From 2007 to 2017, twelve ADC core area GG interventions were implemented in Uganda. Eleven of them included a focus either on Human Rights or Legal and Judicial Development, albeit being implemented by a diversity of project implementers. Budgets vary from EUR 26.3m for JLOS to EUR 179.3K (for an overview see Table 5)<sup>13</sup>.

During the same period, eight sector-specific interventions were implemented. The main focus lies on the area's water sector policy and administrative management, relief coordination and support services (6 of 8). As among GG core area interventions, the budgets vary widely among interventions (for an overview see Table 6).

From these interventions, four were selected for in-depth investigation in the Ugandan country case study. The evaluation investigated three core area GG interventions and one sector-specific GG intervention. Some of these interventions comprise multiple "projects" as these showed strong continuity in objectives and were consecutively implemented by the same implementing partner. These are marked in blue in the Tables 2 and 3. The interventions which were the focus of the country case studies were analyzed in depth more than other interventions, both through document analysis and interviews.

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<sup>11</sup> In ADC's Uganda Country Strategy 2010 – 2015, these intended changes are defined as outcomes. They are presented as impacts here for consistency with the level of ambition in the overall Theory of Change developed for this evaluation.

<sup>12</sup> While the Country Strategy does not cover the whole period subject to evaluation, interviews and an analysis of disbursements revealed that these were the foci of ADC's Uganda engagement throughout the period subject to evaluation.

<sup>13</sup> Please note that the overview also includes interventions that comprise multiple projects, see tables on the following pages.

In some cases, a number of projects were consolidated to one intervention as they were implemented by the same partner and characterized by strong continuity in terms of objectives. This concerns the interventions highlighted in darker blue below.

**Table 5: Core area GG interventions in Uganda (2007-2017)**

Project number	Title	Project implementer	Focus area	Budget (in EUR)	Duration
<b>Interventions investigated in-depth in the country case study in Uganda:</b>					
1831-00/2010, 1831-00/2012, 1831-00/2013, 1831-00/2015, 1831-00/2017, 1831-01/2007, 1831-01/2011, 1831-02/2008 & 1831-03/2009	Support to the Justice Law and Order Sector - 2007 - 2017	MFPEP Uganda	Legal & judicial development	26,322,436	01/07/2007 - 30/06/2020
2636-00/2009, 2636-00/2012 & 2636-01/2014	Peace recovery, development, service delivery and protection of women's rights in Northern Uganda	UWONET	Democratic participation & civil society, Human rights, Women's equality organizations & institutions	934,986	01/12/2009 - 30/11/2017
2755-00/2014	Promote awareness and understanding of human rights in Uganda	HRCUG	Human rights	252,000	01/11/2014 - 31/10/2017
<b>Further interventions in the portfolio:</b>					
6536-00/2014/2016 & 6536-01/2014/2016	Support to Democratic Governance Facility - EC funds	Royal Danish Embassy in Kampala & others	Democratic participation & civil society & Legal and Judicial Development	11,000,000	01/01/2015 - 31/12/2017
2286-00/2011	Support to the Uganda Democratic Governance Facility (DGF)	Royal Danish Embassy in Kampala	Legal & judicial development	2,500,000	01/07/2011 - 31/12/2017
2762-00/2014 & 2762-01/2017	Emerging opportunities for accountability and redress for human rights violations in the African Great Lakes	International Center for Transitional Justice (ICTJ)	Legal & judicial development	835,000	01/12/2014 - 30/09/2020
2286-00/2007	Contribution to legal aid basket fund	Danish International Development Agency (DANIDA) Uganda	Legal & judicial development	800,000	01/07/2007 - 30/06/2011
2820-00/2017	OHCHR - Strengthening promotion and protection of human rights in Uganda	OHCHR - Switzerland	Human rights	700,000	01/12/2017 - 30/11/2018
2603-00/2008 & 2603-00/2011	Support to transitional justice in Uganda	International Center for Transitional Justice (ICTJ)	Legal & judicial development	619,880	01/11/2008 - 31/12/2012
2646-00/2010	Mainstreaming human rights and gender justice in response to SGBV, with focus on Northern Uganda	FIDA - Uganda	Human rights	355,550	01/05/2010 - 31/05/2012
2635-00/2009	Building up media's capacity to promote good governance, justice and reconciliation in rural Uganda	BBC World Service Trust	Anti-corruption organizations & institutions	270,000	01/01/2010 - 31/01/2011
2711-00/2013	Reducing child mutilation in Uganda through a process of social norm change	HumaneAfrica	Human rights	179,341	01/03/2013 - 30/04/2015

**Table 6: Sector-specific GG interventions in Uganda (2007-2017)**

Project number	Title	Project implementer	Focus area	Budget (in EUR)	Duration
<b>Interventions investigated in-depth in the country case study in Uganda:</b>					
2299-00/2008, 2299-00/2010, 2299-00/2011, 2299-00/2012, 2299-00/2013, 2299-00/2014, 2299-00/2015, 2299-00/2016 & 2299-00/2017	Joint water and sanitation sector programme support (JWSSPS)	MFPED Uganda	Water sector policy & administrative management	34,845,000	01/01/2008 - 30/06/2019
<b>Further interventions in the portfolio:</b>					
2371-00/2008, 2371-00/2009 & 2371-00/2010	Assistance to Sudanese and other refugees in Uganda	UNHCR	Relief co-ordination & support services	1,000,000	01/01/2008 - 31/12/2010
2828-01/2017	Integrated emergency response for South Sudanese refugees and affected host community members - Uganda	CARE Austria	Relief co-ordination & support services	600,000	15/08/2017 - 14/12/2018
2269-00/2016	Secondment of expert to the Ugandan water sector as liason officer for the development partners group	Ministry of Water and Environment	Water sector policy & administrative management	530,000	01/04/2017 - 30/10/2019
2744-00/2015	Safe water security in Kumi District	Whave Solutions Limited	Water sector policy & administrative management	200,000	01/12/2015 - 30/11/2017
2451-01/2008	Support to IFRC emergency appeal for flood-affected population in Uganda	Austrian Red Cross	Relief co-ordination & support services	200,000	01/10/2007 - 31/07/2008
2378-00/2007	Support to the national mine action programme in Uganda to build a sustainable response capacity for landmine survivors	UNDP Uganda	Social Protection	187,534	01/04/2007 - 31/12/2010
2522-14/2016	MS communauts -- Making tourism work for all in Uganda	Endeva UG	Rural development	20,000	01/06/2016 - 31/10/2016

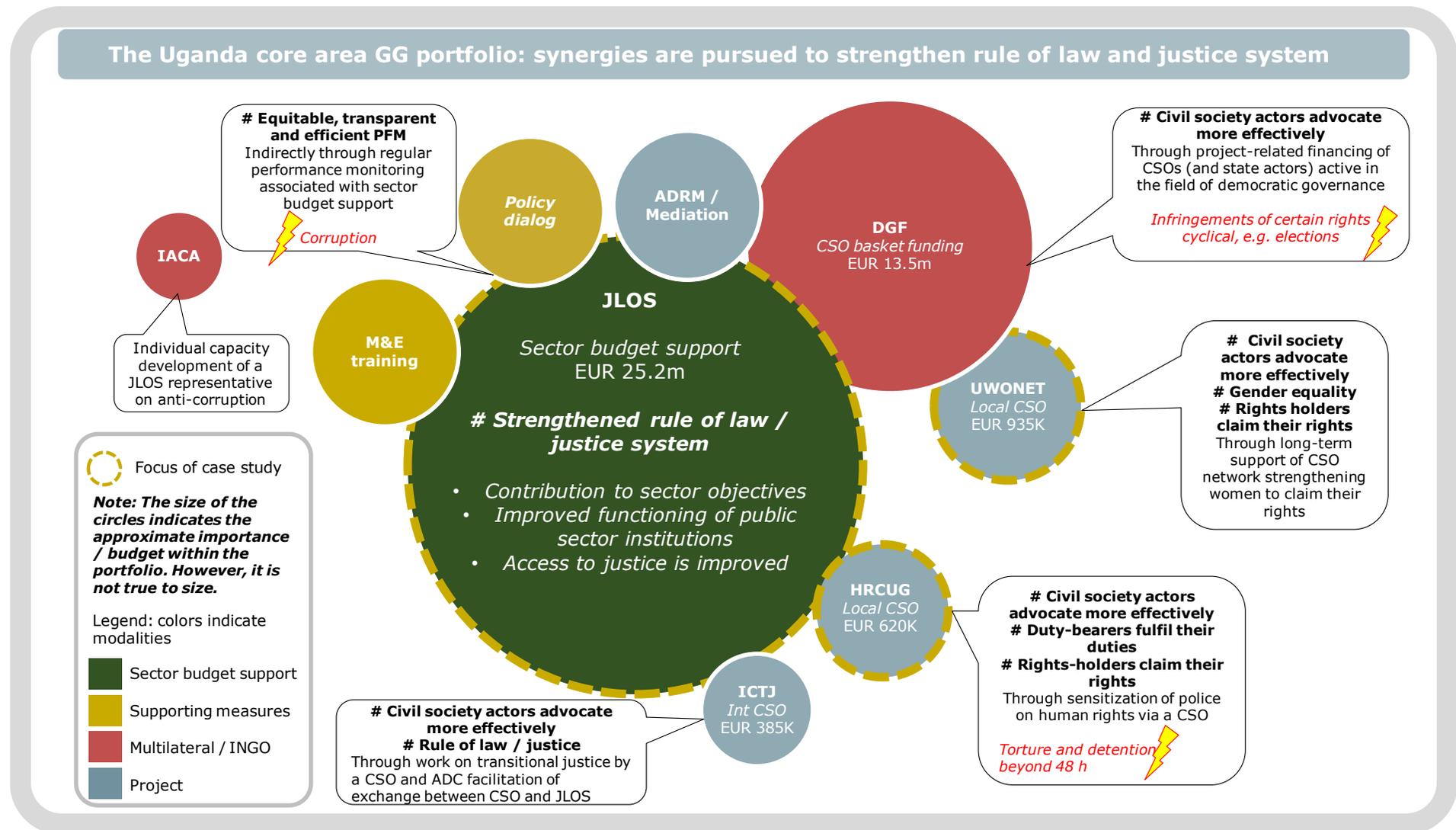
## 5.4 Reconstructed theory of change and objectives of selected interventions

Distinctive features of Uganda’s core GG portfolio are its continued focus on rule of law, justice and rights, the intentional selection of different modalities to achieve synergies around the flagship intervention as well as sector budget support to JLOS. In reconstructing the **theory of change** of the Ugandan country portfolio, the evaluation found that one distinctive feature is that the modality **sector budget support is in itself a means to strengthen government effectiveness**. The underlying rationale is that channeling funds through the partner systems reinforces partner systems. This is an important hypothesis underpinning ADC’s GG engagement in Uganda that is however not explicit in the country strategy or in the project document for the JLOS sector budget support<sup>14</sup>.

To illustrate the **intentional pursuit of synergies** in ADC’s Ugandan portfolio and visualize the role of different modalities, and the **differences in funding allocated to these modalities**, the evaluation has opted for an alternative representation of the theory of change. It is presented in figure 4.

<sup>14</sup> The rationale underlying sector budget support is made explicit in ADA’s strategy on budget support (2009) and became apparent in interviews conducted for the country case study. The project document for JLOS is the Sector Investment Plan of the Ugandan Government, which defines objectives related to the justice law and order sector.

Figure 7: Visualization of the ADC GG portfolio in Uganda



Source: Syspons 2019, based on an analysis of ADC's GG portfolio in Uganda

While the Ugandan GG portfolio has a strong **focus on the rule of law**, the pursuit of objectives in this outcome area is strongly linked to contributions to the other two outcome areas of the overall theory of change for ADC. In addition to contributing to sector objectives related to the justice law and order sector, sector budget support is a means to strengthen **government effectiveness**. In addition, several CSOs were financed to implement interventions related to governance, human rights and justice. In addition to contributing to these sector specific objectives, support to CSOs in itself was a means to strengthen **democratic participation**.

In the following, an overview of the intended objectives of selected interventions grouped along the outcome areas of the overall theory of change for ADC's GG core area engagement is presented. This is a simplification, as there are **strong interlinkages between the outcome areas**. Interventions presented include those subject to in-depth analysis in the country case studies and selected others that repeatedly came up in the country case study interviews and / or can be considered illustrative of additional elements of the portfolio. This overview does not aspire to be comprehensive but shall rather provide a bigger picture.



### Objectives and interventions related to government effectiveness

- To leverage its financial contributions to JLOS and to **strengthen results-orientation** and equitable and transparent public financial management (intended outcome), ADC accompanied its sector budget support disbursement with complementary measures that included ongoing **policy dialog** on progress against sector objectives and **training in M&E** for representatives of JLOS. In addition, a limited number of representatives from JLOS received a scholarship to participate in the International Anti-Corruption Academy in Austria (IACA).

Underlying hypothesis: *If sector budget support is accompanied by policy dialog and M&E trainings, then this contributes to strengthened results-orientation and, indirectly, to more efficient PFM<sup>15</sup>.*



### Objectives and interventions related to the rule of law

- To contribute to the objectives defined by the Ugandan Government for the Justice Law and Order Sector (intended outcome), ADC's single biggest intervention in core GG was **sector budget support to the JLOS<sup>16</sup>**. Through a financial contribution of EUR 25.2m, ADC sought to **contribute to the achievement of sector objectives** which included:
  - Increase of public confidence in sector services, increase in use of mediation services, increased access to information on laws, a decrease in the average stay on remand, a reduction in case backlog, improved geographical access to justice services, a reduction in human rights violations by sector institutions, and an increased proportion of corruption cases handled (intended outcomes).

Underlying hypothesis: *If the sector budget is financed (ADC input, in conjunction with contributions from government of Uganda and other development partners), then this contributes to strengthened capacities and thereby improves service delivery in the sector.*

<sup>15</sup> In this regard, ADC's strategy on budget support notes that "transparent and effective public financial management is both condition and result of budget support" (ADA&BMEIA, 2010).

<sup>16</sup> JLOS is a sector wide approach that brings together 17 institutions responsible for administering justice maintaining law and order and promoting the observance of human rights.

- To provide a specific boost to the use of **mediation** (an intended result of JLOS), ADC also provided an earmarked grant for the training of JLOS staff in an alternative dispute resolution.
- To contribute to **an improved rule of law, better access to justice and gender equality**, ADC also financed **individual CSO interventions**. To **strengthen civil society participation**<sup>17</sup>, the ADA coordination office acted as a liaison between selected CSOs and JLOS institutions and ensured mainstreaming of good governance principles in its interaction with project implementers. Examples of CSO interventions directly financed by ADC include:
  - Support to the Human Rights Centre Uganda to promote human rights awareness and understanding in order to improve the access to and delivery of Justice in Eastern Uganda.
  - Support to Uganda Women’s Network (UWONET) to enhance the capacities of women and communities to claim the fulfillment of their rights and to duty-bearers / governments to meet their obligations in the post-conflict context in Northern Uganda.
  - Support to the International Centre for Transitional Justice (ICTJ) for the development of an inclusive and participatory transitional justice process in Uganda.

Underlying hypothesis: *If CSOs receive funding and benefit from capacity development and networking (inputs of ADC), then civil society participation is strengthened and contributes to an improved rule of law, better access to justice and gender equality.*



### Objectives and interventions related to democratic participation and the quality of democracy

- To contribute to **strengthened state entities and non-state entities** in the areas of democratization, human rights, improved access to justice and enhanced accountability (intended outcomes), ADC made a contribution of EUR 2.5m to the **Democratic Governance Facility (DGF)**, a basket fund financed by eight development partners.

Underlying hypothesis: *If DGF provides financial and technical support (input from ADC and other development partners) to state and non-state actors for the implementation of projects under a harmonized and coherent framework, then this contributes to the achievement of DGF objectives.*

### Sector specific GG

In **sector-specific GG**, the evaluation’s Ugandan country case study analyzed one intervention to shed light on the impact hypotheses outside of core GG. In ADC’s EUR 34.8m contributions to **sector financing via the Joint Water and Sanitation Sector Program Support (JWESSPS)**, the overarching objective was to support the water sector to improve its fiscal and physical effectiveness to **more efficiently achieve its targets**.

- Sector governance is inherent in the sector targets of sector budget support, including:
  - Increased cost-effectiveness (lower unit cost for quality services and hence more coverage per investment), increased functionality of services, improved sub-sector

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<sup>17</sup> Strengthening civil society participation is not an explicit objective in the Ugandan Country Strategy, in which financing of CSO interventions is presented primarily as a means to achieve objectives related to an improved rule of law, better access to justice and gender equality. It is however included in the ToC for Uganda presented here, as interviews with ADC representatives showed that strengthening civil society is an implicit objective.

allocations leading to more equitable distribution of services as well as gender mainstreaming through capacity building.

Underlying hypothesis: *If the sector budget is financed (ADC input, in conjunction with contributions from the government of Uganda and other development partners), then this contributes to strengthened capacities and thereby improves service delivery in the sector.*

In addition, the **underlying rationale for sector financing** is that the **modality itself contributes to sector governance**, as policy dialog and annual performance monitoring provide an occasion to engage the partner government in progress regarding intended objectives.

- Underlying hypothesis: *If sector financing is accompanied by policy dialog and regular performance monitoring, then this contributes to good sector governance.*<sup>18</sup>
- Moreover, ADC accompanied its sector financing disbursements with **long-term support through technical advisors in the Ministry of Water** to strengthen capacities of the sector and indirectly contributed to sector governance.

Underlying hypothesis: *If sector financing is accompanied by targeted and sustainable technical capacity development measures for the Ministry, capacities for sector governance are strengthened.*

## 5.5 Effectiveness of ADC's GG engagement in Uganda

The effectiveness of ADC's GG engagement in Uganda is presented along the areas of ADC's overall Theory of Change. The analysis draws on monitoring and evaluation data from projects and programs and on interviews conducted during the country case study. Because the objective of the country case study was to provide a bigger picture of changes at the level of the country portfolio, this chapter does not aim for comprehensiveness but rather focuses on the most significant changes mentioned in key informant interviews which could also be corroborated through document analysis.



### Effectiveness: Rule of Law

In the focus area **rule of law**, supported through both sector budget support and complementary measures as well as CSO projects, major improvements against sector objectives defined by the Ugandan government are observed. Overall, 90% of the outcome indicators and 78% of the output indicators of the Third Sector Investment Plan 2012 – 2017 were met (Government of Uganda, 2017). Between 2010 / 2011 and 2017, the case backlog reduced from 35 % to 24 % (Government of Uganda, 2017), which has been hailed as an important improvement by interview partners. A factor that has contributed to reducing case backlog was the introduction of mediation in the case management process, which ADC supported through the development of alternative dispute resolution mechanisms and through financial support for training and roll-out. Another significant improvement is that the ratio of remand to convicts has shifted. Whereas before, Ugandan prisons held more people awaiting trial than convicts, this has changed as the average length of stay on remand for persons charged with capital offenses has decreased (Government of Uganda, 2017). This is related to an increase in the conviction rate: the average number of cases disposed grew by 64% between 2011/12 and 2017 (Government of Uganda, 2017). Further improvements in the sector are improved geographical access to justice following decentralization and better coordination between sector institutions: the proportion of districts with a complete chain of JLOS core services and institutions increased from 30% in 2010 / 2011 to 59.8% in 2016 / 2017. Moreover, public confidence in the

<sup>18</sup> Impacted hypotheses related to the modality of sector budget support / sector financing itself are not formulated in the Ugandan Country Strategy but by the ADC strategy for Budget Support (ADC 2010) and interviews with ADC representatives.

enforcement of existing laws has increased from 26% to 49% in the same period (Government of Uganda, 2017). Another achievement has been the adoption of the Ugandan Transitional Justice Policy in 2019, which was moved forward by both sector institutions and the International Centre for Transitional Justice, a CSO that benefitted from long-standing financial support from ADC.

It is difficult to differentiate the development contribution of individual development partners to both sector objective and government effectiveness through sector budget support due to the very nature of the instrument<sup>19</sup>. An analysis of the financial contribution of ADC in comparison to the overall sector budget and contributions of other development partners would provide some reference. However, the presentation of financial contributions of different stakeholders is done differently in different JLOS annual reports and did not allow for the evaluation to aggregate this information<sup>20</sup>.

The contributions ADC made in the area of **human rights** were mainly made through CSOs, yet they are closely linked to support rendered to JLOS. For example, the intervention implemented by the Human Rights Centre Uganda promoted awareness on key laws such as the Anti-Torture Law and the Public Order Management Act amongst duty-bearers. The intervention also simplified these laws and associated documents and / or translated them into local languages. As a result, awareness amongst law enforcement agencies and the police force and prison services increased. While this project involved nearly 3,000 stakeholders and levels of awareness among trained individuals nearly doubled (HRCU, 2018), several interview partners contended that torture and detention beyond 48 hours remains an issue in Uganda today. Another example of a CSO intervention following a rights-based approach is UWONET's work which entails training and empowering community representatives in the post-conflict context in Northern Uganda promoting accountability for service delivery and the protection of rights of women and girls. Here, the focus lay on equipping rights holders with the capacities to hold duty bearers accountable to the commitments made in the Ugandan Peace, Recovery and Development Plan (PRDP). As a result, an increased number of community dialogs were held, community action plans were developed, and an increased number of commitments were followed up on. When services in these sectors are disrupted, they are now resumed more swiftly because the target groups of the intervention hold duty-bearers accountable. Examples include teaching that is resumed after parents call out teacher absenteeism, or better access to health care for mothers in community hospitals after women flagged poor services (UWONET, 2018; UWONET 2012U.a). According to representatives of UWONET and beneficiaries interviewed, monitoring of service delivery has been embraced beyond the lifespan of the ADC-backed interventions.



### Effectiveness: Government effectiveness

As ADC has not worked directly on PFM in Uganda, its contribution to improved PFM can only be considered indirect. ADC however successfully contributed to moving forward **results-orientation of the JLOS**. ADC representatives acted as focal points on M&E for the sector for many years. JLOS monitoring has been weak in the past, and ADC was perceived by many interview partners as providing leadership in this field, demanding results and thereby contributing significantly to the establishment of a more robust system. In addition, ADC financed a training on M&E for JLOS representatives which has been described by participants as a "game-changer". ADC further contributed to **capacity development** of one sector representative who received a scholarship to complete a

<sup>19</sup> The very idea of budget support is to strengthen the systems of the partner country and not to isolate contributions of different development partners.

<sup>20</sup> Requests for clarification were made by the evaluation to the ADC coordination office and JLOS Secretariat, but no clarification was provided at the time of writing the report.

Master's at IACA in Austria<sup>21</sup>. He credits his participation in the program with helping him to shape anti-corruption policy in Uganda.

In addition to the financial contribution ADC made to the JLOS, several interview partners pointed out that ADC played an important role for the stability of the sector as it was the only development partner providing continued financial support to JLOS in the period subject to evaluation. Many other development partners pulled out of budget support following a corruption scandal in 2012 in which the equivalent of EUR 9.14m of general budget support was embezzled in the Office of the Prime Minister<sup>22</sup>. The adoption of the Anti-Homosexuality Act in 2014 also caused many development partners to end or significantly reduce their support to the Ugandan government. In the view of several interview partners, the withdrawal of most development partners from JLOS sector budget support<sup>23</sup> has undermined the effectiveness of the instrument, as a critical mass of development partners is needed to effectively engage the partner government in policy dialog.

The embezzlement of funds from budget support – albeit not concerning JLOS or Austrian funds - further raises the question whether the underlying rationale for sector budget support (i.e. contribution not only to sector goals but also to strengthened results-orientation and more efficient public financial management) is plausible. In this regard, the 2015 Joint Evaluation of Budget Support to Uganda managed by several development partners finds that the corruption scandal in the Office of the Prime Minister

*"was a result not of the failure of the existing PFM system but a collusion of several individuals in key government agencies who acted in unauthorized and illegal fashion. In addition, upstream governance accountability institutions (in particular Auditor General) worked to uncover and bring to light this problem" (IEG et al. 2015U.a, p. 56).*

While the Joint Evaluation of Budget Support to Uganda did not specifically look into sector budget support in JLOS, it contributes to a positive appreciation of the effectiveness of budget support in general: "It is extremely unlikely that alternative forms of aid to [general budget support] and [sector budget support] would have contributed to better results" (IEG et al., 2015U.a, p. 38). Reasons cited for the effectiveness of (sector) budget support are the reduction of transaction cost, the occasion for a dialog between the government and development partners on policy commitments and priorities, and strengthening of institutional capacities of the partner country through the use of its institutions and processes (IEG et al., 2015U.a; ADA&BMEIA, 2010).

One interview partner voiced skepticism regarding the plausibility that budget support strengthens partner systems but still saw it as a useful modality to enter **policy dialog** with the partner country. Yet, another interview partner cited the "Hawthorne effect"<sup>24</sup> to make the case that budget support induces positive outcomes, because the partner government is aware of being observed by the international community. Representatives of development partners that had left

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<sup>21</sup> In total, 9 individuals from different countries received scholarships for participation in IACA programs in the years 2014 – 2015. Of these, 3 were Master scholarships, 2 were IACSA (summer academy) scholarships, 2 were PACT (procurement anti-corruption training) training scholarships, and 2 were anti-corruption in local governance scholarships.

<sup>22</sup> ADC monetarily halted its sector budget support after the OPM scandal in solidarity with other development partners but resumed it, unlike other development partners. The scandal concerned funds from general budget support, which ADC does not fund in Uganda.

<sup>23</sup> At the time this evaluation was conducted, several development partners were considering re-entering sector budget support in JLOS.

<sup>24</sup> The Hawthorne effect refers to the phenomenon of individuals modifying their behavior due to their awareness of being observed. It is named after a study carried out at the Hawthorne factory that suggests that workers increased their productivity as a result of interest being shown in them.

sector budget support but considered returning to this modality argued that you cannot work on longer term outcomes in a given country and bypass the administration.



### Effectiveness: Democratic participation

ADC contributed to **strengthening civil society organizations** and **women's equality organizations** both through direct funding to CSOs and through contributions to the DGF basket fund. Several of the organizations interviewed for the evaluation had received funding through both modalities. In terms of effectiveness regarding their own institutional capacity development, most CSOs preferred direct support from ADC over financing through DGF. Direct CSO funding from ADC is appreciated because ADC staff engages in continuing dialog with the CSOs, helping them craft their proposals and, in the process, strengthening their capacities in results-orientation and mainstreaming. In this regard, the SSA was perceived as a useful tool to build mainstreaming capacities. The usefulness of this tool was however very strongly tied to the fact that ADC provided training on this tool. In addition, the CSOs appreciated that the direct partnership with ADC actively helped them to get their voices heard by duty-bearers. ADC successfully advocated for the inclusion of CSOs in JLOS in sector working groups. In addition, because ADC contributes to sector financing, it has access to government representatives and can address issues at a level at which CSOs often do not have access. Furthermore, the direct partnership with ADC is appreciated by the CSOs because these partnerships are often long-term partnerships in which several projects are funded one after another, and ADC is eager to listen to organizations and shows flexibility to adapt planning if the context evolved. By contrast, DGF funding is perceived as more rigid, with little room for adaptations if the context changes. This is seen as a disadvantage particularly for advocacy activities, which often require reacting to windows of opportunities. Moreover, several interview partners expressed regret that DGF almost becomes monopoly in the funding landscape, as all major development partners active in the sector now channeled the bulk of their funding for CSOs through this basket fund. A negative unintended consequence was that some CSOs that did not manage to get access to DGF funds had to close. Finally, DGF funding is perceived as less effective in terms of institutional capacity building because it leaves little room for CSOs to invest in non-project related activities, such as staff development. Several interview partners expressed that DGF thereby had contributed to a "projectification" of the sector.

### **Sector-specific GG**

Lastly, ADC's **contribution to sector governance in the water sector** was considered positive by the interview partners, although the sector has recently also experienced irregularities related to funding from development partners that has led to renewed scrutiny towards sector financing. The Ministry of Water appreciates that Austrian financial contributions do not come earmarked, thereby ensuring funds can be allocated towards the priorities of the government. As with JLOS, the transfer of funds to the partner government in the water sector was accompanied by complementary measures. First, ADC financed long-term support of the Water Ministry by technical advisors, thereby strengthening capacities of the sector, and indirectly contributing to governance. In this regard, interview partners stated that a success factor for capacity development was that the Ugandan Ministry could elaborate the ToR in collaboration with ADC and selected the consultants that were hired, thereby ensuring the support provided corresponded with the needs in the Ministry. Another complementary measure was that ADC played an active role in policy dialog, e.g. regularly acting as lead donor in the sector and chairing the sector group. In particular, interview partners credited ADC's advocacy for decentralized entities in the water sector to have made a significant contribution to sector governance. A success story mentioned by several interviewees is the introduction of umbrella organizations to secure sustainable water supply delivery in small towns and rural growth centers by providing support to local Water Supply and Sanitation Boards (WSSBs), an approach modelled on the Austrian "*Dachverband der Wasserleitungsbetriebe*" (*Austrian umbrella organization of waterworks*). Finally, several interview partners pointed out that ADC had played a leading role in demanding the elaboration of a roadmap following the discovery of the misuse of funds, thereby contributing to strengthening processes in the sector.

## 6 Scope of data collection

The following table lists the data collection methods employed by the evaluation and the extent of the evidence gathered.

**Table 7: Overview of data collection methods**

Data collection method	Scope and stakeholder perspective
<b>Desk research</b>	<ul style="list-style-type: none"> <li>• <b>Review of relevant ADC documents for 2007-2017:</b> incl. i.a. Policy Document on GG and Handbook, three-year Programs, annual work programs, country and regional strategies, PCM documents, sample of documents from interventions, analysis of statistical data on ADC operational engagement</li> <li>• <b>Review of academic literature on GG</b></li> <li>• <b>Review of international strategic documents and other development partners' approach to GG</b></li> </ul>
<b>Exploratory interviews</b>	<ul style="list-style-type: none"> <li>• <b>Number of interviews:</b> 15 (incl. 1 group interview)</li> <li>• <b>Perspectives:</b> BMEIA, ADA headquarters, ADA coordination offices, donors, Austrian civil society</li> </ul>
<b>ToC workshop</b>	<ul style="list-style-type: none"> <li>• <b>Number of participants:</b> 7</li> <li>• <b>Perspectives:</b> BMEIA, ADA headquarters, ADA coordination offices</li> </ul>
<b>Country case studies (investigation at country level and of selected interventions)</b>	<p><b>1. Albania</b></p> <ul style="list-style-type: none"> <li>• <b>Level of data collection:</b> country level and intervention level</li> <li>• <b>Number of interventions:</b> 2 core area GG interventions, 2 sector-specific GG interventions</li> <li>• <b>Number of interviews / focus groups:</b> 31 (incl. 6 group interviews)</li> <li>• <b>Focus groups:</b> 2</li> </ul> <p><b>Perspectives:</b> BMEIA, ADA headquarters, ADA coordination offices, development partners, sector experts, immediate target groups incl. civil society organizations, Albanian political partners and government stakeholders, implementing partners</p> <p><b>2. Uganda</b></p> <ul style="list-style-type: none"> <li>• <b>Level of data collection:</b> country level and intervention level</li> <li>• <b>Number of interventions:</b> 3 core area GG interventions, 1 sector-specific GG intervention</li> <li>• <b>Number of interviews:</b> 28 (incl. 3 group interviews)</li> <li>• <b>Number of focus groups:</b> 1</li> <li>• <b>Perspectives:</b> BMEIA, ADA headquarters, ADA coordination offices, development partners, sector experts, immediate target groups incl. civil society organizations, Ugandan political partners and government stakeholders, implementing partners</li> </ul>
<b>Online survey</b>	<ul style="list-style-type: none"> <li>• <b>Survey population:</b> 110 core area GG interventions</li> <li>• <b>Response rate:</b> 47.3% (N=110)</li> <li>• <b>Perspectives:</b> Project implementers</li> </ul>
<b>Key informant interviews</b>	<ul style="list-style-type: none"> <li>• <b>Focus:</b> Whole of Government Approach WGA within ADC</li> <li>• <b>Number of interviews:</b> 5 (incl. 1 group interview)</li> <li>• <b>Perspectives:</b> BMEIA, ADA headquarter, Development Bank of Austria (OeEB)</li> </ul>
<b>Validation Meeting (VM)</b>	<ul style="list-style-type: none"> <li>• <b>Number of participants:</b> 25</li> <li>• <b>Perspectives:</b> ADA coordination offices, ADA headquarters</li> </ul>
<b>Additional validation interviews</b>	<ul style="list-style-type: none"> <li>• <b>Number of interviews:</b> 2</li> <li>• <b>Perspectives:</b> ADA coordination offices, ADA headquarters</li> </ul>

## 7 Presentation of evidence along assessment grid

### 7.1 Introduction

The following chapter presents the extent of evidence collected in the Strategic Evaluation of the Austrian Development Cooperation's (ADC) Good Governance Engagement (2007-2017). The Austrian Development Agency (ADA) commissioned Syspons GmbH with the conduct of the evaluation on behalf of ADC.

The evidence presented thereafter stems from exploratory interviews, two country case studies, an online survey with project implementers, a validation meeting and further interviews conducted on the whole of government approach (WGA). It is presented along the evaluation's assessment grid.

### 7.2 Relevance

Evaluation criteria:	Relevance
EQ (ToR):	<b>1. How has ADC's evolving engagement on GG affected the relevance of its work related to GG? What have been the key factors for decisions on ADC's GG engagement/non-engagement in a country/region?</b>
Refined EQ:	<b>1a. How has ADC's evolving engagement on GG affected the relevance of its work related to GG: How has ADC's engagement on GG evolved between 2007 and 2017?</b>
Indicator / descriptor:	<ol style="list-style-type: none"> <li>1. Developments in the content and focus of ADC relevant strategic and policy documents:               <ol style="list-style-type: none"> <li>a. Policy Document on Good Governance</li> <li>b. Three-year programs</li> <li>c. Country and regional strategies</li> </ol> </li> </ol>
Key findings:	<p><b>Finding 1: On a policy and strategic level, ADC's GG approach has not evolved significantly from 2007 and 2017.</b>  <i>Further details: GG featured prominently in legal, strategic and policy frameworks between 2007 and 2017. The GG approach as defined in the Policy Document has remained constant.</i></p>
Qualitative evidence:	<ul style="list-style-type: none"> <li>• Content analysis of the ADC GG Policy Document, Three-Year Programs as well as country and regional strategies</li> </ul>

Evaluation criteria:	Relevance
EQ (ToR):	<b>1. How has ADC’s evolving engagement on GG affected the relevance of its work related to GG? What have been the key factors for decisions on ADC’s GG engagement/non-engagement in a country/region?</b>
Refined EQ:	<b>1b. How has ADC’s evolving engagement on GG affected the relevance of its work related to GG: To what extent is it relevant in light of the current state-of-the-art understanding of GG?</b>
Indicator / descriptor:	<p>1. ADC’s key strategic documents and tools on GG (i. Policy Document, ii. Handbook, iii. Social Standards Assessment) are aligned with:</p> <ul style="list-style-type: none"> <li>a. the current academic discourse on GG</li> <li>b. the GG understanding of the norm-setting development organizations on GG</li> <li>c. the GG understanding of the norm-setting GG indices &amp; targets incl. the SDGs</li> </ul>
Key finding:	<b>Finding 3: ADC’s GG approach is only partly up to date with current academic and international discourse. Gaps include conceptual clarity, update of terminology and reference to the Agenda 2030.</b>
Qualitative evidence:	<ul style="list-style-type: none"> <li>• Academic literature review</li> <li>• Review of GG approaches of key development partners</li> <li>• Evidence from 7 interviews: I01, I02, I03, I08, I09, I14, I43</li> </ul>

<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>1. How has ADC's evolving engagement on GG affected the relevance of its work related to GG? What have been the key factors for decisions on ADC's GG engagement/non-engagement in a country/region?</b>
<b>Refined EQ:</b>	<b>1c. What have been the key factors for decisions on ADC's GG engagement/non-engagement in a country/region?</b>
<b>Indicator / descriptor:</b>	<p>1. Description of key factors contributing to the decision of (not) engaging in GG in a country/region on the level of:</p> <ol style="list-style-type: none"> <li>BMEIA</li> <li>ADA headquarters (Unit Topics and Quality, Unit Countries and Region)</li> <li>ADA coordination offices</li> </ol>
<b>Key finding:</b>	<p><b>Finding 2: The primary factor influencing decisions on the GG portfolio is the matching of a proposed activity with the respective country or regional strategy.</b></p> <p><i>Further details: Within ADC, the operational engagement both informs and is shaped by the relevant strategic documents. The formulation of strategies and shaping of the portfolio are the results of a continuous exchange between the coordination offices, the ADA HQ and BMEIA. Formal decision-making authority on the contents of the strategy documents and the use of funds, for instance for sector-budget support, rests with BMEIA. Nevertheless, the ADA coordination offices and HQ are consulted in the strategy formulation processes and their experiences and recommendations inform the formulation of key strategic documents such as the country or regional strategies.</i></p> <p><i>Following factors further influence decision-making on shaping the operational GG engagement:</i></p> <ul style="list-style-type: none"> <li>Strategic fit with the country and regional strategies</li> <li>Catering to the priorities of partners and implementing organizations</li> <li>Key interests and expertise within the ADA field &amp; HQ</li> <li>Continuity of existing portfolio</li> <li>Taking advantage of windows of opportunity</li> </ul>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>Analysis of contents of annual work programs and country and regional strategies</li> <li>Evidence from 14 interviews (exploratory interviews and country case studies): I01, I02, I03, I04, I05, I06, I12, I14, I15, I17, I35, I62, I73, I81</li> <li>Evidence from the validation meeting</li> </ul>

<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>2. How well are ADC’s legal framework, policy and strategic documents and related tools aligned in terms of terminology, approach and focus? How relevant is ADA’s engagement on GG in the light of these strategies and policies?</b>
<b>Refined EQ:</b>	<b>2a. To what extent are ADC’s legal framework, policy and strategic documents and related tools consistent in terms of terminology, approach and focus?</b>
<b>Indicator / descriptor:</b>	1. ADC’s key documents and tools on GG (i. policy document, ii. handbook, iii. EZA-law) are consistent in terms of: <ul style="list-style-type: none"> <li>a. Terminology</li> <li>b. Implementation approach</li> <li>c. Thematic focus</li> </ul>
	2. Description of the integration or differentiation of key documents and tools on GG with <ul style="list-style-type: none"> <li>a. Human rights-based approach</li> <li>b. Gender mainstreaming approach</li> </ul>
	3. BMEIA and ADA staff responsible for the development of policy documents, three-year programs and country & regional strategies and involved in planning and steering GG projects/programs have a common understanding of the key documents and tools on GG
	4. ADC’s strategic documents (i. three-year programs, ii. regional and country strategies, iii. annual work programs) are consistent in terms of: <ul style="list-style-type: none"> <li>a. Terminology</li> <li>b. Implementation approach</li> <li>c. Thematic focus</li> </ul>
	5. Average number of core areas addressed in i. three-year programs, ii. annual work programs, iii. regional and country strategies
	6. Qualitative assessment of the importance of GG as a cross-cutting issue in i. three-year programs, ii. annual work programs, iii. regional and country strategies
<b>Key finding:</b>	<p><b>Finding 4: While the focus between ADC’s legal framework, policy and strategic documents is consistent, terminology and approach are not fully aligned. There are gaps related to the mainstreaming of GG principles and the distinction between GG as an intervention sector and as a cross-cutting principle.</b></p> <p><i>Further details: In terms of coherence with other policy approaches, the GG approach is coherent with other approaches such as the Human-Rights-Based Approach (HRBA) and ADC’s approach to gender.</i></p>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Content analysis of the Policy Document, three-year programs, annual work programs, country and regional strategies</li> <li>• Evidence from 12 exploratory interviews for indicator 3: I01, I02, I06, I04, I07, I08, I09, I10, I11, I12, I13, I15</li> <li>• Evidence from 5 exploratory interviews on indicator 2: I04, I06, I07, I08, I11</li> </ul>

- Evidence from the validation meeting

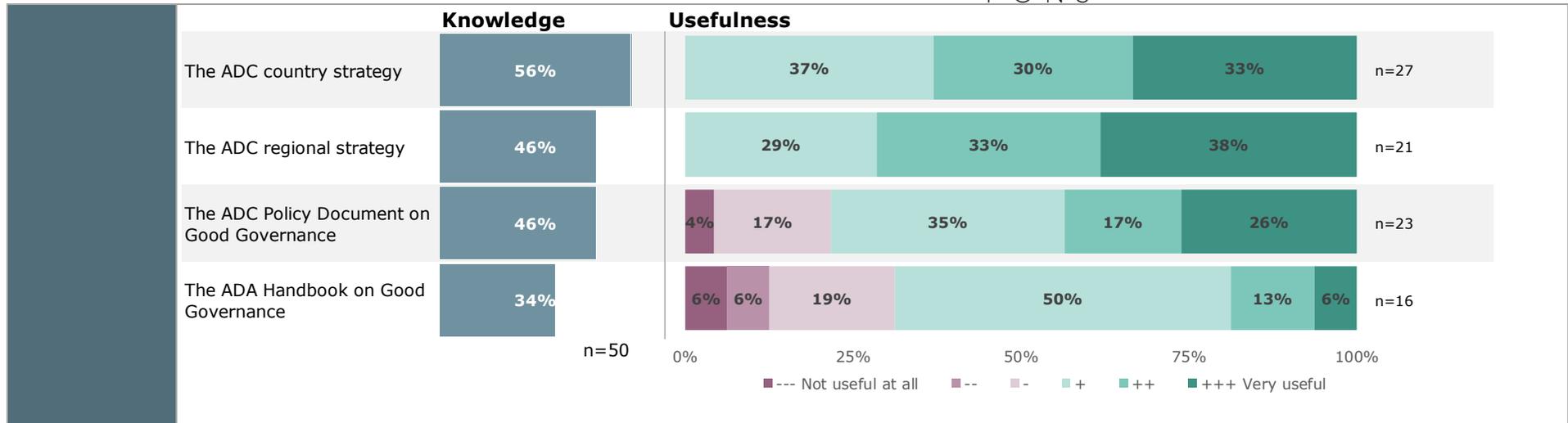
Quantitative evidence for indicator 5 based on document analysis:

Quantitative evidence:

	Three-year programs	Annual work programs	Country/regional strategies
<b>Sectors</b>			
Number of strategic documents	n=8	n=11	n=28
Human rights	8	11	7
Democratization	6	10	4
Peacebuilding	8	11	3
Rule of law and justice	8	11	8
Civil society	8	10	9
Administrative reform	8	11	11
<b>Principles</b>			
Participation, ownership, empowerment	8	11	27
Transparency, accountability	1	6	19
(Mainstreaming) conflict prevention	7	8	13
Anti-corruption measures	0	3	7

<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>2. How well are ADC’s legal framework, policy and strategic documents and related tools aligned in terms of terminology, approach and focus? How relevant is ADA’s engagement on GG in the light of these strategies and policies?</b>
<b>Refined EQ:</b>	<b>2b. How relevant is ADA’s engagement on GG in the light of these strategies and policies?</b>
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Qualitative assessment of the alignment of the GG portfolio (both core area and sector-specific) to key strategies, policies and tools (i. Policy Document, ii. Handbook, iii. Social Standards Assessment, iv. EZA-law) by             <ol style="list-style-type: none"> <li>a. ADA headquarters staff involved in planning and steering the GG portfolio</li> <li>b. BMEIA staff involved in planning and steering the GG portfolio</li> </ol> </li> </ol>
<b>Key finding:</b>	<p><b>Finding 5: ADC’s operational engagement is highly relevant and aligned with its strategies and policies. The thematic advisors on GG play a key role for ensuring a relevance of the GG portfolio in intervention design while coordination offices successfully mainstream GG principles through the SSA.</b></p> <p><i>Further details: In terms of the strategic documents, country and regional strategies are the key guiding document for the operational engagement in each country which ensures the relevance of the operational portfolio in light of this engagement. These strategies are broad enough to still grant the coordination offices considerable flexibility. With regards to the Policy Document and Handbook, the operational engagement is equally relevant. This relevance is contingent among others on the involvement of the thematic advisors in the approval and implementation processes of interventions and the broad nature of the GG concept as laid out in the documents. Notably, both documents are less commonly known among ADC stakeholders and implementing partners, and are deemed less useful for guiding the operational engagement than the country and regional strategies.</i></p>
<b>Qualitative evidence:</b>	Synthesis of evidence for evaluation questions 1c. and 2c.

<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>2. How well are ADC's legal framework, policy and strategic documents and related tools aligned in terms of terminology, approach and focus? How relevant is ADA's engagement on GG in the light of these strategies and policies?</b>
<b>Refined EQ:</b>	<b>2c. To what extent are key strategic and policy documents used for steering the projects?</b>
<b>Indicator / descriptor:</b>	1. Interviewed ADA staff confirm that GG principles as stated in the GG Handbook are applied in planning and steering the overall ADA portfolio
	2. Existence of a template for project documents that requires them to reflect strategic documents
	3a. Qualitative assessment of the usefulness of key strategies, policies and tools (i. Policy Document, ii. Handbook, iii. country/regional strategy) for guiding the work
	3b. Proportion of project implementers that know the key strategies, policies and tools (i. Policy Document, ii. Handbook, iii. country/regional strategy)
	3c. Proportion of project implementers that assess the key strategies and policies (i. Policy Document, ii. Handbook, iii. country/regional strategy) as useful for guiding their work on a scale from 1 to 6
<b>Key finding:</b>	<b>Finding 6: The country and regional strategies provide key reference frameworks for steering that contribute to ensuring relevance of operational engagement. The Policy Document and Handbook provide little orientation for intervention planning and implementation.</b>  <i>Further details: The ADC staff within the coordination offices do not consult the Handbook and Policy Document in their day-to-day work.</i>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Analysis of the template for project documents</li> <li>• Evidence from 12 interviews (exploratory interviews and country case studies): I02, I04, I06, I07, I08, I10, I11, I13, I17, I35, I59, I81</li> <li>• Evidence from the validation meeting:</li> </ul>
<b>Quantitative evidence:</b>	<u>Evidence for 3b. &amp; 3c. provided by the online survey:</u>  Q33: Which of the following strategies and guidelines of Austrian Development Cooperation are you familiar with? ( <i>Knowledge</i> ) Q34: For the strategies / guidelines of ADC that you are familiar with, please rate their usefulness for you as a project implementer. ( <i>Usefulness</i> )



<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>3. How aligned was ADC’s engagement on GG with the regional and international development framework, including the Agenda 2030 for Sustainable Development? How should it be adapted to be better aligned?</b>
<b>Refined EQ:</b>	<b>3a. To what extent was ADC’s engagement on GG aligned with the regional and international development framework, including the Agenda 2030 for Sustainable Development?</b>
<b>Indicator / descriptor:</b>	1. Qualitative assessment of the alignment of the GG portfolio in the country case study countries by project implementers, political partners, development partners, ADC staff to <ul style="list-style-type: none"> <li>i. SDG goal 16.3, 16.5, 16.6, 16.7, 16.8 and 16.A</li> <li>ii. the EC handbook on promoting GG</li> <li>iii. GG strategies of the relevant regional organization (ECOWAS, EAC etc)</li> <li>iv. OECD DAC GOVNET</li> </ul>
	2. Proportion of project implementers who assess their interventions as being aligned with <ul style="list-style-type: none"> <li>i. SDG goal 16.3, 16.5, 16.6, 16.7, 16.8 and 16.A</li> <li>ii. the EC handbook on promoting GG</li> <li>iii. GG strategies of the relevant regional organization (ECOWAS, EAC etc)</li> </ul>
<b>Key finding:</b>	<b>Finding 7: ADC’s GG operational engagement investigated in the evaluation is aligned with regional and international development frameworks such as the Agenda 2030 and the Paris Declaration on Aid Effectiveness.</b>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 8 interviews (exploratory interviews and country case studies): I09, I36, I41, I43, I48, I50, I72, I83</li> </ul>
<b>Quantitative evidence:</b>	<u>Evidence for 2. provided by the online survey:</u>

Q32: Which of the following international frameworks relevant to the field of Good Governance is/was your intervention measure aligned to?

**SDG target 16.7:** Ensure responsive, inclusive, participatory and representative decision-making at all levels



**SDG target 16.6:** Develop effective, accountable and transparent institutions at all levels



**SDG target 16.B:** Promote and enforce non-discriminatory laws and policies for sustainable development



**SDG target 16.10:** Ensure public access to information and protect fundamental freedoms



**SDG target 16.3:** Promote the rule of law at the national and international levels and ensure equal access to justice for all



**SDG target 16.A:** Strengthen relevant national institutions [...] to prevent violence and combat terrorism and crime



**SDG target 16.5:** Substantially reduce corruption and bribery in all their forms



The **European Commission's handbook** on promoting Good Governance in EC Development and Cooperation (2004)



**SDG target 16.8:** Broaden and strengthen the participation of developing countries in the institutions of global governance



*The intervention measure is/was not aligned with any international frameworks in the field of Good Governance.*



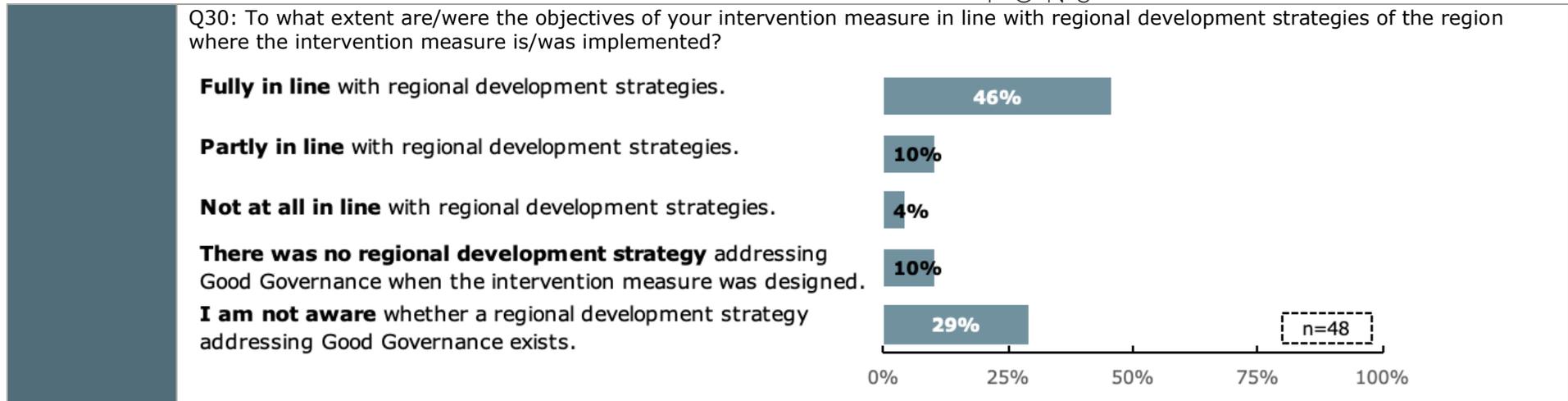
Other



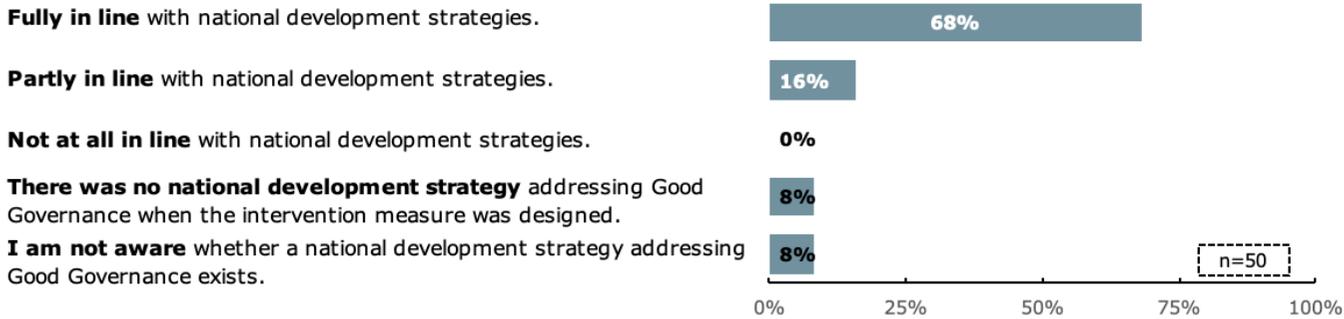
n=50

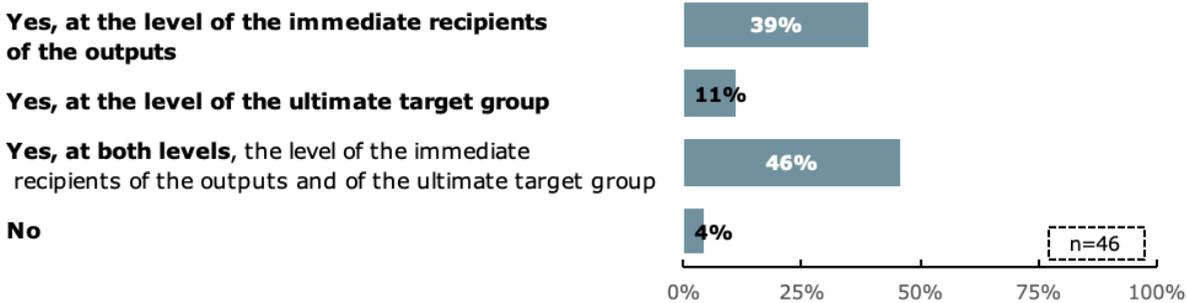
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**Other** frequently named international frameworks were SDG 5 concerning gender equality and human rights-based approaches by UN & OSCE. Others also stated that the SDGs were not yet established at the time of the project.



<b>Evaluation criteria:</b>	<b>Relevance</b>
<b>EQ (ToR):</b>	<b>3. How aligned was ADC’s engagement on GG with the regional and international development framework, including the Agenda 2030 for Sustainable Development? How should it be adapted to be better aligned?</b>
<b>Refined EQ:</b>	<b>3b. How should it be adapted to be better aligned: To what extent should ADC's strategic documents be adapted in light of the state-of-the-art understanding of GG?</b>
<b>Indicator / descriptor:</b>	Synthesis of results from previous questions
<b>Key finding:</b>	<b>Finding 8: To increase the overarching relevance of ADC’s GG approach and its alignment with frameworks, the following aspects should be considered in the revision of the Policy Document and the Handbook, if ADA decides to revise the Handbook: increased clarity of the GG concept, prioritization of sectors of engagement, coherence with EGSIM as well as an update reflecting key international frameworks.</b>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Synthesis of results from previous questions</li> <li>• Evidence from 6 interviews (country case studies and exploratory interviews): I02, I08, I12, I15, I44, I59</li> </ul>

<b>Evaluation criteria:</b>	<b>Relevance</b>												
<b>EQ (ToR):</b>	<b>4. How relevant was ADC’s engagement to the priorities/policies of the partner country? How relevant was it in terms of helping fulfill the needs and rights of key stakeholders (partners/beneficiaries)?</b>												
<b>Refined EQ:</b>	<b>4a. How relevant was ADC’s engagement to the priorities/policies of the partner country?</b>												
<b>Indicator / descriptor:</b>	1. Relevant project and strategic documents (i. project document, ii. country strategy) are aligned with strategic documents of the partner country.												
	2. Interviewed political partners confirm that ADC’s GG engagement is aligned with national strategies and priorities.												
	3a. Quantitative self-assessment by project implementers on the extent to which strategies of the partner country are reflected in project implementation.												
	3b. Qualitative self-assessment by project implementers on the extent to which strategies of the partner country are reflected in project implementation.												
<b>Key finding:</b>	<b>Finding 9: The ADC’s Good Governance engagement in the priority countries is strongly aligned with partner strategies. This is ensured by a participatory approach through which ADC involves partners in the formulation of country strategies and interventions.</b>												
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>Evidence from 10 interviews (country case studies and exploratory interviews): I20, I30, I40, I41, I43, I45, I59, I60, I66, I70</li> <li>Analysis of relevant project documents</li> </ul>												
<b>Quantitative evidence:</b>	<p><u>Evidence on 3a. from online survey:</u></p> <p>Q28: To what extent are/were the objectives of your intervention measure in line with national development strategies of the country of implementation?</p>  <table border="1"> <thead> <tr> <th>Category</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td><b>Fully in line</b> with national development strategies.</td> <td>68%</td> </tr> <tr> <td><b>Partly in line</b> with national development strategies.</td> <td>16%</td> </tr> <tr> <td><b>Not at all in line</b> with national development strategies.</td> <td>0%</td> </tr> <tr> <td><b>There was no national development strategy</b> addressing Good Governance when the intervention measure was designed.</td> <td>8%</td> </tr> <tr> <td><b>I am not aware</b> whether a national development strategy addressing Good Governance exists.</td> <td>8%</td> </tr> </tbody> </table> <p>n=50</p>	Category	Percentage	<b>Fully in line</b> with national development strategies.	68%	<b>Partly in line</b> with national development strategies.	16%	<b>Not at all in line</b> with national development strategies.	0%	<b>There was no national development strategy</b> addressing Good Governance when the intervention measure was designed.	8%	<b>I am not aware</b> whether a national development strategy addressing Good Governance exists.	8%
Category	Percentage												
<b>Fully in line</b> with national development strategies.	68%												
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<b>Not at all in line</b> with national development strategies.	0%												
<b>There was no national development strategy</b> addressing Good Governance when the intervention measure was designed.	8%												
<b>I am not aware</b> whether a national development strategy addressing Good Governance exists.	8%												

<b>Evaluation criteria:</b>	<b>Relevance</b>										
<b>EQ (ToR):</b>	<b>4. How relevant was ADC's engagement to the priorities/policies of the partner country? How relevant was it in terms of helping fulfil the needs and rights of key stakeholders (partners/beneficiaries)?</b>										
<b>Refined EQ:</b>	<b>4b. How relevant was ADC's engagement on GG in terms of helping fulfill the needs and rights of key stakeholders (i.e. immediate recipient of outputs and ultimate target groups)?</b>										
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Interviewed beneficiaries (i. immediate recipient of outputs, ii. ultimate target groups) confirm that             <ol style="list-style-type: none"> <li>a. the project objective is relevant to fulfill their needs and rights</li> <li>b. the project implementation approach is adequate to fulfill their needs and rights</li> </ol> </li> <li>2. Proportion of project implementers that state that they conducted a needs assessment to inform the project design of             <ol style="list-style-type: none"> <li>i. immediate recipient of outputs</li> <li>ii. ultimate target groups</li> </ol> </li> </ol>										
<b>Key finding:</b>	<b>Finding 10: ADC interventions build on and address needs and rights of key stakeholders.</b>										
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 10 interviews (country case studies and exploratory interviews): I20, I22, I34, I46, I49, I60, I63, I77, I79, I82</li> <li>• Analysis of relevant project documents</li> </ul>										
<b>Quantitative evidence:</b>	<p><u>Evidence on 2. from the online survey:</u></p> <p>Q27: When the intervention measure was designed, was a needs assessment conducted?</p>  <table border="1"> <thead> <tr> <th>Response</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Yes, at the level of the immediate recipients of the outputs</td> <td>39%</td> </tr> <tr> <td>Yes, at the level of the ultimate target group</td> <td>11%</td> </tr> <tr> <td>Yes, at both levels, the level of the immediate recipients of the outputs and of the ultimate target group</td> <td>46%</td> </tr> <tr> <td>No</td> <td>4%</td> </tr> </tbody> </table> <p>n=46</p>	Response	Percentage	Yes, at the level of the immediate recipients of the outputs	39%	Yes, at the level of the ultimate target group	11%	Yes, at both levels, the level of the immediate recipients of the outputs and of the ultimate target group	46%	No	4%
Response	Percentage										
Yes, at the level of the immediate recipients of the outputs	39%										
Yes, at the level of the ultimate target group	11%										
Yes, at both levels, the level of the immediate recipients of the outputs and of the ultimate target group	46%										
No	4%										

### 7.3 Effectiveness and Impact

Evaluation criteria:	Effectiveness / Impact
EQ (ToR):	<b>5. How effective has ADC’s engagement on Good Governance been? What were the intended and unintended consequences of ADC’s engagement?</b>
Refined EQ:	<b>5a. To what extent did ADC’s GG engagement contribute to the outcome areas government effectiveness, rule of law as well as democratic participation and quality of democracy?</b>
Indicator / descriptor:	1. Independent research or (monitoring) data by partners, civil society or other organizations indicates positive outcomes in intervention areas of ADC GG programs/projects (case study countries only).
	2. Interviewed stakeholders confirm that ADC's GG engagement contributed to positive outcomes in intervention areas of ADC GG interventions.
	3. Proportion of project implementers that state that their project contributed to selected outcomes as defined in the Theory of Change elaborated for this evaluation on a scale from 1 (not successful) to 6 (very successful).
Key findings:	<p><b>Finding 11: While ADC made contributions in all three outcome areas of the ToC, the magnitude of these contributions varies widely between interventions and country portfolios.</b></p> <p><i>Further details: This is due to diversity of the budgetary size and results-ambitions of interventions. On the country level, the Ugandan portfolio constituted a good practice example. ADC made substantial contributions to a strengthened justice law and order sector (JLOS) through the intentional pursuit of synergies between modalities and interventions. The GG engagement in Uganda is built around the flagship intervention: sector budget support to JLOS. In contrast, the Albanian portfolio constituted a potpourri of interventions that target a great variety of objectives. This makes an assessment of the effectiveness of ADC’s GG engagement at country level difficult.</i></p>
	<p><b>Finding 12: The effectiveness of interventions within the outcome area of government effectiveness is mixed. In some cases, evolving political priorities of the partner government and a reshuffling of partner institutions adversely affected progress against intended results.</b></p>
	<p><b>Finding 13: ADC’s GG engagement in the area of rule of law is rather effective. In Uganda, long-term engagement and synergies between interventions and modalities contributed to improvements in the Justice Law and Order Sector. These however need to be seen against an environment of significant macro-challenges related to governance. Perspectives regarding the effectiveness of sector budget support in the Ugandan context differ and have evolved in the evaluation period.</b></p>

**Finding 14: ADC's GG engagement in the outcome area democratic participation and quality of democracy is effective for the most part. In addition to achieving intended results at the level of individual interventions, implementation through CSOs, especially through direct funding, contributed to strengthening partner CSOs in Uganda and Albania (unintended consequence).**

**Finding 15: Across all outcome areas, capacity development of national or local authorities and non-state actors is a key output paving the way for effectiveness. The HRBA and the selection of adequate modalities is also relevant for effectiveness in all outcome areas.**

- Analysis of development in the field of governance based on key governance indices for Albania and Uganda.

Government effectiveness:

- Evidence from 13 interviews in the country case study Albania: I07, I21, I23, I30, I36, I44, I45, I46, I47, I50, I57, I64, I68
- Evidence from 7 interviews during the country case study Uganda: I41, I43, I59, I65, I72, I80, I83
- Analysis of project documents, monitoring data, evaluations and further relevant documentation for among others:
  - **EC funds – Project Preparation Facility** (e.g. ADA, 2009A.a; ADA, 2009A.b; ADA 2009A.; ADA, 2011A.a; ADA, 2012A.a; ADA, 2013A.a; ADA, 2013A.b; ADA, 2014A.a; ADA, 2015A.a; ADA, 2016A.a; Balic, 2016)
  - **Consortium – Regional Development Program** (e.g. OEAER, 2010A.a; OEAER, 2010A.b; OEAER, 2015; OEIR, 2015)
  - **Further relevant documentation** (e.g. Bertelsmann Foundation, 2018; BIM, 2018; SIGMA, 2019; World Bank, 2019).

**Qualitative evidence:**

Rule of law:

- Evidence from 14 interviews during the country case study Uganda: I27, I29, I32, I34, I38, I52, I60, I66, I71, I72, I75, I77, I80, I83
- Analysis of project documents, monitoring data, evaluations and further relevant documentation for among others:
  - **Support to the Justice, Law and Order Sector (JLOS)** (e.g. Government of Uganda, 2006; Government of Uganda, 2008; Government of Uganda, 2010; Government of Uganda, 2011; Government of Uganda, 2012; Government of Uganda, 2014; Government of Uganda, 2015U.a; Government of Uganda, 2015U.b; Government of Uganda, 2016U.a; Government of Uganda, 2016U.b; Government of Uganda, 2017; Government of Uganda, 2018)
  - **HRCUG – Promote awareness and understanding of human rights** (e.g. HRCU, 2014; HRCU, 2015; HRCU, 2017; HRCU, 2018; TRAC Empowerment Associate, 2018)
  - **UWONET interventions** (e.g. UWONET, 2009; UWONET, 2012U.a; UWONET, 2012U.b; UWONET, 2014; UWONET, 2016; UWONET, 2017; UWONET, 2018)
  - **Further relevant documentation** (e.g. APRM, 2017; Afrobarometer, 2015; Bertelsmann Foundation, 2018; IEG et al., 2015U.a; IEG et al., 2015U.b; ICG, 2017; Transparency International, 2018U.a, n.d; World Bank, 2019)

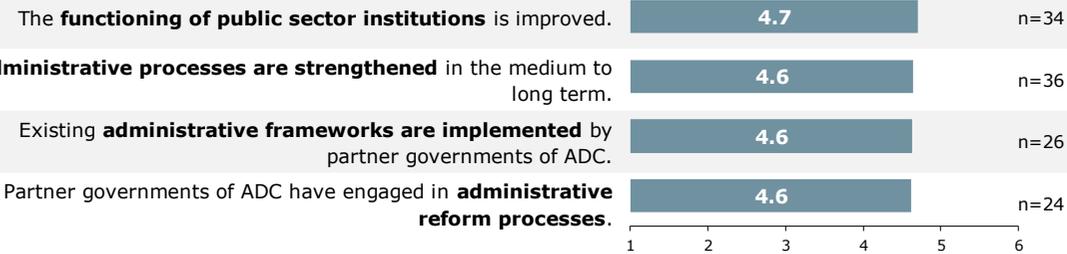
Democratic participation:

- Evidence from 3 interviews in the country case study Albania: I49, I58, I79
- Evidence from 5 interviews during the country case study Uganda: I38, I52, I60, I63, I71
- Analysis of project documents, monitoring data, evaluations and further relevant documentation for among others:
  - **Terre des Hommes – Developing a Child Protection Safety Net in Albania** (e.g. TdH, 2009A.a; TdH, 2009A.b; TdH, 2013A.a; TdH, 2013A.b; Bradford, 2013)
  - **HRCUG – Promote awareness and understanding of human rights** (e.g. HRCU, 2014; HRCU, 2015; HRCU, 2017; HRCU, 2018; TRAC Empowerment Associate, 2018)
  - **UWONET interventions** (e.g. UWONET, 2009; UWONET, 2012U.a; UWONET, 2012U.b; UWONET, 2014; UWONET, 2016; UWONET, 2017; UWONET, 2018)

Evidence for question 3. from the online survey: Q18: To what extent has your intervention measure been successful in contributing to these outcomes?

*To what extent has your intervention measure been successful in contributing to these outcomes?*

 **Government effectiveness**



 **Rule of Law**



 **Democratic participation**



\*Figure shows mean rating of success on a scale: (1) not successful at all - (6) very successful

NB: number of responses did not allow to differentiate findings against sub-clusters of respondents such as age of program and financial scale.

Quantitative evidence:

<b>Evaluation criteria:</b>	<b>Effectiveness / Impact</b>
<b>EQ (ToR):</b>	<b>5. How effective has ADC's engagement on Good Governance been? What were the intended and unintended consequences of ADC's engagement?</b>
<b>Refined EQ:</b>	<b>5b. To what extent do synergies emerge between core area and sector specific GG engagement?</b>
<b>Indicator / descriptor:</b>	<p>1. Interviewed stakeholders (i. ADA desk officers, ii. ADA country office staff, iii. project implementers) can provide examples of synergetic effects between GG core area sector-specific engagement.</p> <p>2a. Proportion of project implementers that are aware of other ADC interventions in the country/region</p> <p>2b. Proportion of project implementers that state that i. sector-specific GG and ii. GG core area ADC interventions facilitated the achievement of outcomes in their intervention</p> <p>2c. Proportion of project implementers that state that their intervention facilitated the achievement of outcomes in other i. sector-specific GG and ii. GG core area ADC interventions</p>
<b>Key finding:</b>	<b>Finding 16: Sector-specific GG interventions in the area of decentralization and interventions with a strong HRBA showcase similarities between the approach of core and sector-specific GG. Differences in GG outcomes can therefore only partly be explained by different approaches between core area and sector-specific engagement.</b>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 2 interviews: I30, I43</li> <li>• Evidence from validation meeting</li> <li>• Analysis of project documents, monitoring data, evaluations and further relevant documentation among others from: <ul style="list-style-type: none"> <li>○ <b>Consortium – Regional Development Program</b> (e.g. OEAER, 2010A.a; OEAER, 2010A.b; OEAER, 2015; OEIR, 2015)</li> <li>○ <b>Caritas Albania – Support to People with Disabilities</b> (e.g. Caritas, 2011A.a; Caritas, 2011A.b; Caritas, 2014A.a; Caritas, 2014A.b; Caritas, 2014A.c; Caritas, 2015, Caritas 2016, Zyba, 2017A.a; Zyba, 2017A.b)</li> </ul> </li> </ul>
<b>Quantitative evidence:</b>	<u>Evidence on 2a. from online survey: Q35: To what extent are you familiar with (the objectives of) other ADC-financed intervention measures that are implemented by other parties?</u>

**I was not aware** of any other ADC-financed intervention measures.

8%

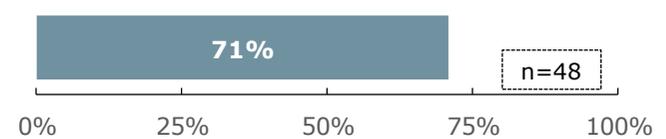
**I was aware of all other ADC-financed intervention measures running at the same time** as our intervention measure.

13%

**I was aware of all other ADC-financed intervention measures directly or indirectly related to Good Governance** running at the same time as our intervention measure.

8%

**I was aware of some other ADC-financed intervention measures running at the same time as our intervention measure,** but not necessarily all that are directly or indirectly related to Good Governance.



Evidence on 2b. & 2c. from online survey: Q38: I see synergies, whereby...

**Other ADC-financed interventions with GG as core area** facilitated the achievement of **outcomes** in our intervention.

Mean

4.80 n=20

**Sector-specific ADC-financed interventions** facilitated the achievement of **outcomes** in our intervention.

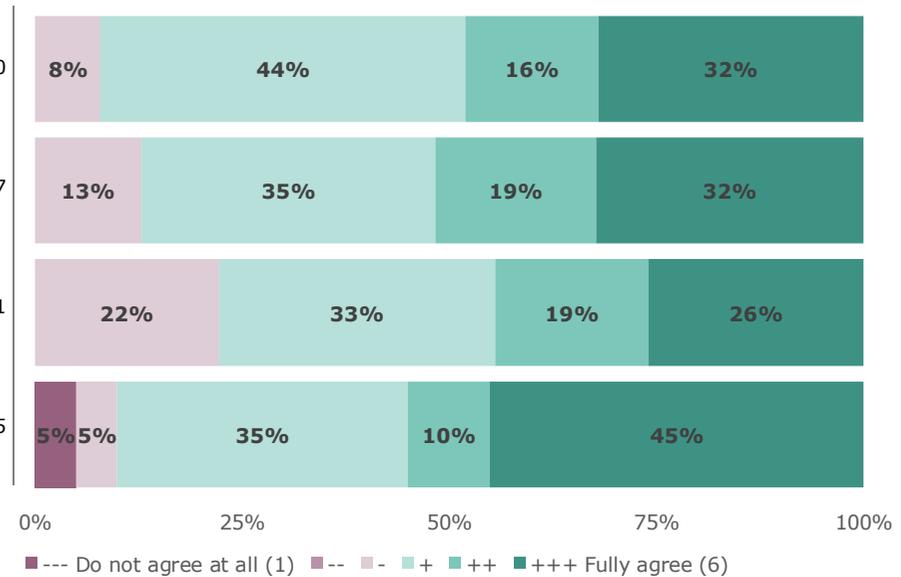
4.48 n=27

Our intervention facilitated the achievement of **outcomes of sector-specific ADC-financed interventions.**

4.72 n=31

Our intervention facilitated the achievement of **outcomes of other ADC-financed interventions with GG as core area.**

4.71 n=25



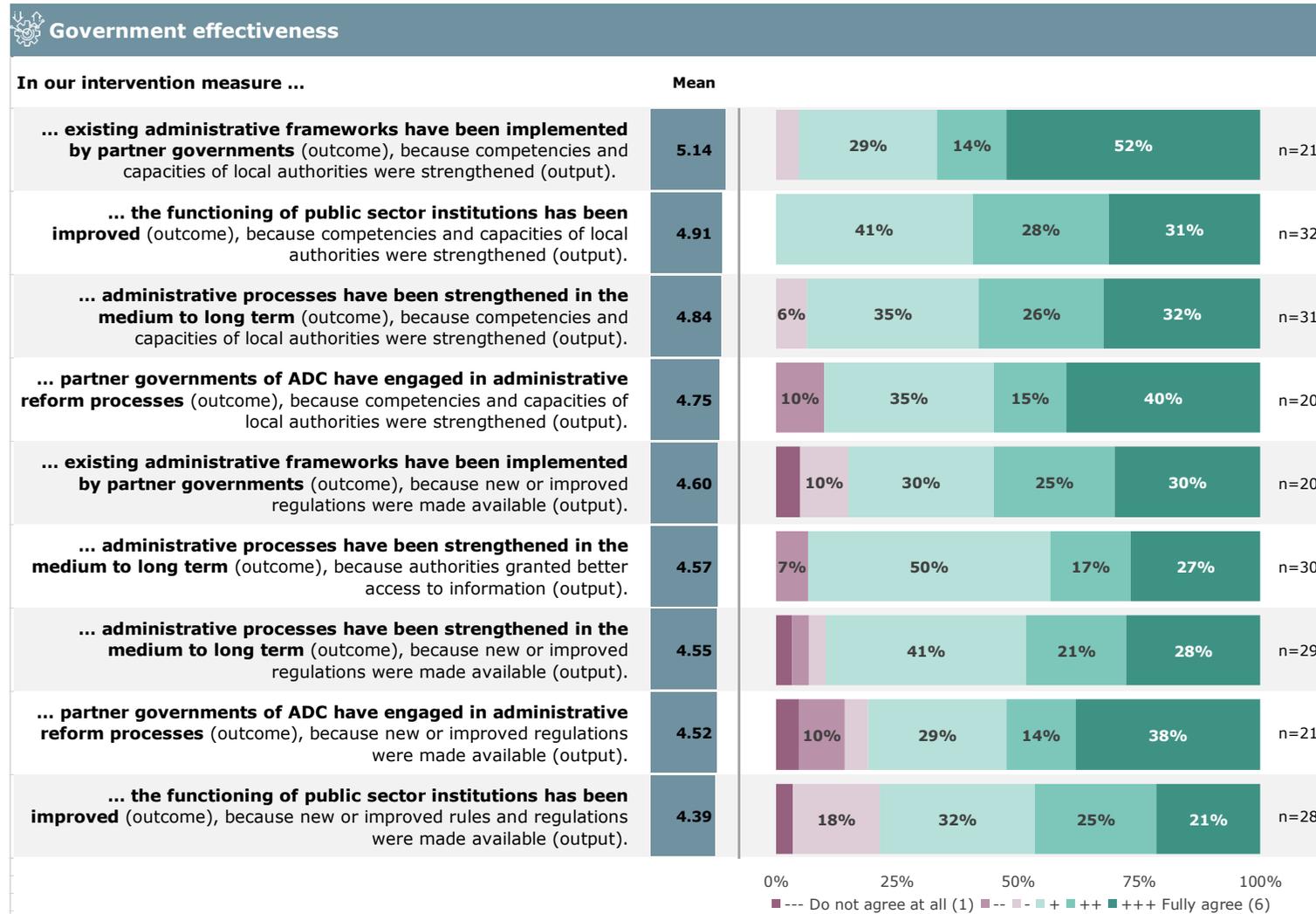
<b>Evaluation criteria:</b>	<b>Effectiveness / Impact</b>
<b>EQ (ToR):</b>	<b>5. How effective has ADC’s engagement on Good Governance been? What were the intended and unintended consequences of ADC’s engagement?</b>
<b>Refined EQ:</b>	<b>5c. What were intended and unintended effects of ADC’s engagement: To what extent did ADC's GG engagement have positive or negative unintended effects?</b>
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Interviewed stakeholders identify i. positive &amp; ii. negative unintended effects of ADC's GG engagement on the level of <ol style="list-style-type: none"> <li>a. The partner country</li> <li>b. Immediate recipients of outputs</li> <li>c. Ultimate target groups (with a focus on minorities and marginalised groups)</li> </ol> </li> </ol>
<b>Key finding:</b>	<p><b>See Finding 11, 12, 13, 14 (EQ 5a).</b></p> <p><i>Further details: Intended consequences: ADC contributed to national and regional developments in all three outcome areas of the ToC (intended consequences): government effectiveness, rule of law, democratic participation and quality of democracy. Results from the online survey suggest that ADC’s GG portfolio addresses these outcome areas equally. Effectiveness across these outcome areas seems to be consistent. However, findings from the country case studies show that the extent to which a given country portfolio focused on certain outcome areas differs strongly. The magnitude of changes to which ADC contributed in a given outcome area varies between countries.</i></p> <p><i>Beyond differences in the magnitude of contributions, intended contributions were more diverse than depicted in the reconstructed ToC:</i></p> <ul style="list-style-type: none"> <li>• <i>Within the GG portfolio, modalities are intentionally deployed to achieve intervention goals and leverage further potentials for capacity-development. For instance, the modality sector budget support and sector financing are used not only to attain sector goals but also to strengthen results-orientation and sector governance. This is done through policy dialog and regular performance monitoring.</i></li> </ul> <p><i>Unintended consequences: The country case studies revealed unintended consequences of ADC’s GG engagement in relation to working with and through CSOs. Depending on the mode of funding, working with CSOs can bring about a strengthening of their organization and advocacy power (positive consequence) or limiting of their advocacy power through rigid funding conditions (negative consequence).</i></p>
<b>Qualitative evidence:</b>	See evaluation question 5a.
<b>Quantitative evidence</b>	

<b>Evaluation criteria:</b>	<b>Effectiveness / Impact</b>
<b>EQ (ToR):</b>	<b>5. How effective has ADC's engagement on Good Governance been? What were the intended and unintended consequences of ADC's engagement?</b>
<b>Refined EQ:</b>	<b>5d. To what extent is the contribution of ADC's engagement to the reported intended and unintended key results plausible?</b>
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Identification of impact hypotheses and alternative explanations for reported key results in country case studies</li> <li>2. Assessment regarding the plausibility of selected impact hypotheses from the evaluation's Theory of Change by project implementers (in country case studies and survey)</li> <li>3. Synthesis of results from previous indicators</li> </ol>
<b>Key finding:</b>	<p><i>Further details: Both development partners and local partners appreciate not only ADC's financial contributions, but also its contribution to policy dialog and capacity development through regular interaction between the coordination offices and local partners. It is plausible that the joint engagement of ADC and its partners contributed to reported results in the area of GG. As a comparatively small development partner, ADC commits extensively to participation in multi-donor initiatives to leverage the effectiveness of its funds. It further implements many interventions through local partners whose engagement in the respective sectors usually goes beyond the interventions financed by ADC.</i></p> <p><i>Further findings:</i></p> <ul style="list-style-type: none"> <li>• <i>Strengthened competencies and capacities of national or local authorities (output) significantly contribute to strengthening government effectiveness. Significant risks for these contributions are evolving political priorities, staff turnover and reshuffling of partner institutions.</i></li> <li>• <i>Different modalities play a significant role in achieving outcomes.</i> <ul style="list-style-type: none"> <li>○ <i>In particular, the modalities sector budget support and sector financing can in themselves constitute a means for contributing to GG objectives. Necessary conditions for these contributions are that these modalities are accompanied by a strong policy dialog and regular performance monitoring with high visibility towards development partners.</i></li> <li>○ <i>Implementing interventions through CSOs can contribute to strengthening advocacy capacities and assist in institutional capacity development (i.e. contribution to outcome that civil society organizations advocate more effectively). Necessary conditions are a partnership approach by ADC that includes regular dialog and long-term support.</i></li> </ul> </li> <li>• <i>Allocation of outcomes to outcome areas: The outcome "duty-bearers fulfill their duties" is currently included in the area rule of law but could equally be included in the area democratic participation and quality of democracy. For instance, some interventions that have a strong rights-based approach and address duty-bearers with their activities are not specifically active in the field of rule of law.</i></li> </ul>
<b>Qualitative evidence:</b>	See evaluation question 5a.

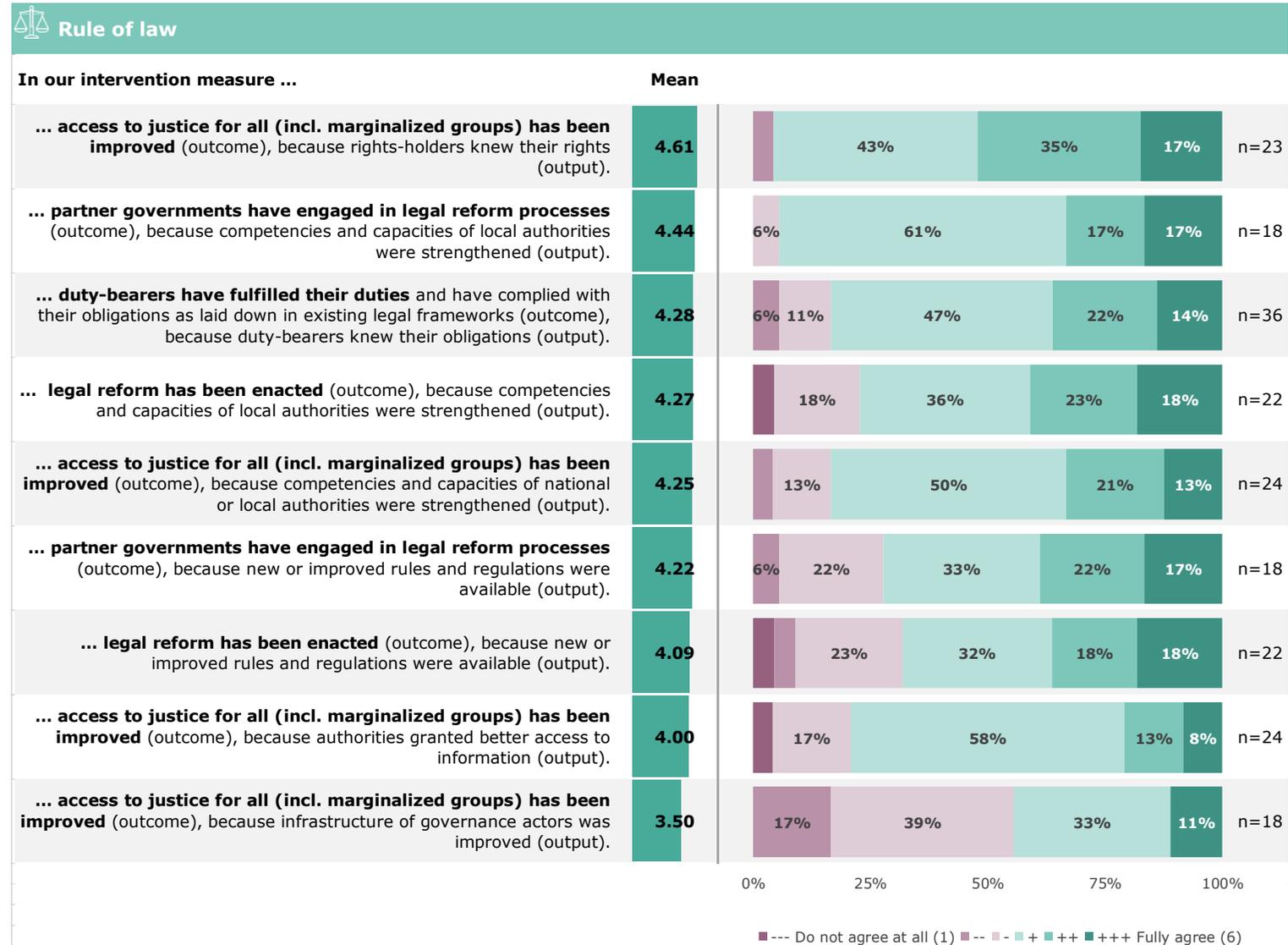
Evidence on 2. based on the online survey:

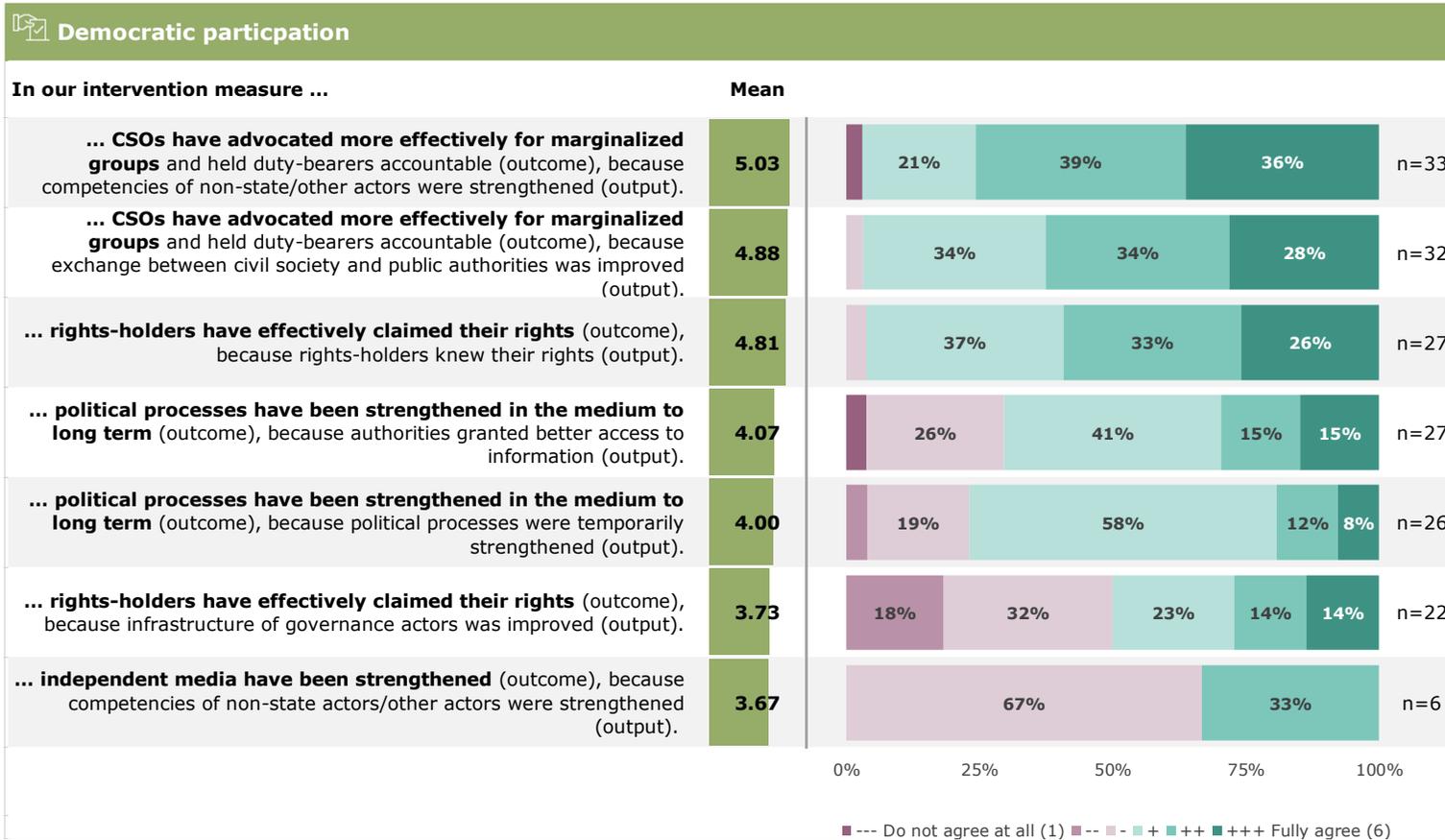
Q26: Based upon the outputs and outcomes you selected for your intervention measure, we would like to present some hypotheses to you about how outputs and impacts are linked. Please assess the extent to which you agree with the following statements in the context of your intervention measure.

**Impact hypotheses related to government effectiveness:**



Quantitative evidence:

**Impact hypotheses related to rule of law:**


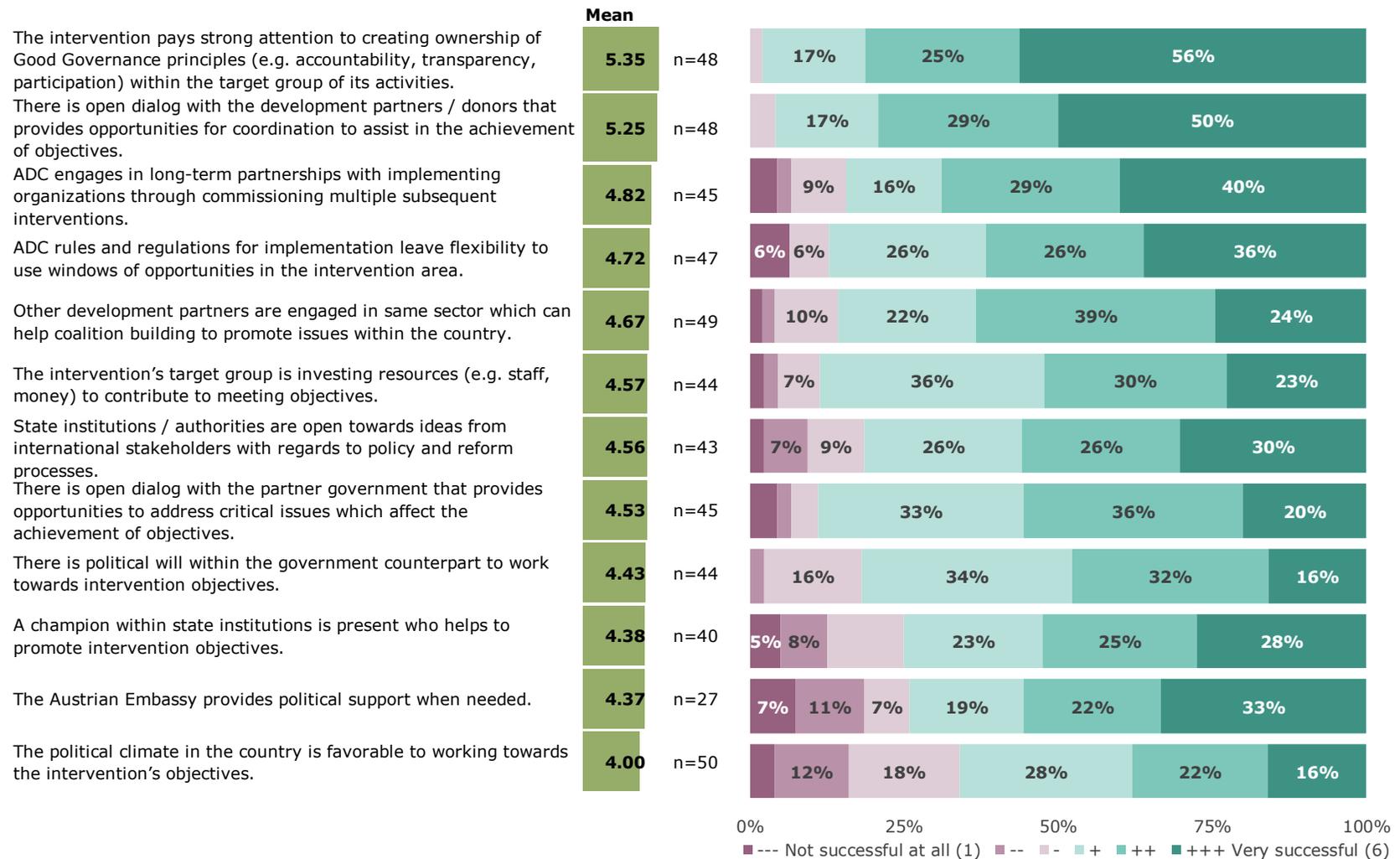
**Impact hypotheses related to democratic participation:**


<b>Evaluation criteria:</b>	<b>Effectiveness / Impact</b>
<b>EQ (ToR):</b>	<b>6. Do the different approaches in implementing GG – core area or sector-specific – show differences in achieving Good Governance outcomes, and if so, how can these be explained?</b>
<b>Refined EQ:</b>	<b>6. Do the different approaches in implementing GG – core area or sector-specific – show differences in achieving Good Governance outcomes, and if so, how can these be explained?</b>
<b>Indicator / descriptor:</b>	<p>1. Qualitative assessment of sector-specific GG outcomes (i.e. implementation of GG principles in specific sectors) compared to outcomes in GG core areas according to</p> <ol style="list-style-type: none"> <li>ADA staff</li> <li>Project implementers</li> <li>Political partners and further implementing partners</li> <li>Beneficiaries (i. immediate recipient of outputs, ii. ultimate target groups)</li> <li>External stakeholders (other development organizations, civil society)</li> <li>Sector experts</li> </ol>
<b>Key finding:</b>	<p><b>Finding 17: For the interventions subject to the country case studies, differences in modalities, scope and budget were important parameters for explaining differences in GG outcomes.</b></p> <p><i>Further details: The sample of sector-specific GG interventions analyzed in the country case studies of this evaluation was restricted to three interventions, thereby only allowing for a very limited qualitative comparison between the effectiveness of core and sector-specific GG. The three examples do not allow for overarching conclusions regarding differences in achieving GG outcomes. The two sector GG interventions analyzed in Albania are examples of potential overlaps between sector-specific and core area GG. The contributions to GG observed for the intervention in Uganda mainly stemmed from its modality rather than the concept of sector-specific GG.</i></p>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>Evidence from 9 interviews in the country case study Albania: I07, I23, I44, I45, I46, I50, I64, I79, I81</li> <li>Evidence from 3 interviews during the country case study Uganda: I43, I48, I56</li> <li>Synthesis with evidence from question 5a.</li> <li>Analysis of project documents, monitoring data, evaluations and further relevant documentation: <ul style="list-style-type: none"> <li><b>Consortium – Regional Development Program</b> (e.g. OEAER, 2010A.a; OEAER, 2010A.b; OEAER, 2015; OEIR, 2015)</li> <li><b>Caritas Albania – Support to People with Disabilities</b> (e.g. Caritas, 2011A.a; Caritas, 2011A.b; Caritas, 2014A.a; Caritas, 2014A.b; Caritas, 2014A.c; Caritas, 2015, Caritas 2016, Zyba, 2017A.a; Zyba, 2017A.b)</li> </ul> </li> </ul>

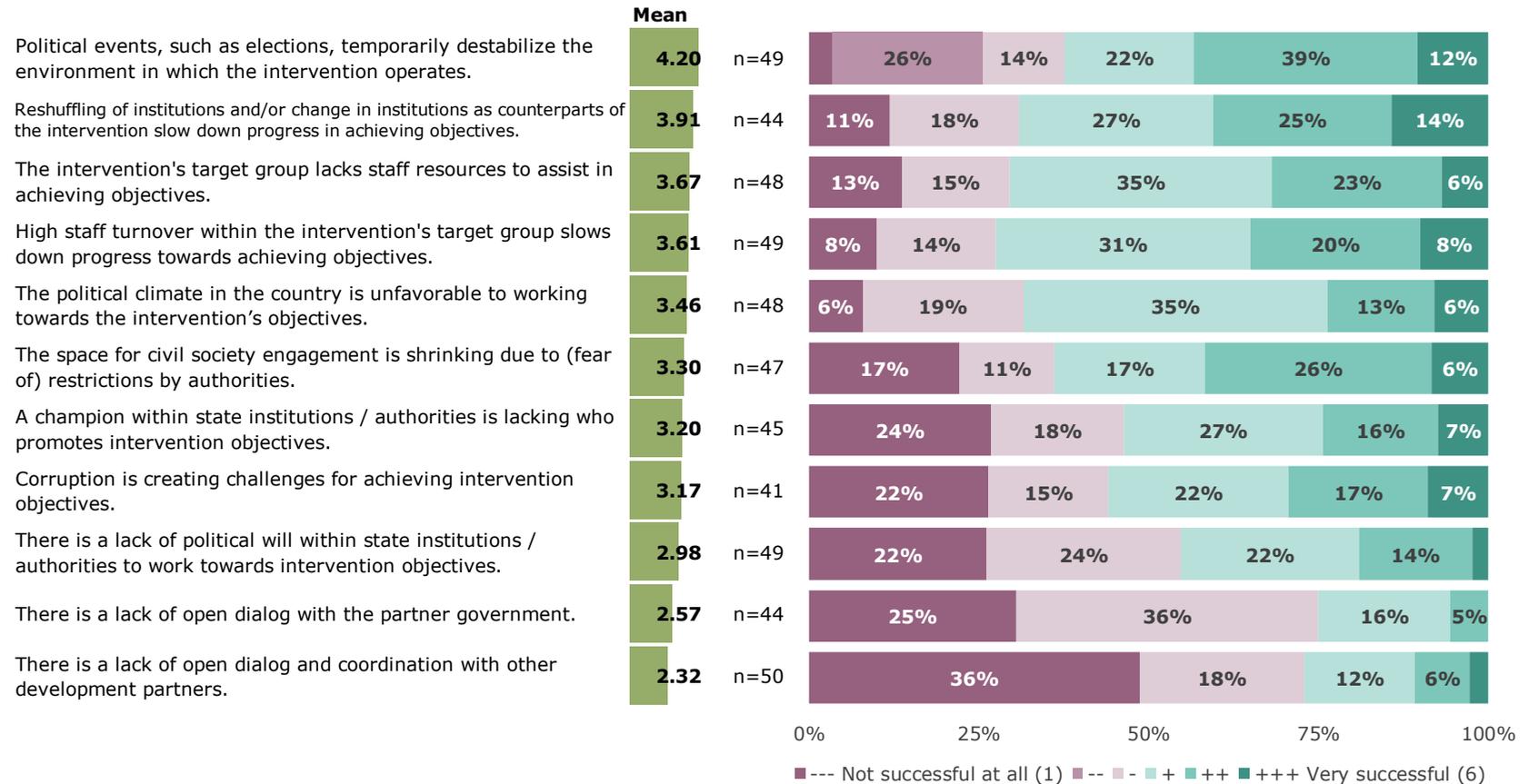
<b>Evaluation criteria:</b>	<b>Effectiveness / Impact</b>
<b>EQ (ToR):</b>	<b>7. What have been the key enabling and hindering factors for ADC's engagement on GG?</b>
<b>Refined EQ:</b>	<b>7. What have been the key enabling and hindering factors for ADC's engagement on GG?</b>
<b>Indicator / descriptor:</b>	<p>1a. i. Enabling and ii. hindering factors to achieve intended outcomes of the evaluation's theory of change reported by:</p> <ol style="list-style-type: none"> <li>a. ADC staff (ADA and BMEIA)</li> <li>b. External stakeholders (other development organizations, civil society)</li> <li>c. Project implementers</li> <li>d. Sector experts</li> </ol> <p>1b. i. Enabling and ii. hindering factors to achieve positive outcomes on the country/ project level reported by</p> <ol style="list-style-type: none"> <li>a. ADA staff</li> <li>b. Project implementers</li> <li>c. Political partners and further implementing partners</li> </ol>
<b>Key finding:</b>	<p><b>Finding 18: Key enabling factors for ADC's GG engagement are creating ownership for GG principles and the quality and duration of cooperation between ADC and its partners. Coalition building with other development partners, as well as political will and the political climate in the partner country are also important.</b></p> <p><b>Finding 19: Key hindering factors for ADC's GG engagement are political events which temporarily destabilize the environment in which an intervention operates, reshuffling of partner institutions, as well as lack of staff resources at the level of counterparts.</b></p> <p><i>Further details: Enabling factors and hindering factors are common across ADC GG interventions to a large extent, despite the heterogeneity in context and topics. The success and hindering factors presented in this section were identified in the country case studies and validated in the online survey. Due to their widespread appraisal by project implementers of a great diversity of interventions, they are not necessarily specific to GG but could be relevant to the success of other areas of engagement of ADC.</i></p>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 16 interviews in the country case studies: I30, I36, I40, I43, I47, I48, I49, I52, I53, I59, I60, I64, I70, I71, I79, I81</li> <li>• Evidence from the validation meeting</li> </ul>
<b>Quantitative evidence:</b>	

Evidence on 1a. from the online survey:

Q24: To what extent did the following factors **enable** the successful implementation of your intervention measure? (descending order)



Q25: To what extent did the following factors **threaten** a successful implementation of your intervention measure? (descending order)



NB: The number of respondents is too low to provide for insights based on an analysis of what type of interventions are associated with extreme ratings.

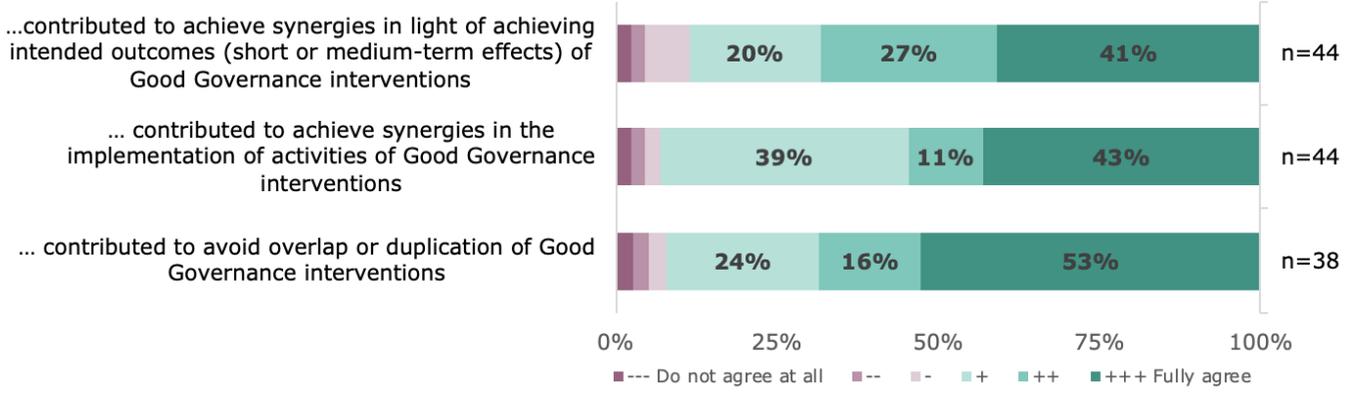
## 7.4 Efficiency

<b>Evaluation criteria:</b>	<b>Efficiency</b>
<b>EQ (ToR):</b>	<b>9. How efficiently is the GG portfolio being implemented at country level?</b>
<b>Refined EQ:</b>	<b>9a. To what extent are efficiency considerations factored into project steering and project implementation at country level?</b>
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Qualitative assessment of the importance of efficiency considerations in i. steering processes and ii. implementing processes by             <ol style="list-style-type: none"> <li>a. ADA (headquarters and coordination offices)</li> <li>b. Project implementers</li> </ol> </li> </ol>
<b>Key finding:</b>	<p><b>Finding 20: The adequate selection of modalities positively affects the efficiency of ADC's GG engagement.</b></p> <p><b>Finding 21: ADC's commitment to invest in long-term partnerships with local partners contributes to efficiency of implementation. The existing expertise, networks and credibility of local partners benefits the achievement of objectives of ADC interventions.</b></p>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 15 interviews in the country case studies: I40, I43, I48, I49, I53, I56, I59, I60, I63, I64, I70, I72, I79, I81, I83</li> <li>• Document analysis of ADC documents related to the use of modalities</li> <li>• Evidence from the validation meeting</li> </ul>

Evaluation criteria:	Efficiency
EQ (ToR):	<b>9. How efficiently is the GG portfolio being implemented at country level?</b>
Refined EQ:	<b>9b. To what extent are ADC's human and financial resources on GG appropriate in relation to enabling effective steering of the GG portfolio?</b>
Indicator / descriptor:	<ol style="list-style-type: none"> <li>1. Description of the i. human resources and ii. size of GG portfolio in light of the intended steering function</li> <li>2. Qualitative assessment of the relationship between human resources of ADA (HQ and field offices) and budget allocated to the GG portfolio in targeted countries by               <ol style="list-style-type: none"> <li>a. ADA staff</li> <li>b. BMEIA staff</li> <li>c. Project implementers</li> </ol> </li> </ol>
Key finding:	<p><b>Finding 22: ADC is understaffed for steering and implementation of the GG portfolio and engagement at policy level. Despite limited human resources, staff is perceived as highly competent and devoted by implementing partners and other development partners.</b></p> <p><i>Further details: ADC has highly limited human resources to steer its overarching GG portfolio. In the period subject to evaluation, reduction in staff at ADA HQ have curtailed capacities to provide in-house expertise on GG. ADA representatives in the country case study countries feel chronically understaffed and perceive the lean personnel structures as a potential risk for quality of the GG engagement.</i></p> <p><b>Finding 23: Increasing reliance on third-party funding (especially EU-delegated cooperation) represents both a challenge and an opportunity in light of ADC's limited human and financial resources .</b></p>
Qualitative evidence:	<ul style="list-style-type: none"> <li>• Evidence from 18 interviews (country case studies &amp; exploratory interviews): I01, I02, I03, I04, I06, I08, I11, I13, I14, I15, I43, I56, I55, I59, I64, I71, I81, I83</li> <li>• Evidence from the validation meeting</li> <li>• Analysis of portfolio data against ADA staff capacities</li> </ul>

## 7.6 Coherence, Complementarity and Coordination (CCC)

<b>Evaluation criteria:</b>	<b>Coherence, Complementarity and Coordination (CCC)</b>
<b>EQ (ToR):</b>	<b>10. How have coherence, complementarity and coordination of ADC's engagement on GG – including within the framework of the Whole of Government Approach (WGA) - affected efficiency and effectiveness/impact of implementation at country and local level?</b>
<b>Refined EQ:</b>	<b>10. How have coherence, complementarity and coordination of ADC's engagement on GG – including within the framework of the Whole of Government Approach (WGA) - affected efficiency and effectiveness/impact of implementation at country and local level?</b>
<b>Indicator / descriptor:</b>	1. Description of quality of coordination processes between development organizations at country level
	2. Interviewed stakeholders assess ADC's participation in development organization coordination on GG positive in terms of a. avoiding overlap or duplication b. achieving synergies on i. implementation and ii. outcome level
	3a. Average frequency of exchanges with other development organizations or development organization-financed projects on GG at country level i. to exchange information ii. to coordinate activities iii. to plan joint activities 3b. Proportion of project implementers that state that through coordination with other development organizations or development organization-financed projects they i. avoided overlap or duplication ii. achieved synergies on i. implementation and ii. outcome level
<b>Key finding:</b>	<b>Finding 24: The extent to which synergies between ADC GG interventions are pursued and contribute to efficiency and effectiveness varies between countries. Uganda constitutes a good practice example for coherence and complementarity within an ADC country portfolio.</b>  <b>Finding 25: Coordination with other development partners is a strength of ADC across the GG portfolio and positively affects efficiency and effectiveness.</b>

	<p><b>Finding 26: The Whole of Government Approach (WGA) does not play a significant role for efficiency or effectiveness of GG engagement at country or local level.</b></p>																																
<p><b>Qualitative evidence:</b></p>	<ul style="list-style-type: none"> <li>• Evidence from 19 interviews (country case studies &amp; exploratory interviews): I21, I26, I31, I40, I41, I49, I51, I53, I59, I60, I62, I64, I68, I69, I71, I72, I79, I81, I83</li> <li>• Evidence from the validation meeting</li> </ul>																																
<p><b>Quantitative evidence:</b></p>	<p><u>Evidence for 3a. from the online survey:</u>  Q36: To what extent do you cooperate with other development partners (not necessarily financed by ADC) regarding your engagement in the field of Good Governance ...</p>  <table border="1"> <thead> <tr> <th>Statement</th> <th>--- Do not agree at all</th> <th>--</th> <th>-</th> <th>+</th> <th>++</th> <th>+++ Fully agree</th> <th>n</th> </tr> </thead> <tbody> <tr> <td>...contributed to achieve synergies in light of achieving intended outcomes (short or medium-term effects) of Good Governance interventions</td> <td>2%</td> <td>2%</td> <td>16%</td> <td>20%</td> <td>27%</td> <td>41%</td> <td>44</td> </tr> <tr> <td>... contributed to achieve synergies in the implementation of activities of Good Governance interventions</td> <td>2%</td> <td>2%</td> <td>11%</td> <td>39%</td> <td>11%</td> <td>43%</td> <td>44</td> </tr> <tr> <td>... contributed to avoid overlap or duplication of Good Governance interventions</td> <td>2%</td> <td>2%</td> <td>11%</td> <td>24%</td> <td>16%</td> <td>53%</td> <td>38</td> </tr> </tbody> </table>	Statement	--- Do not agree at all	--	-	+	++	+++ Fully agree	n	...contributed to achieve synergies in light of achieving intended outcomes (short or medium-term effects) of Good Governance interventions	2%	2%	16%	20%	27%	41%	44	... contributed to achieve synergies in the implementation of activities of Good Governance interventions	2%	2%	11%	39%	11%	43%	44	... contributed to avoid overlap or duplication of Good Governance interventions	2%	2%	11%	24%	16%	53%	38
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... contributed to avoid overlap or duplication of Good Governance interventions	2%	2%	11%	24%	16%	53%	38																										

Evidence for 3b. from the online survey:

Q37: Please assess the following statements regarding the added value of coordination between your intervention measure and other development partners (not necessarily financed by ADC). Coordination between our intervention measure and other development partners...



## 7.7 ADC's added value and comparative advantage

<b>Evaluation criteria:</b>	<p><b>Effectiveness / Impact*</b></p> <p><i>*While the ToR subsume this question under the criterion Effectiveness/Impact, the findings have been presented in a separate section in the findings section of the main report.</i></p>
<b>EQ (ToR):</b>	<b>8. What has been the added value and comparative advantage of ADC's engagement on GG?</b>
<b>Refined EQ:</b>	<b>8. What has been the added value and comparative advantage of ADC's engagement on GG?</b>
<b>Indicator / descriptor:</b>	<ol style="list-style-type: none"> <li>1. Description of ADC's added value and comparative advantage compared to other development organizations according to             <ol style="list-style-type: none"> <li>a. ADC (ADA and BMEIA staff)</li> <li>b. Project implementers</li> <li>c. Political partners and further implementing partners</li> <li>d. External stakeholders (other development organizations, civil society)</li> <li>e. Sector experts</li> </ol> </li> </ol>
<b>Key finding:</b>	<p><b>Finding 27: The main added value and comparative advantage of ADC's engagement on GG lies in its partnership approach. It is characterized by a willingness to engage in long-term partnerships with a diversity of project implementers. The dedication of ADC staff and flexibility to take advantage of emerging windows of opportunity constitutes another strength.</b></p> <p><i>Further details: The comparative advantage of ADC's engagement on GG is made up of the following factors:</i></p> <ul style="list-style-type: none"> <li>• <i>A strong partnership and participatory approach vis-à-vis project implementers and political partners</i></li> <li>• <i>Investments in long-term partnerships</i></li> <li>• <i>Diversity of project implementers</i></li> <li>• <i>Flexibility in taking advantage of windows of opportunity</i></li> <li>• <i>Highly dedicated staff</i></li> <li>• <i>Being active in areas where comparatively few bilateral stakeholders are active</i></li> </ul>
<b>Qualitative evidence:</b>	<ul style="list-style-type: none"> <li>• Evidence from 17 interviews in the country case studies: I19, I24, I30, I34, I40, I41, I43, I44, I48, I53, I56, I59, I60, I63, I64, I66, I81</li> <li>• Evidence from the validation meeting</li> </ul>

## 8 Instruments for data collection

The following chapters includes all data collection instruments employed in this evaluation.

### 8.1 Interview guide used in the exploratory interviews

The Austrian Development Agency (ADA) has commissioned Syspons GmbH to conduct the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017). The objective of this strategic evaluation is (1.) to develop a joint understanding and terminology around 'Good Governance', (2.) to develop a Theory of Change (ToC) for ADC's operational engagement on GG, (3.) to assess the relevance, effectiveness/impact and efficiency of the different ADC's strategic and operational approaches pursued to promote GG, and (4.) to identify lessons learned and good practice from ADC's experience on GG to date.

As part of the inception phase, Syspons is conducting a desk analysis and explorative interviews with stakeholders of the Austrian Development Cooperation's (ADC) Good Governance portfolio and thematic experts. In this context, the objective of this semi-structured explorative interview is to clarify the expectations and opportunities of the strategic evaluation as well as the roles and interaction of different stakeholders of ADC's Good Governance portfolio.

This manual will guide our interview. The interview will focus on those points that relate to your tasks, interests and perspectives, hence we will not necessarily have to cover all points set out in this guideline. Moreover, you will also have the opportunity to raise additional points that are not subject of this guideline.

- We (Syspons GmbH, Prinzenstraße 84, 10969 Berlin, Germany) were commissioned by the Austrian Development Agency (ADA) to conduct the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017). Through this interview, ADA would like to give you the opportunity to share your perspective and expectations on the evaluation.
- This paper serves to inform you about the interview in advance and is not supposed to be filled out.
- By participating in this interview, you consent to the privacy policy, which you can find on the last page of this interview guide.

#### Personal Information

1. Please briefly explain your position and role in your organization.
2. Please briefly explain how you relate to the Good Governance portfolio of the Austrian Development Cooperation (ADC).

#### Context

3. *There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.*
  - a) What is your understanding of the term "Good Governance"?
  - b) What are, in your opinion, the main developments that have occurred with regards to the international debate on Good Governance in the past 10 years?
4. Where would you locate ADC's overall understanding of Good Governance in the international debate?
  - a) *Specifically, ADC specifies a number of principles (participation, ownership & empowerment; transparency & accountability; (mainstreaming) conflict prevention; anti-corruption*

*measures) and sectors (human rights; democratization; peacebuilding; rule of law and justice; civil society; administrative reform) for engagement on Good Governance.*

To what extent do these principles and sectors, in your opinion, reflect the current international debate on good governance?

### Implementing ADC's Good Governance Approach

5. *ADC's key strategic documents for the Good Governance portfolio are ADA's Policy Document for Good Governance (2006, reprinted in 2011), ADA's Handbook on Good Governance (2011) and the Social Standards Assessment (2018).*
  - a) How would you assess the usefulness of these documents for:
    - i) The planning of projects from the Good Governance portfolio?
    - ii) The steering of projects from the Good Governance portfolio?
  - b) To what extent are these documents, in your opinion, aligned with the Three-Year Programs, the annual work programs and the country strategies for partner countries?
  - c) How does ADA's approach to Good Governance relate to the human rights-based approach, its gender mainstreaming approach or other relevant approaches to cross-cutting issues?
6. Please explain the process of planning projects and programs from ADC's Good Governance portfolio (interaction of key stakeholders, involvement of key documents, decision-making on programming, etc.).
7. To what extent do the Federal Ministry for Europe, Integration and Foreign Affairs (BMEIA) and ADA interact with other national and international stakeholders in planning and steering programs and projects from the Good Governance portfolio?
8. What are, in your opinion, the strength and weaknesses of ADC's implementation of the Good Governance portfolio?
9. What are, in your opinion, preconditions and success factors for implementing Good Governance projects/programs in the partner countries and regions?
  - a) To what extent are these factors considered when deciding to engage or not engage on Good Governance in partner countries and regions?

### Expectations of the evaluation

10. Please explain what your specific knowledge interest is from this strategic evaluation.

### Final questions

11. Is there any other topic that has not been discussed, which you deem relevant?
12. Are there any contact persons that you would recommend us talking to?
13. Are there any documents relevant for the strategic evaluation that you would like to share with us?

**Thank you very much for your time and your support!**

### Declaration of consent to the privacy policy

We, SYSPONS GmbH (Prinzenstraße 84, 10969 Berlin, Germany), are conducting this interview. The Austrian Development Agency (ADA) commissioned us with the execution of this interview. Since we have no obligation to release any personal data to them, we are those responsible according to the General Data Protection Regulation (GDPR) within the scope of this survey.

If you participate in this interview and respond to questions, all the statements you make ("interview data") will be documented, saved and evaluated. We anonymize the interview results and make them available to our client, the Austrian Development Agency (ADA), only in an anonymized manner.

The Austrian Development Agency (ADA) cannot reach conclusions about your identity or your statements from the evaluation data we provided and cannot request the handover of the non-anonymous interview data. You can find more information on our data protection statement, available at <https://syspons.com/datenschutzerklaerung/>.

The processing is only used in order to capture viewpoints which are associated with the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017).

The participation in the interview is voluntary. As long as you want to be interviewed, your agreement to the data processing is required as the processing of the data mentioned above is necessary for the execution of the review of the program, and we are not authorized to process the data without the agreement according to current data protection law.

You can at any time revoke your declaration of consent via telephone or email to us. In case of revoking your consent, all previous data processing until that point remains lawful.

## 8.2 Interview guides used in the country case studies

### 8.2.1 Introduction to interview guides

The Austrian Development Agency (ADA) has commissioned Syspons GmbH to conduct the Strategic Evaluation of the Austrian Development Cooperation (ADC) Engagement on Good Governance (2007-2017). The objective of this strategic evaluation is (1.) to develop a joint understanding and terminology around 'Good Governance', (2.) to develop a Theory of Change (ToC) for ADC's operational engagement on GG, (3.) to assess the relevance, effectiveness/impact and efficiency of the different ADC's strategic and operational approaches pursued to promote GG, and (4.) to identify lessons learned and good practice from ADC's experience on GG to date.

As part of this evaluation, Syspons is conducting case studies in two partner countries of Austrian Development Cooperation (ADC). The objective of the semi-structured interviews conducted in this context is to gain a better understanding of the relevance, efficiency / impact and efficiency of a sample of projects and to situate them in ADC's portfolio in the partner country. For this purpose, the context and influencing factors will be discussed.

This manual will guide our interview. The interview will focus on those points that relate to your tasks, interests and perspectives, hence we will not necessarily have to cover all points set out in this guideline. Moreover, you will also have the opportunity to raise additional points that are not subject of this guideline.

- We (Syspons GmbH, Prinzenstraße 84, 10969 Berlin, Germany) were commissioned by the Austrian Development Agency (ADA) to conduct the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017). Through this interview, ADA would like to give you the opportunity to share your perspective and expectations on the evaluation.
- This paper serves to inform you about the interview in advance and is not supposed to be filled out.
- By participating in this interview you consent to the privacy policy, which you can find on the last page of this interview guide.

### 8.2.2 Questions for the ADA Country Desk Manager (HQ)

#### Personal Information

1. Please briefly introduce yourself and your role within ADA.

#### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or newly emerged.

#### ADC's Engagement 2007 – 2017 **in country XX**

1. Please describe ADC's engagement on Good Governance in country XX between 2007 and 2017.
  - a) How has the engagement evolved?
  - b) What have been key factors for deciding to engage or not engage in certain areas?
  - c) How has the evolving engagement affected the relevance of ADA's work on GG in country XX?
  - d) What are the impacts of ADA's engagement in this area?
2. Which are, in your opinion, the strengths and weaknesses of ADC's engagement of the Good Governance portfolio?
  - a) In your view, to what extent is the ADC's approach to Good Governance different from that of other development partners?
3. Which are, in your opinion, preconditions and success factors for implementing Good Governance projects/programs in country XX?
4. Please explain the process of planning projects and programs within ADC's Good Governance engagement (interaction of key stakeholders, involvement of key documents, decision-making on programming, etc.).

#### ADC's Good Governance Approach

14. ADC's key strategic documents for the Good Governance portfolio are the Policy Document for Good Governance (2006, reprinted in 2011), the Handbook on Good Governance (2011) and the Social Standards Assessment (2018).
  - a) How would you assess the usefulness of these documents for:
    - i) the planning of projects from the Good Governance portfolio?
    - ii) the steering of projects from the Good Governance portfolio?
15. What role do the ADC's Three-Year Programs, ADA's annual work programs and country strategies play for:
  - i) the planning of projects from the Good Governance portfolio?
  - ii) the steering of projects from the Good Governance portfolio?
16. To what extent are ADC's legal framework, policy and strategic documents and related tools consistent in terms of terminology, approach and focus?
  - a) How does ADC's approach to Good Governance relate to the human rights-based approach, its gender mainstreaming approach or other relevant approaches to cross-cutting issues?

#### Implementation

1. Please explain the interactions between you as a desk officer, the Coordination Office (KoBü) and the project implementers in project steering and implementation.
2. What is your perception of the efficiency of project steering and project implementation at country level?
3. To what extent are ADC's human and financial resources on GG appropriate in relation to enabling effective steering of the GG portfolio?
  - a) To what extent do coherence, complementarity and coordination affect efficiency, effectiveness and impact of implementation?

#### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in country XXX. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.
3. What other stakeholders and what context factors affected change in these areas in country XX?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

#### Coherence, Complementarity and Synergies

1. In your perception, to what degree is there coherence and complementarity between the interventions of different development partners in the field of Good Governance?
  - a) Are there specific mechanisms to achieve coherence (e.g. coordination roundtables)?
  - b) What role does Austrian Development Cooperation play in this regard?
2. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?
3. To what extent do you see synergies between different projects of the Austrian Development Agency
  - a) Synergies between Good Governance projects
  - b) Synergies between Good Governance projects and projects in other sectors

### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

## 8.2.3 Questions for ADA Field Staff / Heads of Coordination Offices

### Personal Information

1. Please briefly introduce yourself and your role within ADA.

### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or newly emerged.

### ADC's Engagement 2007 – 2017 **in country XX**

5. Please describe ADC's engagement on Good Governance **in country XX** between 2007 and 2017.
  - a) How has the engagement evolved?
  - b) What have been key factors for deciding to engage or not engage in certain areas?
  - c) How has the evolving engagement affected the relevance of ADA's work on GG in **country XX**?
  - d) What are the impacts of ADA's engagement in this area?
6. Which are, in your opinion, the strengths and weaknesses of ADC's engagement of the Good Governance portfolio?
  - a) In your view, to what extent is the ADC's approach to Good Governance different from that of other development partners?
7. Which are, in your opinion, preconditions and success factors for implementing Good Governance projects/programs **in country XX**?
8. Please explain the process of planning projects and programs within ADC's Good Governance engagement (interaction of key stakeholders, involvement of key documents, decision-making on programming, etc.).

### ADC's Good Governance Approach

1. ADC's key strategic documents for the Good Governance portfolio are the Policy Document for Good Governance (2006, reprinted in 2011), the Handbook on Good Governance (2011) and the Social Standards Assessment (2018).
  - a) How would you assess the usefulness of these documents for:
    - i) the planning of projects from the Good Governance portfolio?
    - ii) the steering of projects from the Good Governance portfolio?
2. What role do the ADC's three-year programs, ADA's annual work programs and country strategies play for:
  - i) the planning of projects from the Good Governance portfolio?
  - ii) the steering of projects from the Good Governance portfolio?

3. To what extent are ADC's legal framework, policy and strategic documents and related tools consistent in terms of terminology, approach and focus?
  - a) How does ADC's approach to Good Governance relate to the human rights-based approach, its gender mainstreaming approach or other relevant approaches to cross-cutting issues?

#### Implementation

1. Please explain the interactions between the Coordination Office (KoBü) and the project implementers in project steering and implementation.
2. What is your perception of the efficiency of project steering and project implementation at country level?
3. To what extent are ADC's human and financial resources on GG appropriate in relation to enabling effective steering of the GG portfolio?
  - a) To what extent do coherence, complementarity and coordination affect efficiency, effectiveness and impact of implementation?

#### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in **country XXX**. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.
3. What other stakeholders and what context factors affected change in these areas?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

#### Coherence, Complementarity and Synergies

1. In your perception, to what degree is there coherence and complementarity between the interventions of different development partners in the field of Good Governance?
  - a) Are there specific mechanisms to achieve coherence (e.g. coordination roundtables)?
  - b) What role does Austrian Development Cooperation play in this regard?
4. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?
5. To what extent do you see synergies between different projects of the Austrian Development Agency
  - a) Synergies between Good Governance projects
  - b) Synergies between Good Governance projects and projects in other sectors

#### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

### 8.2.4 Questions for ADA Unit "Civil Society International" (ZGI) (HQ)

#### Personal Information

2. Please briefly introduce yourself and your role within ADA.

#### ADC's ZGI Engagement

1. What are the specific characteristics of ADC's engagement within the ZGI funding stream in comparison to other funding streams (e.g. BER, GLO, L&R)?
  - a) To what extent do ZGI interventions address topics related to Good Governance?

2. Could you please explain the process of planning, implementing and steering ZGI interventions within ADC's engagement?

*Please consider the interactions between ADA Headquarters, the Coordination Offices (KoBüs) and the implementing partners, the consultation of key strategic documents, decision-making processes on programming, and monitoring and evaluation.*

- a) Are there any differences between the planning, steering and implementation of interventions from other budget lines (e.g. BER, GLO, L&R)?

3. To what extent do synergies exist between the different funding streams? Please explain.

#### **ADC's ZGI Engagement 2007 – 2017 in Albania**

9. Please describe ADC's ZGI engagement in Albania between 2007 and 2017 with a particular view to areas relevant for Good Governance (topics such as Human Rights, Gender Equality, Strengthening of Civil Society)

- a) How has the engagement evolved?

10. To what extent do you identify synergies between the specific ZGI interventions and other interventions related to Good Governance in Albania?

- a) Are there specific mechanisms to foster information exchange and learning between different ADC interventions?

#### **Specific ZGI Interventions**

*Within the upcoming case study, we are investigating the intervention "Support to People with Disabilities". This intervention encompasses the following projects: 8108-07/2011: Chancengleichheit für Menschen mit Behinderung in Albanien; 8108-07/2014: Aktiv leben – ohne Barrieren; 8108-14/2017: INCLUSION – strategische Intervention für Menschen mit Behinderung.*

1. How do you assess the design and implementation of the intervention? Have there been any particularities?
2. To what extent have Good Governance principles been relevant to this intervention? (e.g. Participation, Ownership and Empowerment, Transparency and Accountability, (Mainstreaming) Conflict Prevention, and Anti-Corruption Measures)
3. Please describe to what extent the intervention achieved its intended objectives.

#### **Final Questions**

3. Is there any other topic that has not been discussed that you deem relevant?

## **8.2.5 Questions for ADA Thematic Advisors (HQ)**

### **Personal Information**

1. Please briefly introduce yourself and your role within ADA.

### **Context**

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) What are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or newly emerged.

### **ADC's Engagement 2007 – 2017 in country XX**

11. Please describe ADC's engagement on Good Governance **in country XX** between 2007 and 2017.
  - a) How has the engagement evolved?
  - b) What have been key factors for deciding to engage or not engage in certain areas?
  - c) How has the evolving engagement affected the relevance of ADA's work on GG in **country XX**?
  - d) What are the impacts of ADA's engagement in this area?
12. Which are, in your opinion, the strengths and weaknesses of ADC's engagement of the Good Governance portfolio?

- a) In your view, to what extent is the ADC's approach to Good Governance different from that of other development partners?
13. Which are, in your opinion, preconditions and success factors for implementing Good Governance projects/programs in country XX?
14. Please explain the process of planning projects and programs within ADC's Good Governance engagement (interaction of key stakeholders, involvement of key documents, decision-making on programming, etc.).

### ADC's Good Governance Approach

1. ADC's key strategic documents for the Good Governance portfolio are the Policy Document for Good Governance (2006, reprinted in 2011), the Handbook on Good Governance (2011) and the Social Standards Assessment (2018).
  - a) How would you assess the usefulness of these documents for:
    - i) the planning of projects from the Good Governance portfolio?
    - ii) the steering of projects from the Good Governance portfolio?
2. What role do the ADC'S three-year programs, ADA's annual work programs and country strategies play for:
  - i) the planning of projects from the Good Governance portfolio?
  - ii) the steering of projects from the Good Governance portfolio?
3. To what extent are ADC's legal framework, policy and strategic documents and related tools consistent in terms of terminology, approach and focus?
  - a) How does ADC's approach to Good Governance relate to the human rights-based approach, its gender mainstreaming approach or other relevant approaches to cross-cutting issues?

### Implementation

1. Please explain the interactions between you as a desk officer, the thematic advisors, the Coordination Office (KoBü) and the project implementers in project steering and implementation.
2. What is your perception of the efficiency of project steering and project implementation at country level?
3. To what extent are ADC's human and financial resources on GG appropriate in relation to enabling effective steering of the GG portfolio?
  - a) To what extent do coherence, complementarity and coordination affect efficiency, effectiveness and impact of implementation?

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in country XXX. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.
3. Which other stakeholders and which context factors affected change in these areas in country XX?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

### Coherence, Complementarity and Synergies

1. To what extent do you see synergies between different projects of the Austrian Development Agency
  - a) Synergies between Good Governance projects
  - b) Synergies between Good Governance projects and projects in other sectors

### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

## 8.2.6 Questions for Project Implementers and other Implementing Partners

### Personal Information

1. Please briefly introduce yourself and your organization
2. Please describe your role within the project "XXX".

### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in country XXX to us. Please refer to challenges that have persisted, evolved or newly emerged.

### Relevance and Effectiveness of Your Project

1. Please explain the objectives of your project to us.
2. To what extent are / were the project's objectives aligned with
  - a) National priorities of country XXX?
  - b) Regional or international development frameworks (e.g. the SDGs)?
3. Please describe how the project intended to achieve its objectives.
  - a) Was it possible to implement the project according to plan?
4. Please describe to what extent the project achieved its intended objectives.
5. In your opinion, which have been the most significant changes that have emerged from the project?
6. Have there been unplanned positive and negative effects?
7. From your point of view, what project-related factors contributed to or hindered achieving the intended objectives (e.g. location, budget, duration)?
8. What were the main contextual factors affecting the achievement of project objectives (e.g. policies, regulations, social and economic stability)?

### Efficiency

1. What challenges did you have to face in project implementation?
  - a) Looking back, what would you do differently to achieve the project objectives more efficiently?
2. To what extent did the modalities of Austrian Development Cooperation allow for efficient steering and implementation?
  - a) What is your perception of the role of the Austrian Ministry of Foreign Affairs (BMEIA) and ADA in the project cycle?
3. Where do you see room for improvement regarding the strategic and operational approach of Austrian Development Cooperation towards Good Governance?

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in country XXX. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality

### Coherence, Complementarity and Synergies

1. Please describe other relevant stakeholders in the field.
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

- c) To what extent are / were they critical for the success of your project?
2. Please explain to what extent you are aware of other projects financed by Austrian Development Cooperation.
  - a) How and to what extent does / did your project coordinate with these other projects?
3. To what extent do you see synergies between your project and other projects in relation to (Good) Governance?
  - a) With other projects funded by Austrian Development Cooperation
  - b) With projects of other development partners

#### Your Perspective on ADC

1. In your view, to what extent is ADC's approach to Good Governance different from that of other development partners?
2. Are you familiar with strategy documents and tools of Austrian Development Cooperation?
  - a) The Policy Document on Good Governance
  - b) The Handbook on Good Governance
  - c) The Country Strategy
  - d) The Social Standards Assessment
3. To what extent have these strategy and policy documents been useful to you as a project implementer?
  - a) What would make them more useful?

#### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

### 8.2.7 Questions for Intermediate Target Group

#### Personal Information

1. Please briefly introduce yourself and your organization.
2. Please describe how you were involved in the Austrian Development Agency's project "XXX".

#### Context and Alignment

1. Please describe the governance situation in country XXX to us. Please refer to challenges that have persisted, evolved or newly emerged.
2. To what extent are / were the objectives of project XX aligned with
  - a) National priorities of country XXX?
  - b) Regional or international development frameworks (e.g. the SDGs)?

#### Your Involvement in the Project

1. What was your motivation behind your collaboration with the Austrian Development Agency's project XXX?
2. Please describe to what extent, if at all, your involvement in the project contributed to changes in your situation.
  - a) What were the main factors causing your situation back then and to what extent are these factors still affecting you?
  - b) In your opinion, what have been the most significant changes, if any, that have emerged from the project?
3. Are there other individuals or organizations that will profit from changes brought about by the project? If yes, please elaborate on this.
4. Please elaborate on the strengths and weaknesses of the project.
  - a) Which changes would you suggest improving the performance of similar projects?
  - b) What were, from your point of view, the main context factors affecting project performance?
5. Have there been unplanned positive and negative effects of the project?
6. Are you aware of other projects of the Austrian Development Agency? If yes, do you see synergies between the project you were involved with and other projects?

7. What were the main contextual factors affecting the achievement of project objectives (e.g. policies, regulations, social and economic stability)?

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in **country XXX**. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.
3. Which other stakeholders and which context factors affected change in these areas?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

### Coherence and Complementarity

1. In your perception, to what degree is there coherence and complementarity between the interventions of different development partners in the field of Good Governance?
  - a) Are there specific mechanisms to achieve coherence (e.g. coordination roundtables)?
  - b) What role does Austrian Development Cooperation play in this regard?
2. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?

### Your Perspective on ADC

1. In your view, to what extent does ADC's approach to Good Governance differ from that of other development partners?
2. To what extent do you see synergies between different projects of the Austrian Development Agency?
3. Do you see synergies with projects in which Good Governance is a core area of the intervention, and projects in other sectors?
4. Are you familiar with strategy and policy documents of Austrian Development Cooperation?
  - a) The Policy Document on Good Governance
  - b) The Handbook on Good Governance
5. To what extent do you perceive these documents to be state of the art? To what extent do you perceive them as useful for GG practitioners?

### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

## 8.2.8 Questions for Development Partners

### Personal Information

1. Please briefly introduce yourself and your organization.
2. Please describe your relationship with Austrian Development Cooperation.

### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?

2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or have newly emerged.

### GG Portfolio of your Organization

1. Please describe your organization's approach to GG in **country XX** (e.g. overall strategy, projects, and participation in political dialog).

### Coherence and Complementarity

1. In your perception, to what degree is there coherence and complementarity between the interventions of different development partners in the field of Good Governance?
  - a) Are there specific mechanisms to achieve coherence (e.g. coordination roundtables)?
  - b) What role does Austrian Development Cooperation play in this regard?

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in **country XXX**. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.
3. What other stakeholders and what context factors affected change in these areas?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

### Your Perspective on ADC

1. In your view, to what extent does ADC's approach to Good Governance differ from that of other development partners?
2. To what extent are / were the objectives of the GG projects of the Austrian Development Agency aligned with
  - a) National priorities of **country XXX**?
  - b) Regional or international development frameworks (e.g. the SDGs)?
3. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?
4. To what extent do you see synergies between different projects of the Austrian Development Agency?
5. Do you see synergies with projects in which Good Governance is a core area of the intervention, and projects in other sectors?
6. Are you familiar with strategy and policy documents of Austrian Development Cooperation?
  - a) The Policy Document on Good Governance
  - b) The Handbook on Good Governance
7. To what extent do you perceive these documents to be state of the art? To what extent do you perceive them as useful for GG practitioners?

### Efficiency

1. Please describe the relationship between your organization and actors of Austrian Development Cooperation?
  - a) In your perception, to what extent do the modalities of Austrian Development Cooperation allow for efficient steering and implementation?
  - b) What is your perception of the distribution of roles and responsibilities of the Austrian Ministry of Foreign Affairs (BMEIA) and ADA in this regard?
2. Where do you see room for improvement regarding the strategic and operational approach of Austrian Development Cooperation towards Good Governance?

### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.

2. Are there important documents that could help us with our work?

## 8.2.9 Questions for Political Partners

### Personal Information

1. Please briefly introduce yourself and your organization.
2. Please describe your relationship with Austrian Development Cooperation and, in particular, Good Governance projects of the Austrian Development Agency.

### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or newly emerged.

### Relevance and Effectiveness of ADA Governance Projects

1. Please explain the objectives of the projects of the Austrian Development Agency in the field of Good Governance in 2007 – 2017 that you are familiar with.
2. To what extent have you or your organization had the occasion to exchange with actors of Austrian Development Cooperation regarding priorities to be addressed in the field of Good Governance?
3. To what extent are / were the objectives of the GG projects of the Austrian Development Agency aligned with
  - a) National priorities of **country XXX**?
  - b) Regional or international development frameworks (e.g. the SDGs)?
4. Please describe to what extent the projects you are familiar with achieved their intended objectives.
5. In your opinion, have any significant changes emerged from these projects? If so, please explain.
6. Have there been unplanned positive and negative effects?
7. What were the main contextual factors affecting the achievement of project objectives (e.g. policies, regulations, social and economic stability)?

### Efficiency

1. Please describe the relationship between your organization and actors of Austrian Development Cooperation?
  - a) In your perception, to what extent do the modalities of Austrian Development Cooperation allow for efficient steering and implementation?
  - b) What is your perception of the distribution of roles and responsibilities of the Austrian Ministry of Foreign Affairs (BMEIA) and ADA in this regard?
2. Where do you see room for improvement regarding the strategic and operational approach of Austrian Development Cooperation towards Good Governance?

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in **country XXX**. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.

3. Which other stakeholders and which context factors affected change in these areas?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

### Coherence, Complementarity and Synergies

1. In your perception, to what degree is there coherence and complementarity between the interventions of different development partners in the field of Good Governance?
  - a) Are there specific mechanisms to achieve coherence (e.g. coordination roundtables)?
  - b) What role does Austrian Development Cooperation play in this regard?
2. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?
3. To what extent do you see synergies between different projects of the Austrian Development Agency?
  - a) Do you see synergies with projects in which Good Governance is a core area of the intervention, and projects in other sectors?

### Your Perspective on ADC

1. In your view, to what extent does ADC's approach to Good Governance differ from that of other development partners?
2. Are you familiar with strategy and policy documents of Austrian Development Cooperation?
  - a) The Policy Document on Good Governance
  - b) The Handbook on Good Governance
  - c) The Country Strategy
3. To what extent have these strategy and policy documents been useful to you as a partner of Austrian Development Cooperation?
  - a) What would make them more useful?

### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

## 8.2.10 Questions for Sector Experts

### Personal Information

1. Please briefly introduce yourself and your organization
2. Please describe your relationship with Austrian Development Cooperation.

### Context

1. There are different understandings of the concept "Good Governance". Moreover, the understanding has evolved since its first use.
  - a) What is your understanding of the term "Good Governance"?
  - b) Which are, in your opinion, the main developments that have occurred with regard to the international debate on Good Governance in the past 10 years?
2. Please describe the governance situation in **country XXX** to us. Please refer to challenges that have persisted, evolved or newly emerged.

### Plausibility of Contribution to Long-Term Impacts

1. To what extent and under what circumstances do you deem it plausible that cooperation projects can contribute to long-term impacts in the field of (Good) Governance in **country XXX**. Please refer to the following aspects:
  - a) Contribution to equitable and efficient public management
  - b) Contribution to enhanced democratic participation
  - c) Contribution to a strengthened rule of law and justice system
  - d) Contribution to the respect of human rights
  - e) Contribution to the promotion of women's equality
2. In your view, to what extent did the projects of the Austrian Development Agency contribute to these impacts in the years 2007 – 2017? If possible, please provide specific examples.

3. Which other stakeholders and which context factors affected change in these areas?
  - a) Which are relevant national governmental and non-governmental stakeholders?
  - b) Which are relevant other development partners?

#### Your Perspective on ADC

1. In your view, to what extent does ADC's approach to Good Governance differ from that of other development partners?
2. To what extent are / were the objectives of the GG projects of the Austrian Development Agency aligned with
  - a) National priorities of **country XXX**?
  - b) Regional or international development frameworks (e.g. the SDGs)?
3. To what extent do you see synergies between projects of the Austrian Development Agency in the field of Good Governance and projects of other development partners?
4. To what extent do you see synergies between different projects of the Austrian Development Agency?
5. Do you see synergies with projects in which Good Governance is a core area of the intervention, and projects in other sectors?
6. Are you familiar with strategy and policy documents of Austrian Development Cooperation?
  - a) The Policy Document on Good Governance
  - b) The Handbook on Good Governance
7. To what extent do you perceive these documents to be state of the art? To what extent do you perceive them as useful for GG practitioners?

#### Final Questions

1. Please indicate if there are further relevant topics we should address in this interview.
2. Are there important documents that could help us with our work?

### 8.2.11 Declaration of Consent to the Privacy Policy

**All interview guides conclude with a Declaration of Consent to the Privacy Policy as follows:**

We, SYSPONS GmbH (Prinzenstraße 84, 10969 Berlin, Germany), are conducting this interview. The Austrian Development Agency (ADA) commissioned us with the execution of this interview. Since we have no obligation to release any personal data to them, we are those responsible according to the General Data Protection Regulation (GDPR) within the scope of this survey.

If you participate in this interview and respond to questions, all the statements you make (“interview data”) will be documented, saved and evaluated. We anonymize the interview results and make them available to our client, the Austrian Development Agency (ADA), only in an anonymized manner.

The Austrian Development Agency (ADA) cannot reach conclusions about your identity or your statements from the evaluation data we provided and cannot request the handover of the non-anonymous interview data. You can find more information on our data protection statement, available at <https://syspons.com/datenschutzerklaerung/>.

The processing is only used in order to capture viewpoints which are associated with the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017).

The participation in the interview is voluntary. As long as you want to be interviewed, your agreement to the data processing is required as the processing of the data mentioned above is necessary for the execution of the review of the program and we are not authorized to process the data without the agreement according to current data protection law.

You can at any time revoke your declaration of consent via telephone or email to us. In case of revoking your consent, all previous data processing until that point remains lawful.

## 8.3 Interview guide used for the interviews on ADC’s WGA

The Austrian Development Agency (ADA) has commissioned Syspons GmbH to conduct the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017) on behalf of ADC. The objective of this strategic evaluation is (1.) to develop a joint understanding and terminology around ‘Good Governance’, (2.) to develop a Theory of Change (ToC) for ADC’s operational engagement on GG, (3.) to assess the relevance, effectiveness/impact and efficiency of the different ADC’s strategic and operational approaches pursued to promote GG, and (4.) to identify lessons learned and good practice from ADC’s experience on GG to date.

As part of the data collection phase, Syspons is conducting further interviews on the Whole of Government Approach (WGA) within ADC to better understand the potential influence of WGA on the efficiency and effectiveness at the priority country level. In particular, we would like to discuss this in the context of the broader ADC encompassing a wider landscape of stakeholders beyond ADA and BMEIA (sometimes referred to as ADC Plus).

This manual presents key guiding questions for the interview. Our interview will focus on those points that relate to your tasks and perspectives. Hence, we will not necessarily have to cover all points set out in this guideline. Moreover, you will also have the opportunity to raise additional points that are not subject of this guideline.

➤ We (Syspons GmbH, Prinzenstraße 84, 10969 Berlin, Germany) were commissioned by the Austrian Development Agency (ADA) to conduct the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017). Through this interview, ADA would like to give you the opportunity to share your perspective and expectations on the evaluation.

- This paper serves to inform you about the interview in advance and is not supposed to be filled out.
- By participating in this interview, you consent to the privacy policy, which you can find on the last page of this interview guide.

### Personal information

1. Please briefly explain how your role within ADC relates to the Whole of Government Approach (WGA).

### The Whole of Government Approach within ADC

1. Could you please describe the WGA within ADC?
  - a) Please explain how the WGA within ADC has evolved.
  - b) Please further describe the underlying objectives of the WGA.
  - c) Please differentiate between the strategic and the operational level, when describing WGA within ADC.
2. Where is ADC's WGA approach formalized and/or documented?
3. To what extent do strategic guidelines exist that specify the WGA for a given priority country or thematic context?
4. To what extent are formalized systems and processes established for implementing and reporting on WGA as well as for coordinating the activities of different Austrian stakeholders on the priority country level?
5. Could you please describe the role of different stakeholders within the framework of the WGA?
  - a) BMEIA
  - b) Austrian ministries
  - c) Other government actors
  - d) ADA
  - e) Other actors
6. To what extent is the WGA realized in relation to the ADC's engagement on Good Governance? Please provide examples.
7. To what extent has an implementation of the WGA led to synergies regarding efficiency and effectiveness as well as an added value to ADC's engagement? Please provide examples.
8. What have been key hindering and enabling factors for WGA?
  - a) In general
  - b) In relation to Good Governance

### Final question

1. Is there any other topic that has not been discussed, which you deem relevant?

**Thank you very much for your time and your support!**

### Declaration of consent to the privacy policy

We, SYSPONS GmbH (Prinzenstraße 84, 10969 Berlin, Germany), are conducting this interview. The Austrian Development Agency (ADA) commissioned us with the execution of this interview. Since we have no obligation to release any personal data to them, we are those responsible according to the General Data Protection Regulation (GDPR) within the scope of this survey.

If you participate in this interview and respond to questions, all the statements you make (“interview data”) will be documented, saved and evaluated. We anonymize the interview results and make them available to our client, the Austrian Development Agency (ADA), only in an anonymized manner.

The Austrian Development Agency (ADA) cannot reach conclusions about your identity or your statements from the evaluation data we provided and cannot request the handover of the non-anonymous interview data. You can find more information on our data protection statement, available at <https://syspons.com/datenschutzerklaerung/>.

The processing is only used in order to capture viewpoints which are associated with the Strategic Evaluation of the ADC Engagement on Good Governance (2007-2017).

The participation in the interview is voluntary. As long as you want to be interviewed, your agreement to the data processing is required as the processing of the data mentioned above is necessary for the execution of the review of the program and we are not authorized to process the data without the agreement according to current data protection law.

You can at any time revoke your declaration of consent via telephone or email to us. In case of revoking your consent, all previous data processing until that point remains lawful.

## 8.4 Online survey

### Welcome to the survey for project implementers of Austrian Development Cooperation Good Governance interventions

Dear project implementer,

We would like to cordially invite you to the survey for project implementers of interventions of Austrian Development Cooperation falling within the realm of Good Governance. This survey is a central part of the Strategic Evaluation of the ADC’s Good Governance engagement.<sup>25</sup>

Your perspective as project implementer is crucial. Together with the responses from other project implementers, both your and other implementers’ perspectives will contribute to gaining a better understanding of the strengths and weaknesses of ADC’s Good Governance engagement. Thereby, the results will render information about recommendations towards the ADC’s future operational and strategic approach in this field. We therefore invite you to **be frank with regards to both strengths and weaknesses** in your intervention to facilitate learning for ADC.

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<sup>25</sup> [?] Mouseover: The purpose of this evaluation is threefold:

- (1) To sharpen and focus on ADC’s strategic and operational approach to Good Governance and its alignment with the 2030 Agenda for Sustainable Development;
- (2) to identify enabling and hindering factors for ADC’s Good Governance engagement and provide evidence for institutional learning at the strategic level;
- (3) to inform a review/update of existing ADC GG policy documents and tools.

The information provided within this survey will remain **strictly confidential and anonymous** and will not be disclosed to any third party. **As such, the entries you provide will not be traced back to your individual intervention measure.**

With best regards,

Syspons GmbH

**Declaration of Consent:**

This survey for the Strategic Evaluation of the Austrian Development Cooperation (ADC) Engagement on Good Governance (2007 – 2017) was commissioned by us, the Austrian Development Agency (ADA) (Zelinkagasse 2, 1010 Vienna, Austria), and we are responsible for the processing of the data collected in this survey according to the General Data Protection Regulation (GDPR). We have commissioned Syspons GmbH (Prinzenstraße 84, 10969 Berlin, Germany) with the implementation of this survey and obliged it to strict confidentiality. Syspons GmbH is the data processor according to the GDPR.

If you participate in this survey and submit your answers at the end of the questionnaire, all the information that you provided in this questionnaire (survey data) will be submitted to Syspons GmbH, who will save and analyze it. We (ADA) will receive the results of the analysis, for which Syspons will draw on the survey data.

Furthermore, Syspons is collecting data that are necessary for opening the online survey website. It will further collect information as to whether the survey link that was sent to you was used and passes on this information upon our request.

Further information on the processing of data through Syspons GmbH can be found in their data protection declaration, which can be accessed at: <https://syspons.com/datenschutzerklaerung/>

The processing of data will take place exclusively within the framework of the strategic evaluation.

Your participation in this survey is voluntary. If you would like to participate, your declaration of consent to the processing of data is necessary, as we otherwise do not have the right to process your information within the framework of this survey under the applicable data protection laws.

You are free to revoke your consent any time by telephone or mail. In the case of revocation, all data processing to this point remains lawful.

I hereby consent to the data processing as described through my participation in the online survey of the Strategic Evaluation of the

## Austrian Development Cooperation (ADC) Engagement on Good Governance (2007 – 2017).

**Practical information:**

- Please only use the **grey arrows** at the bottom of the page to navigate through the questionnaire. Click on the right arrow for the next page and the left arrow for the preceding page. Please do not use the “back” and “forward” buttons of your browser because they do not work in this survey.
- **Answers are saved automatically when you click on the right arrow.**
- Therefore, you can interrupt and continue the survey later. You can navigate back and make changes at any time while answering the questionnaire. To resume answering the survey later, you can simply reuse the link from your invitation email.
- Due to filters in the survey, not all questions will appear when you fill out the survey, but only those that are relevant for you.
- If you see this icon [?], you can move your mouse cursor over it and receive useful definitions and / or additional information that will help you to answer the questions.

**Questions regarding the survey?**

Johanna Renz from Syspons GmbH would be pleased to assist you if you have questions regarding the survey or if you have technical or content specific problems when completing the questionnaire. Please contact her via telephone +49 30 69815800 or via email: [survey@syspons.com](mailto:survey@syspons.com)

**Important information regarding your intervention measure:**

We kindly ask you to fill out this survey for the **intervention measure displayed in the upper part of this page**. Please note that for the purpose of the survey, follow-up and interdependent projects have been consolidated into one intervention measure. If this is the case, each project name is listed below the name of the intervention measure at the upper part of the page. Thank you very much in advance for your support.

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

## Background information

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

1. What type of organization were you / are you working with when the intervention measure was / is implemented?	
<input type="radio"/>	A civil society organization
<input type="radio"/>	A consulting company
<input type="radio"/>	A research institution
<input type="radio"/>	A media organization
<input type="radio"/>	An intergovernmental/international organization
<input type="radio"/>	A state institution of the country in which the intervention measure was implemented
<input type="radio"/>	Other, please specify: _____

2. <b>Filter: only if "Civil society organization" was selected in question 1</b> What type of civil society organization were you / are you working with, when the intervention measure was / is implemented?	
<input type="radio"/>	An international civil society organization (based outside the country of implementation)
<input type="radio"/>	A national chapter of an international civil society organization
<input type="radio"/>	A national civil society organization
<input type="radio"/>	Other, please specify: _____

3. Which groups did / does the intervention target through its activities? (You can choose multiple answers.)	
<input type="radio"/>	State institutions / authorities on a political level (e.g. support to policy dialog, reform processes)

<input type="radio"/>	State institutions / authorities on an operative level (e.g. support through capacity building)
<input type="radio"/>	Civil society organizations (e.g. support through capacity building, support to advocacy)
<input type="radio"/>	Beneficiaries from the population (e.g. provision of services, empowerment activities)
<input type="radio"/>	Others, please specify: _____

### Objectives of your intervention measure

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

To gain a better understanding of the contributions of the ADC's Good Governance engagement, we would like to better understand the objectives of your intervention.

### Which of the following outcomes did your intervention intend to contribute to?

*In the following, please select all outcomes (i.e. short or medium-term effects) that your intervention measure intended to contribute to.*

4. Partner governments of ADC have engaged in administrative reform processes regarding...	
<input type="checkbox"/>	...the adoption of rules and regulations
<input type="checkbox"/>	...the organizational reform within and across existing institution
<input type="checkbox"/>	...the institutional allocation of resources
<input type="checkbox"/>	...new institutions / mergers of institutions
<input type="checkbox"/>	...decentralization
<input type="checkbox"/>	...other, please specify: _____
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
5. Existing administrative frameworks are implemented by partner governments of ADC regarding ...	

<input type="checkbox"/>	...the implementation of specific rules and regulations
<input type="checkbox"/>	...the organizational reform within and across existing institution
<input type="checkbox"/>	...the institutional allocation of resources
<input type="checkbox"/>	...new institutions / mergers of institutions
<input type="checkbox"/>	...decentralization
<input type="checkbox"/>	...other, please specify: _____
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
6. Administrative processes are strengthened in the medium to long term <sup>26</sup> regarding...	
<input type="checkbox"/>	...transparency
<input type="checkbox"/>	...accountability
<input type="checkbox"/>	...participation
<input type="checkbox"/>	...performance-orientation
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
7. The functioning of the following public sector institutions is improved:	
<input type="checkbox"/>	Auditing institutions
<input type="checkbox"/>	Human rights institutions
<input type="checkbox"/>	Corruption control institutions
<input type="checkbox"/>	Criminal and civil justice institutions
<input type="checkbox"/>	Public financial management institutions and tax administrations
<input type="checkbox"/>	Other, please specify: _____
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.

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<sup>26</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

8. Duty-bearers fulfill their duties and comply with their obligations as laid down in existing legal frameworks.	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
9. Partner governments of ADC have engaged in legal reform processes <sup>27</sup> .	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome does not relevant to our intervention measure.
10. Legal reform is enacted.	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
11. Access to justice for all (incl. marginalized groups) is improved regarding ...	
<input type="checkbox"/>	... the geographical access (e.g. proximity of justice institutions).
<input type="checkbox"/>	... the access to infrastructure (e.g. barrier-free access of justice institutions and services).
<input type="checkbox"/>	... the access to information (e.g. provision of comprehensible information).
<input type="checkbox"/>	... other, please specify: _____
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
12. Rights-holders effectively claim their rights.	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
13. Civil society organizations advocate more effectively in favor of marginalized groups and hold duty-bearers accountable.	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.

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<sup>27</sup> Mouseover: "Engaging in legal reform processes" refers to the formulation of new or revision of existing laws, legislative frameworks and other legal instruments.

14. Political processes <sup>28</sup> are strengthened in the medium to long term <sup>29</sup> regarding...	
<input type="checkbox"/>	...transparency
<input type="checkbox"/>	...accountability
<input type="checkbox"/>	...participation
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
15. Independent media are strengthened.	
<input type="checkbox"/>	Our intervention measure intended to contribute to this outcome.
<input type="checkbox"/>	This outcome is not relevant to our intervention measure.
16. Other outcome	
<input type="checkbox"/>	Our intervention measure intended to contribute to another outcome, namely: _____

17. At which level did your intervention measure intend to achieve changes? (You can choose multiple answers.)	
<input type="checkbox"/>	At a local level
<input type="checkbox"/>	At a provincial/regional level (within a country)
<input type="checkbox"/>	At a national level
<input type="checkbox"/>	At a regional level (multi-country)
<input type="checkbox"/>	At none of these levels

### Self-assessment of contributions to objectives

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

<sup>28</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>29</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

End of intervention measure: [MM/YY]

Total budget: € [XX]

18. To what extent has your intervention measure been successful in contributing to these outcomes?

Intended outcomes [Filter: only the options selected in the previous section will be displayed]	---	--	-	+	++	+++	No answer
	Not successful					Very successful	
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding adoption of <b>rules and regulations</b> .	<input type="radio"/>						
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding <b>organizational reform</b> within and across existing institution.	<input type="radio"/>						
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding the <b>institutional allocation of resources</b> .	<input type="radio"/>						
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding <b>new institutions / mergers of institutions</b> .	<input type="radio"/>						
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding <b>decentralization</b> .	<input type="radio"/>						
Partner governments of ADC have engaged in <b>administrative reform</b> processes regarding <b>other aspects</b> .	<input type="radio"/>						
Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding the implementation of specific <b>rules and regulations</b> .	<input type="radio"/>						
Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding the <b>organizational reform</b> within and across existing institutions.	<input type="radio"/>						
Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding the <b>institutional allocation of resources</b> .	<input type="radio"/>						
Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding <b>new institutions / mergers of institutions</b> .	<input type="radio"/>						

Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding <b>decentralization</b> .	<input type="radio"/>						
Existing <b>administrative frameworks are implemented</b> by partner governments of ADC regarding <b>other aspects</b> .	<input type="radio"/>						
<b>Administrative processes</b> are strengthened in the medium to long term <sup>30</sup> regarding <b>transparency</b> .	<input type="radio"/>						
<b>Administrative processes</b> are strengthened in the medium to long term <sup>31</sup> regarding <b>accountability</b> .	<input type="radio"/>						
<b>Administrative processes</b> are strengthened in the medium to long term <sup>32</sup> regarding <b>participation</b> .	<input type="radio"/>						
<b>Administrative processes</b> are strengthened in the medium to long term <sup>33</sup> regarding <b>performance-orientation</b> .	<input type="radio"/>						
The <b>functioning</b> of public sector institutions is <b>improved: auditing institutions</b> .	<input type="radio"/>						
The functioning of public sector institutions is <b>improved: human rights institutions</b> .	<input type="radio"/>						
The <b>functioning</b> of public sector institutions is <b>improved: corruption control institutions</b> .	<input type="radio"/>						
The <b>functioning</b> of public sector institutions is <b>improved: criminal and civil justice institutions</b> .	<input type="radio"/>						
The <b>functioning</b> of public sector institutions is <b>improved: public financial management institutions and tax administrations</b> .	<input type="radio"/>						
The <b>functioning</b> of public sector institutions is <b>improved: other institutions</b> .	<input type="radio"/>						

<sup>30</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>31</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>32</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>33</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<b>Duty- bearers fulfill their duties</b> and comply with their obligations as laid down in existing legal frameworks.	<input type="radio"/>						
Partner governments of <b>ADC have engaged in legal reform processes</b> . <sup>34</sup>							
<b>Legal reform is enacted</b> . <sup>35</sup>	<input type="radio"/>						
<b>Access to justice for all (incl. marginalized groups)</b> is improved regarding the geographical access (e.g. proximity of justice institutions).	<input type="radio"/>						
<b>Access to justice for all (incl. marginalized groups)</b> is improved regarding the access to infrastructure (e.g. barrier-free access of justice institutions and services).	<input type="radio"/>						
<b>Access to justice for all (incl. marginalized groups)</b> is improved regarding access to information.	<input type="radio"/>						
<b>Access to justice for all (incl. marginalized groups)</b> is improved regarding other aspects.	<input type="radio"/>						
<b>Rights-holders effectively claim their rights.</b>	<input type="radio"/>						
<b>Civil society organizations advocate more effectively</b> in favor of marginalized groups and hold duty-bearers accountable.	<input type="radio"/>						
<b>Political processes</b> <sup>36</sup> are strengthened in the medium to long term <sup>37</sup> regarding <b>transparency</b> .	<input type="radio"/>						

<sup>34</sup> Mouseover: "Engaging in legal reform processes" refers to the formulation of new or revision of existing laws, legislative frameworks and other legal instruments.

<sup>35</sup> Mouseover: "Legal reform is enacted" refers to the new formulation or revision of existing laws and legislative frameworks.

<sup>36</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>37</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<b>Political processes<sup>38</sup></b> are strengthened in the medium to long term <sup>39</sup> regarding <b>accountability</b> .	<input type="radio"/>						
<b>Political processes<sup>40</sup></b> are strengthened in the medium to long term <sup>41</sup> regarding <b>participation</b> .	<input type="radio"/>						
<b>Independent media are strengthened.</b>	<input type="radio"/>						
<b>Other:</b> [show text]	<input type="radio"/>						

### Means to achieve objectives

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

19. Which outputs <sup>42</sup> did your intervention measure seek to produce? (You can choose multiple answers.)	
<input type="checkbox"/>	New or improved rules and regulations are available.
<input type="checkbox"/>	Competencies and capacities of national or local authorities are strengthened.
<input type="checkbox"/>	Infrastructure of governance actors is improved.
<input type="checkbox"/>	Authorities grant better access to information.

<sup>38</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>39</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>40</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>41</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>42</sup> Mouseover: Outputs are products, capital goods and services which result from a development intervention.

<input type="checkbox"/>	Duty-bearers know their obligations.
<input type="checkbox"/>	Rights-holders know their rights.
<input type="checkbox"/>	Exchange between civil society and public authorities is improved.
<input type="checkbox"/>	Political processes <sup>43</sup> are temporarily strengthened <sup>44</sup> .
<input type="checkbox"/>	Competencies of non-state actors/other actors are strengthened.
<input type="checkbox"/>	Other, please specify: _____

20. You just stated that your intervention sought to strengthen competencies and capacities of national or local authorities. Which national or local authorities did you seek to strengthen?	
<input type="checkbox"/>	Auditing institutions
<input type="checkbox"/>	Human rights institutions
<input type="checkbox"/>	Corruption control institutions
<input type="checkbox"/>	Criminal and civil justice institutions
<input type="checkbox"/>	Civil service
<input type="checkbox"/>	Public financial management institutions and tax administrations
<input type="checkbox"/>	Other, please specify: _____

21. You just stated your intervention sought to improve infrastructure of governance actors. What kind of infrastructure did you seek to improve?	
<input type="checkbox"/>	Physical (e.g. buildings)
<input type="checkbox"/>	Technical (e.g. IT)
<input type="checkbox"/>	Other, please specify: _____

<sup>43</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>44</sup> Mouseover: “Temporarily strengthened” means that the named principles are safeguarded during individual events (e.g. elections) and/or throughout the duration of an intervention. This can contribute to a strengthening of political processes in the medium to long term.

22. You just stated that your intervention sought to strengthen political processes <sup>45</sup> temporarily <sup>46</sup> . What type of political processes did you seek to strengthen?	
<input type="checkbox"/>	Mediation
<input type="checkbox"/>	Elections
<input type="checkbox"/>	Other, please specify: _____

23. You just stated that your intervention sought to strengthen competencies of non-state actors/other actors. Which actors did you seek to strengthen?	
<input type="checkbox"/>	Civil society organizations
<input type="checkbox"/>	Trade unions
<input type="checkbox"/>	Academia
<input type="checkbox"/>	Media
<input type="checkbox"/>	Other, please specify: _____

### Enabling and hindering factors for implementation

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

In the following, we would like to hear from you, which of the factors **facilitated** or **hindered** the implementation of the intervention measure. For factors that were not relevant for your intervention, please select "not relevant" (e.g. If there was no Austrian embassy in the country of intervention, the statement "The Austrian embassy provides political support when needed" should be assessed as "not relevant").

<sup>45</sup> Mouseover: Political processes refer to processes such as elections and policy-making processes that ideally involve the interaction between political actors and social groups.

<sup>46</sup> Mouseover: "Temporarily strengthened" means that the named principles are safeguarded during individual events (e.g. elections) and/or throughout the duration of an intervention. This can contribute to a strengthening of political processes in the medium to long term.

24. To what extent did the following factors enable the successful implementation of your intervention measure?	---	--	-	+	++	+++	Not relevant	No Answer
	Not at all					To a very high extent		
The intervention's target group is investing resources (e.g. staff, money) to contribute to meeting objectives.	<input type="radio"/>							
ADC rules and regulations for implementation leave flexibility to use windows of opportunities in the intervention area.	<input type="radio"/>							
The Austrian Embassy provides political support when needed.	<input type="radio"/>							
There is open dialog with the partner government that provides opportunities to address critical issues which affect the achievement of objectives.	<input type="radio"/>							
There is open dialog with the development partners / donors that provides opportunities for coordination to assist in the achievement of objectives	<input type="radio"/>							
A champion within state institutions is present who helps to promote intervention objectives.	<input type="radio"/>							
There is political will within the government counterpart to work towards intervention objectives.	<input type="radio"/>							
Other development partners are engaged in the same sector which can help coalition building to promote issues within the country.	<input type="radio"/>							
The intervention pays strong attention to creating ownership of Good Governance principles (e.g. accountability, transparency, participation) within the target group of its activities.	<input type="radio"/>							
The political climate in the country is favorable to working towards the intervention's objectives.	<input type="radio"/>							
ADC engages in long-term partnerships with implementing organizations through commissioning multiple subsequent interventions.	<input type="radio"/>							
State institutions / authorities are open towards ideas from international	<input type="radio"/>							

stakeholders with regards to policy and reform processes.								
<b>Other:</b> _____ (Please specify)	<input type="radio"/>							

25. To what extent did the following factors threaten a successful implementation of your intervention measure?	---	--	-	+	++	+++	Not relevant	No answer
	Not at all					To a very high extent		
The intervention's target group lacks staff resources to assist in achieving objectives.	<input type="radio"/>							
Reshuffling of institutions and/or change in institutions as counterparts of the intervention slow down progress in achieving objectives.	<input type="radio"/>							
A champion within state institutions / authorities is lacking who promotes intervention objectives.	<input type="radio"/>							
There is a lack of political will within state institutions / authorities to work towards intervention objectives.	<input type="radio"/>							
There is a lack of open dialog with the partner government.	<input type="radio"/>							
There is a lack of open dialog and coordination with other development partners.	<input type="radio"/>							
High staff turnover within the intervention's target group slows down progress towards achieving objectives.	<input type="radio"/>							
Political events, such as elections, temporarily destabilize the environment in which the intervention operates.	<input type="radio"/>							
The political climate in the country is unfavorable to working towards the intervention's objectives.	<input type="radio"/>							
The space for civil society engagement is shrinking due to (fear of) restrictions by authorities.	<input type="radio"/>							
Corruption is creating challenges for achieving intervention objectives.	<input type="radio"/>							
<b>Other:</b> _____ (Please specify)	<input type="radio"/>							

### Impact hypotheses<sup>47</sup>

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

26. Based upon the outputs and outcomes you selected for your intervention measure, we would like to present some hypotheses to you about how outputs and impacts are linked. Please assess the extent to which you agree with the following statements in the context of your intervention measure.

Please **do not assess the general plausibility** of these statements, but only the extent to which these statements are **applicable to your intervention measure**.

Impact hypotheses related to the **engagement of partner governments of ADC in administrative reform processes**:

In our intervention measure ...	---	--	-	+	++	+++	
<p>[Filter: only selected impact hypotheses will be displayed:</p> <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
<p>... <b>partner governments of ADC have engaged in administrative reform processes</b> (outcome), because <b>new or improved regulations</b> were made available (output).</p>	<input type="radio"/>						
<p>... <b>partner governments of ADC have engaged in administrative reform processes</b> (outcome), because <b>competencies and capacities of local authorities</b> were <b>strengthened</b> (output).</p>	<input type="radio"/>						

Impact hypotheses related to the **implementation of existing administrative frameworks by partner governments**:

In our intervention measure ...	---	--	-	+	++	+++	
<p>[Filter: only selected impact hypotheses will be displayed:</p> <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention</li> </ul>						Fully agree	Not relevant

<sup>47</sup> This section of the questionnaire will be finalized once the ToC has been finalized and impact hypotheses have been validated with ADC stakeholders. This is only an exemplary excerpt to show the set-up of the survey.

measure according to answer in the previous sections]	Do not agree at all						
... existing administrative frameworks have been implemented by partner governments (outcome), because <b>new or improved regulations</b> were made available (output).	<input type="radio"/>						
... existing administrative frameworks have been implemented by partner governments (outcome), because <b>competencies and capacities of local authorities</b> were strengthened (output).	<input type="radio"/>						

Impact hypotheses related to the **medium to long-term strengthening of administrative processes**:

In our intervention measure ... [Filter: only selected impact hypotheses will be displayed: • Only those put forward in the description of the ToC in the Inception Report • Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]	---	--	-	+	++	+++	Not relevant
	Do not agree at all					Fully agree	
... <b>administrative processes</b> have been strengthened in the medium to long term <sup>48</sup> (outcome), because <b>new or improved regulations</b> were made available (output).	<input type="radio"/>						
... <b>administrative processes</b> have been strengthened in the medium to long term <sup>49</sup> (outcome), because <b>competencies and capacities of local authorities</b> were strengthened (output).	<input type="radio"/>						
... <b>administrative processes</b> have been strengthened in the medium to long term <sup>50</sup> (outcome), because <b>authorities granted better access to information</b> (output).	<input type="radio"/>						

<sup>48</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>49</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>50</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

Impact hypotheses related to the **functioning of public sector institutions:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
<b>... the functioning of public sector institutions has been improved</b> (outcome), because <b>new or improved rules and regulations</b> were made available (output).	<input type="radio"/>						
<b>... the functioning of public sector institutions has been improved</b> (outcome), because <b>competencies and capacities of local authorities</b> were <b>strengthened</b> (output).	<input type="radio"/>						

Impact hypotheses related to the **duty-bearers and their fulfillment of duties:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
<b>... duty bearers have fulfilled their duties</b> and have complied with their obligations as laid down in existing legal frameworks (outcome), because <b>duty-bearers knew their obligations</b> (output).	<input type="radio"/>						

Impact hypotheses related to **legal reform processes:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
<b>... partner governments have engaged in legal reform processes</b> (outcome), because <b>new or improved rules and regulations were available</b> (output).	<input type="radio"/>						

... <b>partner governments have engaged in legal reform processes</b> (outcome), because <b>competencies and capacities of local authorities</b> were <b>strengthened</b> (output).	<input type="radio"/>						
---	-----------------------	-----------------------	-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Impact hypotheses related to **enacting of legal reform**:

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
... <b>legal reform has been enacted</b> (outcome), because <b>new or improved rules and regulations were available</b> (output).	<input type="radio"/>						
... <b>legal reform has been enacted</b> (outcome), because <b>competencies and capacities of local authorities</b> were <b>strengthened</b> (output).	<input type="radio"/>						

Impact hypotheses related to **access to justice for all (incl. marginalized groups)**:

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
... <b>access to justice for all (incl. marginalized groups) has been improved</b> (outcome), because <b>competencies and capacities of national or local authorities were strengthened</b> (output).	<input type="radio"/>						
... <b>access to justice for all (incl. marginalized groups) has been improved</b> (outcome), because <b>infrastructure of governance actors was improved</b> (output).	<input type="radio"/>						
... <b>access to justice for all (incl. marginalized groups) has been improved</b> (outcome), because <b>authorities granted better access to information</b> (output).	<input type="radio"/>						
... <b>access to justice for all (incl. marginalized groups) has been improved</b> (outcome), because <b>rights-holders knew their rights</b> (output).	<input type="radio"/>						

Impact hypotheses related to **rights-holders effectively claiming their rights:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>							Not relevant
... <b>rights-holders have effectively claimed their rights</b> (outcome), because <b>infrastructure of governance actors was improved</b> (output).	<input type="radio"/>						
... <b>rights-holders have effectively claimed their rights</b> (outcome), because <b>rights-holders knew their rights</b> (output).	<input type="radio"/>						

Impact hypotheses related to **civil society advocacy:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>							Not relevant
... <b>civil society organizations have advocated more effectively in favor of marginalized groups and held duty-bearers accountable</b> (outcome), because <b>exchange between civil society and public authorities was improved</b> (output).	<input type="radio"/>						
... <b>civil society organizations have advocated more effectively in favor of marginalized groups and held duty-bearers accountable</b> (outcome), because <b>competencies of non-state actors/other actors were strengthened</b> (output).	<input type="radio"/>						

Impact hypotheses related to **a medium to long-term strengthening of political processes:**

In our intervention measure ...	---	--	-	+	++	+++	
[Filter: only selected impact hypotheses will be displayed: <ul style="list-style-type: none"> <li>Only those put forward in the description of the ToC in the Inception Report</li> <li>Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>							Not relevant
... <b>a medium to long-term strengthening of political processes</b> (outcome), because <b>political processes were strengthened</b> (output).	<input type="radio"/>						

... <b>political processes have been strengthened in the medium to long term</b> <sup>51</sup> (outcome), because <b>authorities granted better access to information</b> (output).	<input type="radio"/>						
... <b>political processes have been strengthened in the medium to long term</b> <sup>52</sup> (outcome), because <b>political processes were temporarily strengthened</b> <sup>53</sup> (output).	<input type="radio"/>						

Impact hypotheses related to **independent media**:

In our intervention measure ...	---	--	-	+	++	+++	
<p>[Filter: only selected impact hypotheses will be displayed:</p> <ul style="list-style-type: none"> <li>• Only those put forward in the description of the ToC in the Inception Report</li> <li>• Out of those, only those applicable in the context of the given intervention measure according to answer in the previous sections]</li> </ul>	Do not agree at all					Fully agree	Not relevant
... <b>independent media have been strengthened</b> (outcome), because <b>competencies of non-state actors/other actors were strengthened</b> (output).	<input type="radio"/>						

<sup>51</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>52</sup> Mouseover: Strengthened in the medium to long term means that the named principles are not only adhered to in the short term (e.g. for events or the duration of an intervention) but are integrated into the structures and culture of partner institutions.

<sup>53</sup> Mouseover: "Temporarily strengthened" means that the named principles are safeguarded during individual events (e.g. elections) and/or throughout the duration of an intervention. This can contribute to a strengthening of political processes in the medium to long term.

### Relevance and alignment of ADA’s portfolio

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

In this section, we would like to gain a better understanding of the extent to which ADC’s interventions in the field of Good Governance ensure their relevance for the target group, partner strategies and further strategic frameworks in design and implementation.

27. When the intervention measure was designed, was a needs assessment <sup>54</sup> conducted?	
<input type="radio"/>	Yes, at the level of the <b>immediate recipients of the outputs</b> <sup>55</sup>
<input type="radio"/>	Yes, at the level of the <b>ultimate target group</b> <sup>56</sup>
<input type="radio"/>	Yes, at both levels, the level of the immediate recipients of the outputs and of the ultimate target group
<input type="radio"/>	No
<input type="radio"/>	I don’t know

28. To what extent are/were the objectives of your intervention measure in line with national development strategies <sup>57</sup> of the country of implementation?	
<i>The objectives of our intervention measure are/were...</i>	
<input type="radio"/>	Fully in line with national development strategies.
<input type="radio"/>	Partly in line with national development strategies.
<input type="radio"/>	Not at all in line with national development strategies.
<input type="radio"/>	There was no national development strategy addressing Good Governance when the intervention measure was designed.
<input type="radio"/>	I am not aware whether a national development strategy addressing Good Governance exists.

<sup>54</sup> Mouse-over: A needs assessment refers to data collection at the level of the beneficiaries of the intervention to better understand their needs.

<sup>55</sup> Mouse-over: Outputs are products, capital goods and services which result from the intervention.

<sup>56</sup> Mouse-over: The ultimate target group refers to the population benefitting from the outcomes and impacts of the intervention.

<sup>57</sup> Mouse-over: National development strategies refer to official strategies formulated by the government / ministries of the country in which the intervention is/was being implemented.

29. [Filter question, only displayed if answer "fully in line..." or "partly in line..." selected in previous question] You stated that your intervention measure was fully / partly in line with the national development strategy. Please specify in 1 – 2 sentences.

Text box

30. To what extent are/were the objectives of your intervention measure in line with regional development strategies<sup>58</sup> of the region where the intervention measure is/was implemented?

*The objectives of our intervention measure are/were...*

- |                       |   |
|-----------------------|---|
| <input type="radio"/> | Fully in line with regional development strategies.   |
| <input type="radio"/> | Partly in line with regional development strategies.  |
| <input type="radio"/> | Not at all in line with regional development strategies.  |
| <input type="radio"/> | There was no regional development strategy addressing Good Governance when the intervention measure was designed. |
| <input type="radio"/> | I am not aware whether a regional development strategy addressing Good Governance exists.                         |

31. [Filter question, only displayed if answer "fully in line..." or "partly in line..." selected in previous question] You stated that your intervention measure was fully / partly in line with the regional development strategy. Please specify in 1 – 2 sentences.

Text box

Next, we would like to know about the extent to which your intervention measure is/was aligned to selected international frameworks related to Good Governance.

32. Which of the following international frameworks relevant to the field of Good Governance is/was your intervention measure aligned to? (You can choose multiple answers.)

- |                          |   |
|--------------------------|---|
| <input type="checkbox"/> | <b>SDG target 16.3:</b> Promote the rule of law at the national and international levels and ensure equal access to justice for all                                 |
| <input type="checkbox"/> | <b>SDG target 16.5:</b> Substantially reduce corruption and bribery in all their forms  |
| <input type="checkbox"/> | <b>SDG target 16.6:</b> Develop effective, accountable and transparent institutions at all levels   |
| <input type="checkbox"/> | <b>SDG target 16.7:</b> Ensure responsive, inclusive, participatory and representative decision-making at all levels  |
| <input type="checkbox"/> | <b>SDG target 16.8:</b> Broaden and strengthen the participation of developing countries in the institutions of global governance                                   |
| <input type="checkbox"/> | <b>SDG target 16.10:</b> Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements |

<sup>58</sup> Mouse-over: Development strategies formulated by regional organizations in the region in which the project is being implemented

<input type="checkbox"/>	<b>SDG target 16.A:</b> Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime
<input type="checkbox"/>	<b>SDG target 16.B:</b> Promote and enforce non-discriminatory laws and policies for sustainable development
<input type="checkbox"/>	The European Commission's handbook on promoting Good Governance in EC Development and Cooperation (2004)
<input type="checkbox"/>	Other, please specify: _____
<input type="checkbox"/>	The intervention measure is/was not aligned with any international frameworks in the field of Good Governance.

### Relevance and usefulness of ADC's strategy documents and guidelines

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

In this section, we would like to find out the extent to which intervention measure implementers are aware of key strategies and guidelines of ADC and to what extent they find them useful for their work.

33. Which of the following strategies and guidelines of Austrian Development Cooperation are you familiar with?	
<input type="checkbox"/>	ADC's Policy Document on Good Governance (2006)
<input type="checkbox"/>	The ADA Handbook on Good Governance (2011, available in German only)
<input type="checkbox"/>	The ADC regional strategy relevant for our intervention measure
<input type="checkbox"/>	The ADC country strategy relevant for our intervention measure
<input type="checkbox"/>	I am not familiar with any of these strategy documents.

34. For the strategies / guidelines of ADC that you are familiar with, please rate their usefulness for you as a project implementer.

	---	--	-	+	++	+++	No answer
<b>Filter: only options selected in previous question will be displayed here</b>	Not useful at all					Very useful	

| ADC's Policy Document on Good Governance (2006)                      | <input type="radio"/> |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| The ADA Handbook on Good Governance (2011, available in German only) | <input type="radio"/> |
| The ADC regional strategy  | <input type="radio"/> |
| The ADC country strategy   | <input type="radio"/> |

### Coherence, complementarity and synergies

Name of intervention measure: [XX]

Intervention number:

Filter (only if consolidated measure) Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

In this section, we would like to learn about coherence, complementarity and synergies between different intervention measures within ADA's Good Governance portfolio.

35. To what extent are you familiar with (the objectives of) other ADC-financed intervention measures that are implemented by other parties?	
<input type="radio"/>	I am not aware of any other ADC-financed intervention measures.
<input type="radio"/>	I am aware of all other ADC-financed intervention measures running at the same time as our intervention measure.
<input type="radio"/>	I am aware of all other ADC-financed intervention measures directly or indirectly related to Good Governance running at the same time as our intervention measure.
<input type="radio"/>	I am aware of some other ADC-financed intervention measures running at the same time as our intervention measure, but not necessarily all that are directly or indirectly related to Good Governance.

36. To what extent do you cooperate with other development partners (not necessarily financed by ADC) regarding your engagement in the field of Good Governance ...

	Never	Once a year	Twice a year	Every 3 months	Monthly	Weekly	No answer
... to exchange information?	<input type="radio"/>						
...to coordinate activities?	<input type="radio"/>						
...to plan joint activities?	<input type="radio"/>						

37. Please assess the following statements regarding the added value of coordination between your intervention measure and other development partners (not necessarily financed by ADC).

	---	--	-	+	++	+++	Not relevant
Coordination between our intervention measure and other development partners...	Do not agree at all					Fully agree	

| ... contributed to <b>avoid overlap or duplication</b> of Good Governance interventions  | <input type="radio"/> |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| ... contributed to achieve <b>synergies in the implementation of activities</b> of Good Governance interventions                                   | <input type="radio"/> |
| ...contributed to <b>achieve synergies in light of achieving intended outcomes</b> (short or medium-term effects) of Good Governance interventions | <input type="radio"/> |

[Filter: question will only be displayed if respondents stated that they know other ADC intervention measures in question 1 of previous section]. Please assess the following statements regarding synergies between your intervention measure and **intervention measures financed by ADC**.

For this assessment, please distinguish between two types of intervention measures, namely:

- **Good Governance as a core area:** intervention measures whose primary objective is strengthening Good Governance (GG as an intervention sector in its own right).
- **Sector-specific Good Governance:** intervention measures in specific sectors (e.g. rural development, water, energy...) in which Good Governance and its underlying principles such as accountability, transparency and anti-corruption are a means to reinforce sector-specific objectives and vice versa.

	---	--	-	+	++	+++	
38. I see synergies, whereby...	Do not agree at all					Fully agree	Not relevant
... other ADC-financed intervention measures with GG as core area facilitated the achievement of outcomes in our intervention measure.	<input type="radio"/>						
... sector-specific ADC-financed intervention measures facilitated the achievement of outcomes in our intervention measure.	<input type="radio"/>						
... our intervention measure facilitated the achievement of outcomes of other ADC-financed intervention measures with GG as core area.	<input type="radio"/>						
... our intervention measure facilitated the achievement of outcomes of sector-specific ADC-financed intervention measures.	<input type="radio"/>						

**Thank you very much for your participation!**

**You just finished the survey regarding the following intervention measure:**

Name of intervention measure: [XX]

Intervention number:

**Filter (only if consolidated measure)** Name of included projects (if the intervention measure includes multiple projects): [XX]

Country: [XX]

Beginning of intervention measure: [MM/YY]

End of intervention measure: [MM/YY]

Total budget: € [XX]

Your answers were successfully saved. Please finish the survey by clicking on "Finish".

In case you would like to print or save your answers, please click on the 'print' icon.

In case you would like to share any other feedback or information with us, please contact us via email: [survey@syspons.com](mailto:survey@syspons.com) or [birgit.alber@syspons.com](mailto:birgit.alber@syspons.com).

## 9 Terms of Reference for this evaluation

The following chapter includes the ToR for this evaluation. Within the evaluation's inception phase, some changes to the ToR have been agreed:

- **Evaluation questions** as refined in the inception phase (see chapter 8).
- **Exclusion** of respective topics (e.g. security management, civilian peace-keeping) not only from the investigation of efficiency as well as effectiveness / impact but also from the other evaluation criteria.
- **Adaptations to the time plan.**

## 9.1 Original ToR

ADA Contract Number: 2817-00/2018

# TENDER DOCUMENT

For the Direct Award with prior publication

for the  
“Strategic Evaluation of the ADC Engagement on Good Governance  
(2007-2017)”

## PART I – TERMS OF REFERENCE

### 1 Background and basic information

#### 1.1. Austrian Development Cooperation and Good Governance

The Austrian Development Agency (ADA, established in 2004) is the Operational Unit of the Austrian Development Cooperation (ADC). ADA is in charge of implementing all bilateral programmes and projects in ADC's partner countries and administers the budget earmarked for this.

Austrian Development Cooperation (ADC) engagement and support to promoting Good Governance (GG) predates the establishment of ADA. The Austrian Development Cooperation Act (DCA, of 2003) refers to “the maintenance of peace and human security, particularly through the promotion of democracy, rule of law, human rights and good governance” as one of five objectives pursued by the ADC. The 2016-2018 ADC 3-year Plan includes a reference to “Governance” as “legal certainty, political participation, the equitable distribution of wealth and empowerment at local level”. The recently adopted ADC 3-year Plan 2019-2021 notes that Good Governance is crucial for the sustainable realization of human rights.

ADC's Policy Document on Good Governance (2006) defines Good Governance in the context of a political and institutional environment that upholds human rights, democratic principles and the rule of law as ‘the transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development’. It also emphasizes that Good Governance is of relevance to all ADC activities and anchored in ADC activities both as a common principle in the various work areas (sector-specific GG) and as an intervention sector in its own right relating to specific programs and projects which aim at promoting GG as core area of work. To underline the universal character of GG and at the same time allow a targeted approach and facilitate management of GG activities, the policy document promoted a focus on several sectors and principles in the context of GG: (sectors) human rights; democratization; peace-building; the rule of law and justice; civil society; and administrative reform as sectors and (principles) participation, ownership, empowerment; transparency and accountability; mainstreaming of conflict prevention; and anti-corruption

measures. ADC's Policy Document on Good Governance saw GG also as essential for the achievement of the then governing international framework of the United Nations Millennium Development Goals (MDGs).

In terms of implementation, the ADC policy document on GG called for country based governance analysis to decide on 'the right mixture of instruments and ways of achieving objectives' and a process based on pragmatism and dialogue. It envisaged 'detailed strategy documents, the provision of instruments and methods for programming and in the project cycle, monitoring and evaluation and greater coordination and cooperation between thematic experts and country desks'. The declared aim was to make a governance perspective integral components of all ADC programming and anchored in the project cycle. Until 2017 Good Governance projects were also an indicator for one of the Impact Objectives of the Austrian Government, i.e. Impact Objective 4, the sustainable reduction of poverty, consolidation of peace and human security as well as the protection of the environment in the partner countries within the framework of bilateral and multilateral development cooperation. The percentage of ADC/ADA projects corresponding to OECD Participatory Development/Good Governance (PD/GG) Code Marker 1 or 2 served as measurement in this context, with 45% the target.

While Good Governance has been part of ADA's work since its establishment, the nature of ADA's GG engagement has evolved and changed over time. In 2011, ADA published its Handbook on Good Governance (2011), which aimed at providing practical guidance for the operationalization of GG and the strategic implementation of the ADC policy document on GG.

This strategic evaluation is the first evaluation of ADC's GG engagement. The development of a generic Theory of Change for the GG engagement, which is not yet in place, will be part of this assignment.

## **1.2. Brief overview of ADA's Good Governance portfolio**

As noted above, for ADC, Good Governance is understood as being both a core area of engagement and as sector specific GG. Since its establishment, ADA implemented more than 1600 projects with GG as core area and a similar number of projects with Good Governance as sector-specific. An analysis of data from ADA's Good Governance portfolio between 2004 and 2016 also shows that, out of total net disbursements of EUR 1.047 billion, EUR 470,35 million were spent on this portfolio over the 13-year period, whereby EUR 281.38 million (60 %) were spent on sector specific GG and EUR 188.97 million (40%) as GG as a core area of engagement. Uganda, one of the current ADC Focal Countries, has been the single biggest recipient over this time in relation to both core area GG and sector specific GG support.

Analyzing the composition of ADA's Good Governance Portfolio from 2004 until 2016, 84% of its net disbursements were spent on the following seven core areas: legal and judicial development (25%), human rights (13%), public sector policy and administrative management (11%), general budget support (10%), women's equality organizations and institutions (9%), democratic participation and civil society (9%) and civilian peace-keeping, conflict prevention/resolution (8%).

Looking at the composition of the sector specific GG portfolio over the same period, it shows that six sector specific GG themes took up 82 % of the portfolio: rural development, including rural land policy and management (30%), water sector policy and administration management (20%),

social/welfare services (11%), tourism policy and administration management (7%), business services (7%) and energy policy and administrative management.

## **2 Terms of Reference (ToR) for the assignment**

### **2.1. Purpose**

The purpose of this strategic evaluation of ADC's engagement on Good Governance is threefold:

- (1) To sharpen and focus ADC's strategic and operational approach to GG and its alignment with the 2030 Agenda for Sustainable Development<sup>1</sup>;
- (2) to identify enabling and hindering factors for ADC's GG engagement and provide evidence for institutional learning at the strategic level;
- (3) to inform a review/update of existing ADC GG policy documents and tools, in particular, the Policy Document on GG<sup>2</sup>, ADA's Handbook on GG and its Social Standards Assessment (SSA)<sup>3</sup>;

The evaluation will be forward looking and formative, learning and improvement-oriented. It will also inform decision-making with regards to the future positioning of the GG portfolio in strategic and operational ADC engagement.

The primary users of the evaluation will be ADA management and senior program staff at ADA HQ and in the field as well as senior management and Good Governance stakeholders at the Austrian Federal Ministry for Europe, Integration and Foreign Affairs (Bundesministerium für Europa, Integration und Äußeres, BMEIA).

The evaluation will be commissioned by ADA for finalisation during 2019.

### **2.2. Objectives**

The main objectives of the evaluation are:

1. To develop a joint understanding and terminology around 'Good Governance';
2. to develop a Theory of Change (ToC) for ADC's operational engagement on GG;
3. To assess the relevance, effectiveness/impact and efficiency of the different ADC's strategic and operational approaches pursued to promote GG;
4. To identify lessons learned and good practice from ADC's experience on GG to date.

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<sup>1</sup> See <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

<sup>2</sup> The original version was published as „Leitlinien der Österreichischen Entwicklungszusammenarbeit“ in 2006 and reprinted in 2011.

<sup>3</sup> The Social Standard Assessment (SSA) is part of ADA's Environmental, Gender & Social Impact Management System/EGSIM (formerly Environmental and Social Impact Management System).

This strategic evaluation is based on the OECD-DAC framework and standards.<sup>4</sup> It will not focus on questions of sustainability, but on assessing relevance, efficiency and effectiveness/impact.

### **2.3. Focus and Scope**

The period covered by the evaluation spans from 2007 - the year after ADC's Policy Document on Good Governance was adopted - to 2017, the last year for which yearly data are available. The evaluation will cover completed and ongoing, but not planned activities on Good Governance. For the case studies, current ADA focal countries will be selected to ensure best possible circumstances for data collection, including accessibility of key informants at national level and, if needed, also logistical support.

In its assessment of efficiency and effectiveness/impact, the evaluation will focus on Good Governance as a core area of intervention (see footnote 9) and within this on the core of Good Governance, excluding certain sub-areas, notably as security management and reform, civilian peace building, conflict prevention and resolution, participation in international peacekeeping operations, reintegration and SALW control, child soldiers and general budget support-related aid.

The evaluation's thematic and country focus should be guided by available evaluative evidence on the performance of Good Governance.

In parallel to the strategic evaluation of ADC's Good Governance engagement also a meta-evaluation of ADA's programme/project evaluations and an evaluation of the Environmental and Social Impact Management (ESIM) at ADA are taking place. Any relevant findings coming out from these two evaluations and from other ADA strategic or project/program evaluations relevant to GG will inform this GG evaluation.

This evaluation will focus on the assessment of the criteria relevance, effectiveness/impact and efficiency. The evaluation will help assess in what circumstances ADA's work on good governance has been most effective and identify the causal mechanisms for successful engagement and failure.

The evaluation will be limited to GG programs/projects financed through bilateral Official Development Assistance (ODA) flows implemented by ADA.

### **2.4. Evaluation Questions**

The key evaluation questions to be covered by the evaluation are:

#### **Relevance**

1. How has ADC's evolving engagement on GG affected the relevance of its work related to GG? What have been the key factors for decisions on ADC's GG engagement/non-engagement in a country/region?

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<sup>4</sup> See OECD, DAC Norms and Standards for Evaluating Development cooperation, available at <http://www.oecd.org/development/evaluation/dcdndep/41612905.pdf>. OECD (2010): Quality Standards for Development Evaluation. DAC Guidelines and Reference Series (currently being revised), available at <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>. OECD, DAC Quality Standards for Development Evaluation, available at: <http://www.oecd.org/development/evaluation/dcdndep/44798177.pdf>

2. How well are ADC's legal framework, policy and strategic documents and related tools aligned in terms of terminology, approach and focus? How relevant is ADA's engagement on GG in the light of these strategies and policies?
3. How aligned was ADC's engagement on GG with the regional and international development framework, including the Agenda 2030 for Sustainable Development? How should it be adapted to be better aligned?
4. How relevant was ADC's engagement to the priorities/policies of the partner country? How relevant was it in terms of helping fulfill the needs and rights of key stakeholders (partners/beneficiaries)?

### **Effectiveness/Impact**

5. How effective has ADC's engagement on Good Governance been? What were the intended and unintended consequences of ADC's engagement?
6. Do the different approaches in implementing GG – core area or sector specific – show differences in achieving Good Governance outcomes, and if so, how can these be explained?
7. What have the key enabling and hindering factors for ADC's engagement on GG been?
8. What has been the added value and comparative advantage of ADC's engagement on GG?

### **Efficiency**

9. How efficiently is the GG portfolio being implemented at country level?

### **Coherence, Complementarity and Coordination (CCC)**

10. How have coherence, complementarity and coordination of ADC's engagement on GG – including within the framework of the Whole of Government Approach (WGA) - affected efficiency and effectiveness/impact of implementation at country and local level?

## **2.5. Approach and Methods**

The evaluation will use a theory-based approach (TBA)<sup>5</sup>, through which the contribution of ADC's work on GG can be assessed. The starting point for this is the creation of a Theory

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<sup>5</sup> Weiss, C. H. (1997). Theory-based evaluation: Past, present and future. *New Directions for Evaluation*, 76, 41-55. Funnel, Sue C., Rogers, Patricia J. (2011), *Purposeful Program Theory: Effective Use of Theories of Change and Logic Models*. See also Mayne, John (2015), *Useful Theory of Change Models*, in: *Canadian Journal of Program Evaluation* 30(2), 119-142 and Aspen Institute (ed.) *The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development*, The Aspen Institute Roundtable on Community Change available at [http://www.entwicklung.at/fileadmin/user\\_upload/Dokumente/Evaluierung/Theory\\_of\\_Change/Aspen\\_Institute\\_Theory\\_of\\_Change\\_Guide.pdf](http://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Theory_of_Change/Aspen_Institute_Theory_of_Change_Guide.pdf)

of Change (ToC) incl. assumptions, which will subsequently be analysed and tested. A ToC will be developed in a participatory manner by discussing it both with the Reference Group, the peer reviewers and relevant ADA staff, and it will be adapted along the evaluation process. The ToC will identify pathways for change that will help future GG conceptualization at the strategic and programming/project cycle level. It will also help draw conclusions on the relevance, effectiveness and efficiency of specific interventions in the various contexts in which ADC engagement on GG focuses.

The evaluation will employ a Mixed-Methods approach (MM)<sup>6</sup> to data collection and data analysis, including both quantitative and qualitative methods. A Mixed-Methods design will be used to draw from the strengths of both qualitative and quantitative methods and to improve the internal validity of results through data and method triangulation<sup>7</sup>.

As such, the evaluation will draw on a range of data sources and data collection methods to ensure the reliability of results, promote impartiality, reduce bias, and ensure that the findings are based on the most comprehensive and relevant information possible. This includes:

- **Portfolio review** (based on preparatory work and supported by ADA Evaluation Unit, EVAL): The portfolio analysis will include the analysis of quantitative and qualitative data and will help understand ADC's engagement on GG over time and its alignment with country/regional strategy documents.
  - **Desk/literature review:** The desk/literature review can assist in answering questions around relevance, effectiveness/impact and efficiency. The desk/literature review will include a review of relevant literature on the concept of GG, key international/national strategy documents, ADC policy document on GG and ADA's handbook on GG, a sample of project related documentation. It will also include a review of available evaluative evidence both ADA internal and external, related to GG engagement.
  - **Key informant/expert interviews:** Interviews with experts can contribute to assessing relevance, effectiveness/impact and efficiency. Key informants will include BMEIA, ADA senior and programme managers at Headquarters and Coordination Office (CO) as well as ADA staff working/specialized on Good Governance, Austrian civil society and other implementing partner organizations as well as key international organizations working on GG.
  - **Survey:** The survey contributes to assessing relevance, effectiveness/impact and to some extent also efficiency. Based on a standardized online questionnaire, the survey can be an important component in assessing the effectiveness in the eyes of the project implementers. Thus, the survey is expected to mainly reach out to ADC implementing partners and possibly partner governments.
  - **Case studies:** Case studies can contribute to assessing the relevance, effectiveness/impact and efficiency of interventions supported by the ADC on GG.

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<sup>6</sup> Bamberger, Michael/Rao, Vijayendra, Woolcock, Michael (2010), Using Mixed Methods in Monitoring and Evaluation, Policy Research Working Paper, The World Bank Development Research Group, Poverty and Inequality Team.

<sup>7</sup> See, for example, Flick, U. (2004): Triangulation. Eine Einführung: Springer.

Two case studies – in two different ADC partner countries - are planned for this evaluation. The case studies are expected to include qualitative interviews and focus group discussions with beneficiaries and a literature review, including evaluative evidence, if available. The internal validity of the case studies is of fundamental importance. Amongst others, congruence analysis, process tracing, contribution analysis and realist analysis should be considered in identifying an adequate approach that would to establish causality and guarantee internal validity.

The detailed focus of and selection of criteria for the case studies will be developed in the inception phase. Elements to be considered will include the local/national context in which the ADC intervention took place, the focus of ADC's intervention (which institution/s / core area of GG), the nature of the ADC intervention (core area / cross-cutting; mid-term / long-term; the nature and number of partnerships).

Methodological rigor will be weighted significantly in the assessment of proposals. Bidders are therefore invited to question the methodology presented in these ToR and improve on it, or propose an approach that is deemed more appropriate.

The evaluation will include field visits (to Vienna and the case study countries). Face-to-face interaction with evaluation stakeholders will happen at the kick-off meeting (and the following ToC workshop), the meeting for the presentation of the inception report, during the field travel and at the meeting to present the draft report.

## **2.6. Evaluation Process**

### **2.6.1. Kick-off and Inception Phase (end November 2018-January 2019)**

During the inception phase, two visits to Vienna are planned, one for the kick-off meeting and one for the presentation of the inception report and ToC Workshop.

The first phase comprises the following actions/deliverables by the evaluation team:

- a. A study/desk review of documents provided by the Austrian Development Agency (ADA), including the portfolio analysis prepared by the ADA Evaluation Unit (2004-2016).
- b. Draft inception report (10-15 pages) that must contain at least the following points:
  - Presentation of hypothesis/assumptions on the main evaluation questions;
  - Detailed presentation of the methods to be applied during data collection: methodology, criteria for selection of case studies, key information to be obtained during the interviews, interview partners to be met, participants of the consultative workshop, approximate number of interviewees, indicators for verification/falsification of preliminary assumptions;
  - Proposed site visits (two countries) to be decided in the inception phase;
  - Theory of Change (ToC);

- Evaluation Matrix (showing how each question will be answered through the use of indicators, data collection tools etc.).

The draft inception report must be provided to the ADA Evaluation Unit which will share it with the Evaluation Reference Group (ERG) for comments.

- c. Incorporation of the written comments into the draft inception report and submission of the final inception report and completed feedback matrix.

### **2.6.2. Data Collection and Interview Phase (February – mid May 2019)**

The second phase starts upon written approval by ADA Evaluation Unit (EVAL) of the inception report (within one week after receipt of the evaluation team's final version). The main components of the second phase are:

- a. Data collection through interviews and visits of programme sites (in two countries). The interviews and site visits will be conducted in line with the plans presented in the inception report. To guarantee their independence, it is important that the evaluation team conducts and is seen to conduct the field visits, including related logistics, in an independent manner;
- b. Survey data;
- c. Brief on case studies.

### **2.6.3. Data Analysis and Submission of Report (End May – September 2019)**

- a. Data analysis und preparation of triangulation matrix.
- b. Submission of the draft report to ADA Evaluation Unit, which will share it for feedback with the Peer Reviewers (at least six weeks before the agreed date of presentation of the final report).
- c. Incorporation of the feedback by the evaluation team and submission of the final draft report to ADA Evaluation Unit, which will share it with the Evaluation Reference Group (ERG) for feedback.
- d. Incorporation of ERG feedback by the evaluation team and submission of a final draft report and completed feedback matrix to ADA Evaluation Unit (two weeks after having received the feedback).
- e. Presentation (power point) by the evaluation team leader of the final draft report to the ERG in Vienna.
- f. Incorporation of the written comments by the evaluation team and submission of the final version of the report with completed feedback matrix to ADA Evaluation Unit for coherence screening.

The evaluation team will build up its work on the relevant standards for evaluations of the OECD DAC <sup>8</sup> and those of the Austrian Development Cooperation, <http://www.entwicklung.at/activities/evaluation/en/> where applicable. All work needs to be documented by using transparent criteria.

## 2.7. Timetable

The Evaluation should start in November 2018. The inception report is to be finalized by January 2019 at the latest. The final report is to be submitted to ADA the latest by September 2019.

## 2.8. Deliverables

The evaluation team is expected to provide the following deliverables:

- Draft and final inception report, including evaluation matrix, interview guidelines, survey questionnaire and draft Theory of Change (ToC).
- Inception Report Presentation and ToC workshop in Vienna.
- Brief on case studies (selection criteria, methodology, data, case study outline).
- Triangulation matrix.
- Completed Feedback matrices.
- Codified data from interviews and survey.
- Draft evaluation report.
- Presentation of Draft Report in Vienna.
- Final evaluation report in English, with Executive Summary in English and German.

#	Phase	Deliverable	Time Estimate (evaluation team)
1	Kick-Off and Inception Phase	Draft Inception Report	32
		Final Inception Report	working days
2	Data Collection and Interview Phase	Brief on case studies	71
		Presentation of Initial Findings (Power Point)	working days

<sup>8</sup> Organization for Economic Cooperation and Development/OECD (1992), Development assistance manual: DAC Principles for effective aid, Paris.

3	Data Analysis and Submission of Report	Triangulation matrix, interview protocols and survey data  Draft Report  Presentation of Draft Report  Final Report (Executive Summary in English and German)	44  working days
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ADA will inform the contractor within 4 weeks as of receipt of the final Evaluation Report whether the Evaluation Report has been accepted.

Please note that **the above indicated days are estimates only and are not binding for the Contracting Authority.**

All evaluation products, including the reports need to be written and delivered in English. The Executive Summary of the Evaluation Report needs to be translated and also submitted in German.

The inception report must contain an evaluation matrix, analytical framework, draft Theory of Change (ToC) and a draft list of interview partners.

The draft report must contain the analytical framework, an updated ToC, the case descriptions, the survey analysis, a pseudonymized list of interview partners. The codified interview protocols as well as the survey data must be submitted together with the draft report.

The final report must contain an executive summary and a list of recommendations made by the evaluation. It should not comprise more than 30-40 pages (excluding annexes). The executive summary should summarize key findings and recommendations (three to five pages) and needs to be submitted as part of the final draft report.

The quality of the reports will be assessed according to the following criteria:

- Does the report contain a comprehensive and clear executive summary?
- Were the Terms of Reference fulfilled and is this reflected in the report?
- Are all evaluation questions answered?
- Are the methods and processes of the evaluation sufficiently documented in the evaluation report?
- Does the report describe and assess the intervention logic (e.g. log frame, program theory) and present/analyze a theory of change and its underlying assumptions?
- Are cross-cutting issues analyzed in the report?

- Are the conclusions and recommendations based on findings and are they clearly stated in the report?
- Does the report clearly differentiate between conclusions, lessons learnt and recommendations?
- Are the recommendations realistic and is it clearly expressed to whom the recommendations are addressed to?
- Were the most significant stakeholders involved consulted?
- Does the report present the information contained in a presentable and clearly arranged form?
- Is the report free from spelling mistakes and unclear linguistic formulations?
- Can the report be distributed in the delivered form?

## **2.9. Management of the Evaluation and Responsibilities**

The evaluation will be managed by the ADA Evaluation Unit EVA. The Evaluation and Statistics Unit approves the inception report and final report.

In addition to the management of the evaluation, ADA's Evaluation Unit (EVAL)<sup>9</sup> will also provide an 'embedded' evaluator from its team, who will contribute to the development of the Theory of Change (ToC), and the case studies, and depending on resources available also to additional tasks. The specific contributions of the 'embedded' evaluator from the Evaluation Unit will be defined jointly with the evaluation team on the occasion of the kick-off meeting.

A Reference Group composed of representatives from the Austrian Ministry of Foreign Affairs (BMEIA), and the Austrian Development Agency (ADA), will be established to act as a sounding board, and to facilitate and review the work of the evaluation. They will also serve as an independent validation of facts and findings. The Reference Group will provide inputs and feedback at all stages of the drafting, i.e. Terms of Reference (ToRs), Theory of Change (ToC), inception report, case study brief and draft report.

In the inception phase, all organizational units within BMEIA and ADA will provide – within the framework of the Evaluation Reference Group and coordinated through ADA's Evaluation Unit and - basic documentation and information to the evaluation team.

The strategic evaluation GG is accompanied by two peer reviewers reviewing the methodological and sectoral quality of the evaluation throughout the evaluation process. More specifically, the peer reviewers will comment in writing on the evaluation's ToR, the inception report, the survey questionnaire, interview guidelines and the draft evaluation report.

ADA's Evaluation Unit and the evaluation team will be responsible to guarantee formal and substantial independence throughout the evaluation process. This also includes that the

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<sup>9</sup> ADA's Evaluation Unit (EVAL) is a subgroup of ADA's Executive Unit Evaluation and Statistics.

evaluation team will be responsible for its own logistical arrangements and shall arrange the necessary meetings independently. If a specific need for this is identified during the evaluation process, ADA's evaluation team will work to facilitate travel and other logistical arrangements when needed and as much as possible.

### **3. List of background documents**

The weblinks to a list of recommended background documents (not exhaustive) to be consulted in order to submit a tender are provided below:

A comprehensive package of background literature, reports, data etc., including the below-mentioned documents, will be provided to the evaluation team at the beginning of the assignment.

- ADC Three-Years Programmes relevant to the timeframe of the evaluation 2007-2017), <http://www.entwicklung.at/en/media-centre/publications/programmes/>
- ADC Country and Regional Strategies (2007-2017), <http://www.entwicklung.at/en/ada/funding/country-and-regional-strategies/>
- ADC Policy Document Good Governance, [http://www.entwicklung.at/fileadmin/user\\_upload/PD\\_Governance\\_July2011\\_EN.pdf](http://www.entwicklung.at/fileadmin/user_upload/PD_Governance_July2011_EN.pdf)
- ADA Handbook Good Governance (available in German only), [http://www.entwicklung.at/fileadmin/user\\_upload/Dokumente/Publikationen/Downloads\\_Themen\\_DivBerichte/Menschenrechte/HB\\_Governance\\_de\\_01.pdf](http://www.entwicklung.at/fileadmin/user_upload/Dokumente/Publikationen/Downloads_Themen_DivBerichte/Menschenrechte/HB_Governance_de_01.pdf).

The evaluation team will be selected through a direct award procedure with prior publication in accordance with the Federal Austrian Procurement Law. The tender procedure will be carried out in the form of a Direct Award with prior notification as described in Section 47 Austrian Public Procurement Act (PPA – Bundesvergabegesetz 2018 [BVergG 2018], BGBl Nr 65/2018).