Independent Evaluation of the
Extractive Industries Transparency Initiative

Inception Report
Submitted to the EITI International Secretariat
and the Project Steering Group

22 March 2022
Version 1.3 - FINAL

EITI
Extractive Industries
Transparency Initiative

VoconiQ
Engagement Science. Insights

SquareCircle
INSIGHT FOR DEVELOPMENT

This inception report outlines the design for the independent evaluation of the EITI

March 2022

Executive Summary

After almost two decades since it was first launched, there is good reason to ask questions of the Extractive Industries Transparency Initiative (EITI):

- **Is it relevant?**
- **Is it effective?**
- **What impacts does it contribute to – both intended and unintended?**
- **Can it be sustained?**

The Global Independent Evaluation of the EITI is a wide-ranging project that seeks answers to these questions.

This Inception Report summarises the overall evaluation project that has been co-designed by the Voconiq + Square Circle project team and the International EITI Secretariat.

1 The evaluation itself will be transparent and accountable

Just as EITI is a multistakeholder initiative with a strong emphasis on continuous disclosure, the evaluation will take a similar approach:

- A multistakeholder **Project Steering Group** has been formed to guide the project.

- The project will be run as an '**open evaluation**', with an inclusive approach in the design and implementation of the study, as well as an effort to openly share evaluation data and outputs as they emerge at **www.eitiopenevaluation.org**.

- There will be numerous opportunities for EITI stakeholders – both at the country level and internationally – to directly **engage with and participate** in the evaluation process.

2 The evaluation will be rigorously independent and supported by VQ-SC's research governance

The Voconiq + Square Circle Consortium that is carrying out the evaluation is committed to leading an independent evaluation, including asking 'difficult questions' of EITI stakeholders at all levels. The consortium brings a unique mix of development consulting, data science and monitoring and evaluation skills, combined with deep knowledge of the EITI.

In consultation with the International EITI Secretariat, the Voconiq + Square Circle Consortium has established a '**Project Governance, Management and Collaboration Framework**' for the evaluation.

3 The design will cover a broad range of evaluation questions

EITI's relevance, effectiveness, impact and sustainability will be investigated at the global, national and local level. However, the evaluation recognises that there is a natural tension between EITI's role as a global standard and the need for country context to be front and centre. The methodologies deployed will enable the diversity of experience of the 56 countries implementing the EITI to be assessed in the evaluation process.

4 A mix of qualitative and quantitative methods will be employed

The evaluation methodology includes **country case studies**, **policy case studies**, **governance sentiment survey instruments**, as well as qualitative approaches such as **outcome harvesting** and **most significant change**. Collectively, these methods will help to triangulate the data and insights produced by the evaluation, giving credibility to the recommendations for action.

5 The 'complex system' of EITI will be unpacked through an impact-pathway approach

The complexity of a multi-stakeholder initiative spanning global, national and local scales – that is almost 20 years old and has evolved considerably over that time – should not be underestimated. Carrying out an evaluation of the EITI requires a deep understanding of this complexity, and the ability to weave an evaluation of many different strands of evidence, gathered using different methodologies. Our approach will allow data to be collected and analysed in a way that reveals complexity, interconnectedness and non-linear change, with a focus on **impact pathways** for 'how change happens' and 'how change is experienced'.

6 The evaluation will create new data and engage new stakeholders

Evaluation exercises can sometimes risk only engaging with known stakeholders, gatekeepers, and the 'usual suspects' of insiders who might only provide data that already exists and/or have a direct interest in particular evaluation outcomes.

For these reasons the evaluation includes two governance sentiment instruments that will engage thousands of EITI stakeholders to **generate new data and insights**. One instrument will also engage with citizens in EITI implementing countries who have little or no awareness of the EITI in order to understand which factors are most relevant to them in terms of how the oil and mining industries are governed.

A case study of resource-rich countries not implementing the EITI will also be developed to understand whether there are reasons as to why these countries do not participate in the Initiative.

7 There will be a rigorous focus on ensuring the evaluation is actually used

The evaluation will publish findings and data as they are generated. Final evaluation deliverables will be concise, presented through a variety of different media and platforms, and have a meticulous focus on practicality and useability. There will be no monolith.

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Background

Following a decision by the EITI Board, in July 2021 the EITI International Secretariat commissioned a tender process for an Independent Evaluation of the EITI. The tender for the evaluation was awarded to a consortium consisting of Voconiq and Square Circle in September 2021.

The Terms of Reference (ToR) for the project specifies that the evaluation should:[1]

- Be based on **international best practice**, provide credible and useful evidence to strengthen accountability for **development results**, and contribute to organisational learning.

- Reflect the **multistakeholder nature of the EITI** through a participative approach that captures diverse stakeholder perspectives and expectations.

- Focus on the relevance and effectiveness of the EITI in **implementing countries**, taking into account the diversity of national circumstances and EITI objectives.

- Consider the overall effectiveness of the EITI at the **global level** based on the shared objectives expressed in the **2019 EITI Standard**.

- Produce a final report that presents a clear evaluation of the **EITI's effectiveness**, with **practical recommendations** addressed to the EITI Board on opportunities to further strengthen the EITI.

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1   Appendix A contains the full ToR for the evaluation.

Project Governance, Management and Collaboration Framework

Project Governance, Management and Collaboration Framework

In consultation with the EITI International Secretariat ('**the Secretariat**') the Voconiq + Square Circle Consortium (**VQ-SC**) has established a **Project Governance, Management and Collaboration Framework** (**PGMC Framework**) for the evaluation. The framework draws on VQ-SC governance, project management and collaboration policies, systems and platforms.

Project Governance

The project governance arrangements include a Project Steering Group (**PSG**), Project Guiding Principles and VQ-SC research policies and procedures to guide evaluation activities.

The Project Steering Group

A PSG has been formed to advise the EITI International Secretariat and VQ-SC on matters of project scope, design and implementation. As outlined in the ToR for the PSG presented in Appendix B, the PSG has the following responsibilities:

- Providing input into the design of the evaluation, including advising the Secretariat and VQ-SC on issues of project scope and focus.
- Working with the Secretariat and the VQ-SC team to ensure that EITI stakeholder constituencies are involved and participate actively in the evaluation.
- Identifying expertise, data, and resources that should be considered by the evaluation.
- Anticipating and supporting the mainstreaming of the evaluation's key learnings – i.e., working with the Secretariat and the VQ-SC team to ensure that the evaluation process and deliverables directly support EITI country implementation, as well as global outreach and advocacy.

It is expected that the PSG will meet virtually approximately three times over the course of the evaluation. The first meeting of the PSG took place on the 9th December 2021. The membership of the PSG is shown in Table 1 below.

Table 1:
Membership of the Project Steering Group

Group/ constituency	#	Organization	Person	Alternative
Supporting countries	1	SECO (Switzerland)	Juerg Vollenweider	
	2	BMZ / GIZ (Germany)	Sören Dengg	Johanna Wysluch, Sophie Girke
Implementing Countries	3	Zambia	Ian Mwiinga	
Civil Society	4	University of the Philippines	Cielo Magno	
	5	Publish What You Pay	Olena Pavlenko	
Company	6	BHP	James Ensor	
Internal	7	International Secretariat	Mark Robinson	
	8		Joanne Jones	
	9		Gisela Grando	
	10		Edwin Wuadom Warden	

Table 1:
Membership of the Project Steering Group

Group/constituency	#	Organization	Person	Alternative
Partner/Peers	11	World Bank	Anwar Ravat	
	12	Open Government Partnership	Munyema Hasan	
	13	OECD	Catherine Anderson	

Guiding Principles

Given the project length, significance, and the diversity of countries and stakeholders involved, guiding principles have been established for VQ-SC project team members, the EITI International Secretariat and the PSG.

The overarching guiding principle is that of an '**open evaluation**'. This approach implies both inclusiveness in the design and implementation of the evaluation, as well as an effort to openly share evaluation data and outputs in a way that is useful to EITI stakeholders and interested parties.

Other guiding principles of the evaluation are:

1. **The health and safety of project staff and participants is paramount**. Travel will only be considered if the risk from COVID-19 has been reduced to being minimal.

2. **The evaluation must be transparent, participative and accountable**. The project will create structures and platforms that enable EITI stakeholders to understand and be involved in the project in real-time, as it is happening.

3. **The evaluation must have an ongoing impact in and of itself**. The project will be more than a post hoc review of data; it will be rigorously focused on producing new data where useful—as well as actionable lessons and recommendations for EITI implementing countries.

4. **The implementation of the project must be adaptive**. To respond to the complexity inherent within the evaluation, the project will use an adaptive programming approach where the evaluation methodology is refined and honed as new learnings and insights emerge.

5. **The evaluation will draw on the expertise of the PSG**. The VQ-SC project team will work closely and collaboratively with the PSG to ensure that the significant institutional knowledge and networks of PSG members is operationalised and utilised in the project.

6. **The project will mainstream social inclusion**. A gender equality, disability and social inclusion (GEDSI) lens will be mainstreamed across all project activities, including evaluation methodologies and questions that highlight the inclusion and exclusion experiences of EITI stakeholders.

VQ-SC Research Policies and Procedures

The project governance arrangements also include the following VQ-SC policies and procedures to safeguard the evaluation and those who participate in it:

- Anti-corruption Policy
- Ethical Research Policy
- Privacy Policy
- Child Protection Policy
- Code of Ethics

These policies will be utilised throughout the evaluation and understood by all project team members.

Project Management

The project management arrangements include an Adaptive Project Plan, Monthly Project Meetings and Reporting, and a Risk Management Approach.

The VQ-SC Evaluation Team

The VQ-SC Evaluation team is co-led by Sefton Darby (Strategy and Advisory Lead, Voconiq) and Tim Grice (CEO and Founding Director, Square Circle). The VC-SC project team consists of team members in Zimbabwe, the United Kingdom, Portugal, the Kyrgyz Republic and Indonesia, in addition to VQ-SC staff in Australia. The roles and profile links for all team members are in Appendix C.

Adaptive Project Plan

A project plan has been developed for the evaluation in an online collaborative platform (Clickup). The project plan is reviewed on a regular basis so that it can adapt to VQ-SC project team learnings in real-time as well as guidance from the PSG and the Secretariat.

Monthly Project Meetings and Reporting

Project management meetings take place between the VQ-SC co-leads and the Secretariat at least once a month. The format of the monthly reports is shown in Figure 1 below.

Recent work and deliverables	Upcoming work and deliverables		
Summary of recent work and deliverables. Purpose is to ensure Secretariat and PSG know where the current focus is.	Summary of key upcoming tasks and deliverables. Purpose is to ensure Secretariat and PSG know where the focus will be and to identify short-term risks/opportunities.		
Project risks	**Budget and Scope**		
Commentary on any changes in project risks – ensures that risk framework isn't lost and that there are no surprises for Secretariat and PSG.	Commentary on any tasks that have gone under or over expected budget or scope so Secretariat and Consortium can address through scope/timeline/resource changes.		
Workstreams	**Status**		
1 Project Steering Group			
2 Design			
3 Participation	⬤ On Track	🟠 Issues	🔴 At Risk	⚪ Insufficient data
4 Country Case Studies			
5 Policy Deep Dives			
6 GSI			
7 Qual methods			
8 Mainstreaming			

Figure 1: Project reporting format

Risk Management Approach

Project risks are assessed by the VQ-SC team on an ongoing basis and reviewed in project management meetings between VQ-SC and the EITI International Secretariat. A high-level summary of project risks is shown in Section 5 of this report.

Project Management impacts from the COVID-19 pandemic

The initial project ToR asked for different approaches to managing risks associated with the COVID-19 pandemic. In the time since the procurement process and project inception phase, there has been considerable change in the global COVID-19 situation. At the time of the VQ-SC proposal being submitted, the Delta variant had become the dominant strain of the virus, and several members of the project team were subject to lockdown orders in their home cities. At the time of the submission of this Inception Report, the Omicron variant was rapidly becoming the dominant strain of the virus, with the impacts of its spread still relatively unknown.

Because of this rapid pace of change, it is difficult even at this stage to provide an exact approach for how the project will manage COVID-19 risks, or to anticipate the consequences of those risks. At a high level, the consortium's approach will be:

- To only carry out in-person research in case study countries where it is safe for project team members and stakeholders to do so.
- Any consortium team members carrying out international travel will be appropriately vaccinated.
- Team members travelling to EITI implementing countries will do so only where there is clear logistical support (and potential emergency support).
- Should travel not be possible to a majority of case study countries, project funds previously dedicated to support that travel will be reallocated to:
  - Increasing the recruitment of participants for Governance Sentiment Instrument (GSI) #1 ('Insiders'); and/or
  - Increasing the number of case study countries covered by GSI #2 ('Citizens'); and/or
  - Additional remote interviews and desktop research as required; and/or
  - Developing additional online resources to assist with the mainstreaming of the evaluation results in EITI implementing countries.

'Open Evaluation' approach

Open Evaluation

Core to the VQ-SC Consortium's approach is the intention to take the same transparency and accountability principles that underpin the EITI and to apply them to the evaluation process itself. In practice this will mean:

- Formation of and consultation with a multistakeholder Project Steering Group.
- Publication of key project updates and documents during the research process. By way of example, this Inception Report as well as the comments that were received on an early draft of the report, will be published on the project website. This will ensure that those interested in the research will be able to clearly understand the scope of and approach to the project, as well as any changes to that approach during the course of the research.
- Publication of individual project deliverables that become available during the course of the research – i.e., they will not be 'saved up' until the end of the project, or simply amalgamated into a single final report.
- Providing multiple opportunities for those involved in implementing EITI, or who are interested in the evaluation process, to participate in evaluation activities (more on this below).
- Ensuring that project deliverables are concise and accessible, with a strong focus on recommendations and practical end-use by EITI implementing countries.

Opportunities to participate in the evaluation process

As part of the 'Open Evaluation' process the VQ-SC Project Team will seek to create a number of opportunities for direct participation in the evaluation process through:

- The establishment of the project website for open evaluation. This will include continuous progress updates on the project blog, as well as the ability to ask questions of the project team during the research.
- Consultation with stakeholders involved in 10 case study countries.
- Online 'Policy Forum' events to support the development of the Policy Case Studies.
- Participation in the Governance Sentiment Instrument (GSI) surveys – any EITI stakeholder in any country will be able to participate in the GSI.

Collaborative Platform

A purpose-built online platform has been developed in 'Howspace' to support collaboration with the PSG and the EITI International Secretariat (see Figure 2). The platform provides a workspace for the PSG, the Secretariat, and the VQ-SC Project Team to collaborate outside of scheduled meeting times. The idea is to have a flexible approach that allows PSG members to engage with evaluation activities as they happen and provide timely advice on areas of interest and expertise. This approach will allow PSG members to participate in the project at times that are convenient and in ways that suit them best.

Open Evaluation Website

In addition to the Howspace platform for collaboration and information-sharing between the PSG, the Secretariat and the VQ-SC project team, a public website has been built at **www.eitiopenevaluation.org**.

The purpose of the 'open evaluation' website is to provide a transparent and accessible platform for interested stakeholders and the public to access information about the evaluation as project activities are being implemented.

The website will also invite participation in the evaluation by providing open feedback forms and the option to request a consultation with the VQ-SC Project Team.

Communication Campaign

A communication campaign has been mapped with the EITI International Secretariat. Phased across the life of the project, the purpose of the campaign is to drive knowledge of and direct participation in the evaluation.

The communication campaign will support an '**Open Evaluation**' that is transparent, participative and accountable, where a wide range of stakeholders are engaged. Through this broad engagement, the evaluation will:

- Promote transparency and participation through its design.
- Access new and unknown data.
- Contribute to the generation of new data through sentiment instruments, country case studies and policy case studies.

Another objective of the communication campaign is to support project deliverables that are **accessible, understandable and useable**, where:

- 'Reports' are the evaluation's backstop, not end-point.
- Global stakeholders and implementing countries are actively involved in the evaluation and have ownership of the results.
- Mainstreaming opportunities are understood and built in early.
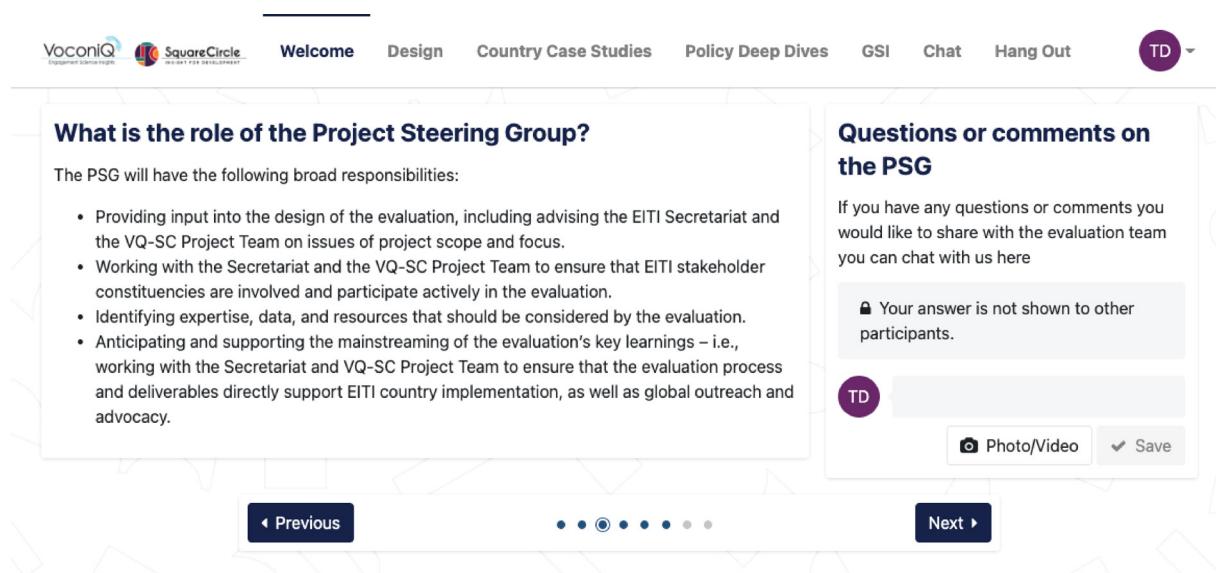
Figure 2: Howspace collaborative platform

Evaluation Phases and Methodology

Evaluation Phases and Methodology

As shown in Figure 3, the Independent Evaluation of the EITI has a three-phase evaluation framework:

- **The Collaborative Design Phase (Oct–Dec 2021)**: In which key aspects of project design and scope – including the Evaluation Questions – are co-designed and finalised.

- **The Research and Development Phase (Jan–Apr 2022)**: Where the Evaluation Questions are investigated through a mixed methods evaluation design across three levels of analysis (global, national, local).

- **The Mainstreaming Phase (May–Aug 2022)**: During which outcomes of the evaluation will be shared and made ready for implementation.

Collaborative Design Phase

Carried out in October–December 2021, the **collaborative design phase** involved a series of eight 'deep dive' sessions, where members of the EITI International Secretariat and the VQ-SC Project Team designed key work packages that underpin the evaluation methodology. This iterative design process focused on:

- Evaluation questions and cross-cutting themes.

- Evaluation methods, including detailed designs for the Governance Sentiment Instruments (**GSI**), country case studies, policy case studies, most significant change (**MSC**), outcome harvesting and interview methodologies.

- An evaluation implementation plan, including the approach to safeguarding and risk management.

- The project communications plan.

EVALUATION FRAMEWORK

COLLABORATIVE DESIGN PHASE:
Oct – Dec 2021

KEY DELIVERABLES:

Inception Report and Evaluation Methodology Framework

- Establishing project governance
- Build project platforms
- Early stakeholder consultation and desktop review
- Formulation of the evaluation questions
- Selection of policy areas and case study countries
- Stakeholder and participant mapping

RESEARCH & DEVELOPMENT PHASE:
Jan - Apr 2022

KEY DELIVERABLES:

Presentation of Draft Report and Initial Findings

- Evaluation focal points
  - Global
  - National
  - Subnational
- Evaluation methods
  - Continued desktop review and stakeholder interviews
  - Country case studies
  - Governance sentiment instrument
  - Policy case studies
  - Most significant change
  - Outcome harvesting
- Cross-cutting themes
  - GEDSI
  - Strengthening linkages
  - Adaptive Action

COVID' / 'NO COVID' OPTIONS

MAINSTREAMING PHASE:
May – Aug 2022

KEY DELIVERABLES:

Implementation of learnings at global and country levels

- Production of synthesis report, case studies and policy reviews
- GSI dashboards and visual summaries
- Digital storytelling
- Briefings for the EITI Board
- Operationalising learnings with International Secretariat
- Global results sharing – website and evaluation launch

GUIDING PRINCIPLES

- An 'open evaluation'.
- The health and safety of project staff and participants is paramount.
- The evaluation must be transparent, participative accountable.
- The evaluation must have an ongoing impact in and of itself.
- The implementation of the project must be adaptive.
- Close collaboration with the Project Steering Group is key.
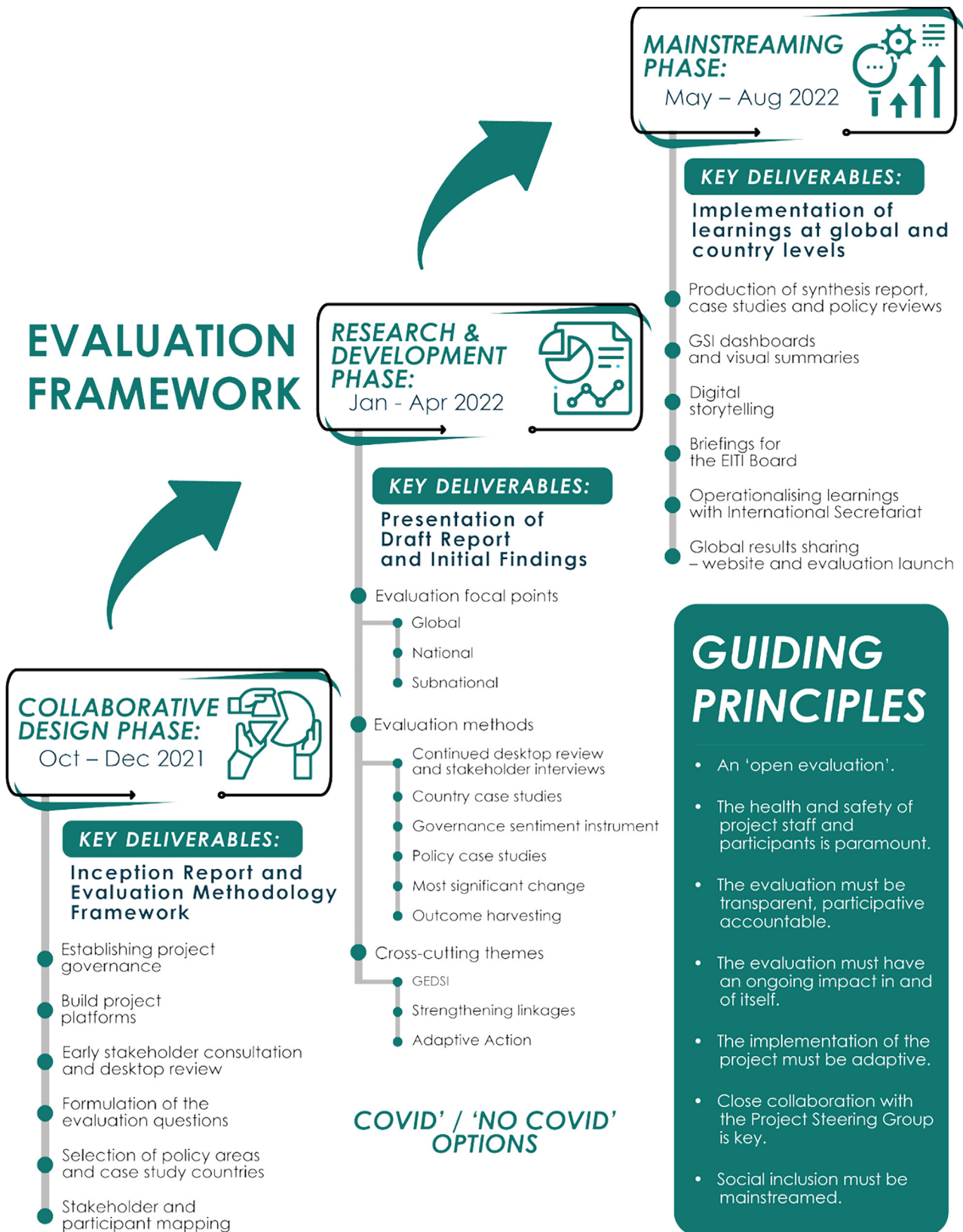- Social inclusion must be mainstreamed.

Figure 3: Evaluation phases and methods

Research and Development Phase

During the research and development phase the project's Evaluation Questions will be assessed through a mixed-method design that triangulates the following evaluation methodologies:

- Interviews
- Desktop research
- Country case studies
- Policy case studies
- Governance sentiment instruments
- Most significant change
- Outcome harvesting

Evaluation Questions

Given the emphasis in the project's ToR on providing useful evidence to strengthen accountability for **development results** – as well as the importance of the country-led and multistakeholder design of the EITI – it was considered instructive to develop the evaluation question framework with attention to the *Organisation for Economic Co-operation and Development's (OECD) Development Assistance Committee's (DAC)* evaluation criteria. Specifically, the Evaluation Questions are informed by questions of effectiveness, relevance, coherence, efficiency, sustainability and impact.

RELEVANCE
is the intervention
doing the right things?

COHERENCE
how well does
the intervention fit?

EFFECTIVENESS
is the intervention
achieving its objectives?

EFFICIENCY
how well are resources
being used?

IMPACT
what difference does
the intervention make?

SUSTAINABILITY
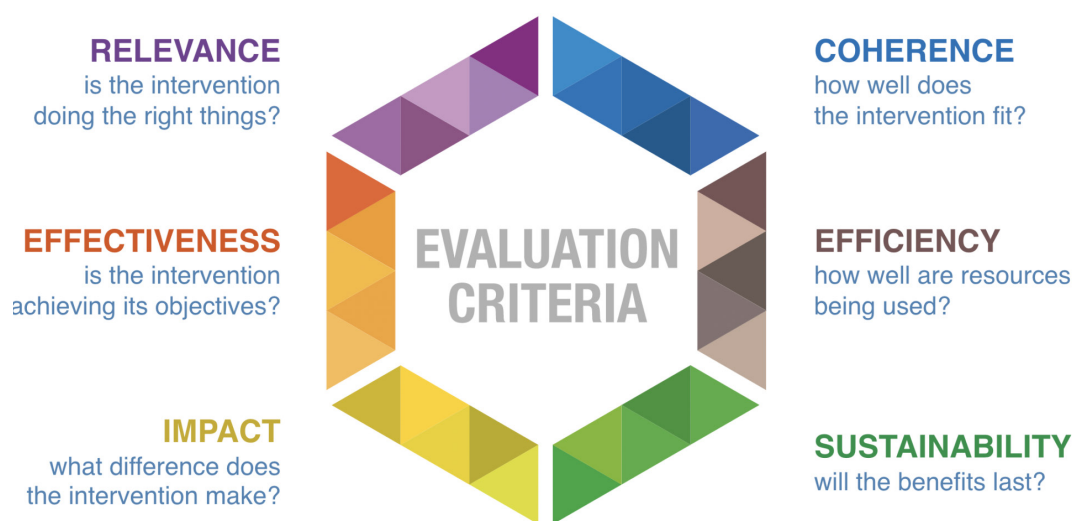will the benefits last?

EVALUATION CRITERIA

Figure 4: The OECD DAC Evaluation Criteria. Source: OECD

The Primary Evaluation Questions shown in Figure 5 below connect to the DAC evaluation criteria with a specific focus on effectiveness, relevance, impact[2] and sustainability.[3]

As shown in Table 2, these Primary Evaluation Questions are unpacked with a series of related 'Guiding Questions'. **The *Guiding Questions* are wide-ranging, and it is not the intention of this evaluation to answer them in an exhaustive or definitive fashion. Rather the purpose is to use them to guide inquiry, to analyse data, and to organise findings.**

Both the Primary Evaluation Questions and the Guiding Questions will be considered at the global, national and local[4] 'levels of analysis'.
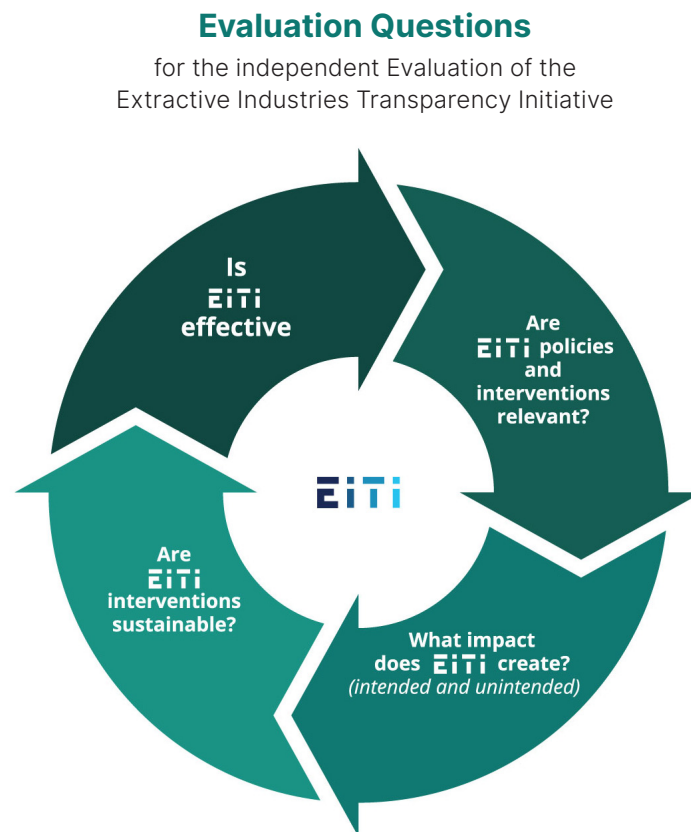
Evaluation Questions

for the independent Evaluation of the
Extractive Industries Transparency Initiative

Figure 5: Evaluation questions

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2   While it will depend on the individual countries and availability of historical data, it will generally not be possible to construct a retrospective baseline to effectively 'measure' impact in relation to increased transparency. What we expect to be able to do is gather information about perceived change from stakeholders regarding levels of transparency, and the flow on effect such changes have or have not had – as well as information as to why/how this has been achieved (or not). We can triangulate this information with other sources of data, including various sources of documentary evidence (including historical evidence that demonstrates such change over time) and/or the perspectives of other stakeholders to help validate the findings. We could add this if we want to: This approach is likely to generate qualitative understandings of change; however, we expect that the data will emerge in a way that may lend itself to 'measurement' through a standardisation of characteristics that turn out to be important. It may be possible then to provide some sort of 'ranking' or categorisation that allows for some standardised expression of relative transparency and relative change over time.

3   The DAC 'Efficiency' criteria is included as a subset of effectiveness and the 'coherence' criteria is included as a subset of relevance.

4   'Local' is defined in the evaluation as the local impacted area around extractive projects where communities are directly impacted by the social, environmental and economic impacts of extraction.

Table 2
Evaluation guiding questions

1	Is the EITI Effective?
1.1	Does EITI increase transparency in implementing countries? If so, how? If not, why not?
1.2	What are some of the enabling conditions for EITI to be effective at the global, national and local levels?
1.3	Is EITI effective in implementing the shared objectives expressed in the 2019 EITI Standard?
1.4	Are the EITI Board and International Secretariat providing effective support to country implementation?
1.5	How effective is EITI's multistakeholder governance?
1.6	Has EITI increased civic space and participation?
1.7	Has EITI improved the governance and performance of resource companies?

2	Are EITI policies and interventions relevant?
2.1	What affects EITI relevance in implementing countries? Is there a mismatch between what country stakeholders expect of EITI and what it is supposed to achieve?
2.2	Is the impact of EITI in line with the expectations of the country stakeholders?
2.3	Does the model of country-led implementation improve local relevance of EITI activities?
2.4	Does EITI respond to stakeholder needs and priorities?
2.5	How relevant is EITI at the local level around project areas?
2.6	Based on country perspectives, can a coherent global Theory of Change emerge? What is this likely to be?
2.7	What (if anything) about different country contexts enables or undermines EITI relevance and therefore impact?
2.8	Is EITI relevant to the global policy context? If so, how does it contribute to shaping norms?

3	What impact does EITI contribute to? (Intended and unintended)
3.1	What has been the actual experienced impact of EITI in participating countries?
3.2	Is EITI at the country level improving resource governance? If so, how? If not, why not?
3.3	What impact does EITI contribute to at the local and sub-national levels?
3.4	What are some of the impact pathways for the different kinds of impacts that EITI contributes to?
3.5	How far beyond the MSG does the governance change 'seep out'?
3.6	In cases where there has been catalytic change, what have been some of the enabling conditions?
3.7	How can countries prioritise particular interventions or create particular conditions to enable catalytic change?

4	Are EITI interventions sustainable?
4.1	What level of local ownership does EITI achieve?
4.2	Is EITI mainstreamed in implementing countries?
4.3	Does EITI adapt to local priorities?
4.4	Does EITI work well/harmonise with other resource governance initiatives and priorities globally?
4.5	Does EITI have a sustainable funding model?
4.6	What are the enabling conditions for local ownership and sustainability in implementing countries?
4.7	What would it take to make EITI sustainable at the global level?

Interviews

Semi-structured interviews will be conducted with internal and external stakeholders at the global and country levels. The sampling strategy for interviews will be purposive, in that it will target a sample of informants who are likely to have diverse insights into the evaluation questions from a range of useful perspectives.

Interview questions will be structured around the Primary Evaluation Questions and Guiding Questions, with conversations guided by open-ended questions. Interview data will be coded against the question framework and analysed for consensus, common views, emerging themes and divergent perspectives.

Desktop research

The project team will review known research on evaluations of EITI, both globally and at the individual country level. Each country case study will also include a desktop review of existing data and research, as will each policy case study.

Country Case Studies

At the heart of the evaluation methodology is a series of ten country case studies. During the Collaborative Design Phase the following criteria were used when considering the overall balance of the country case study group:

Table 3
Country case study criteria

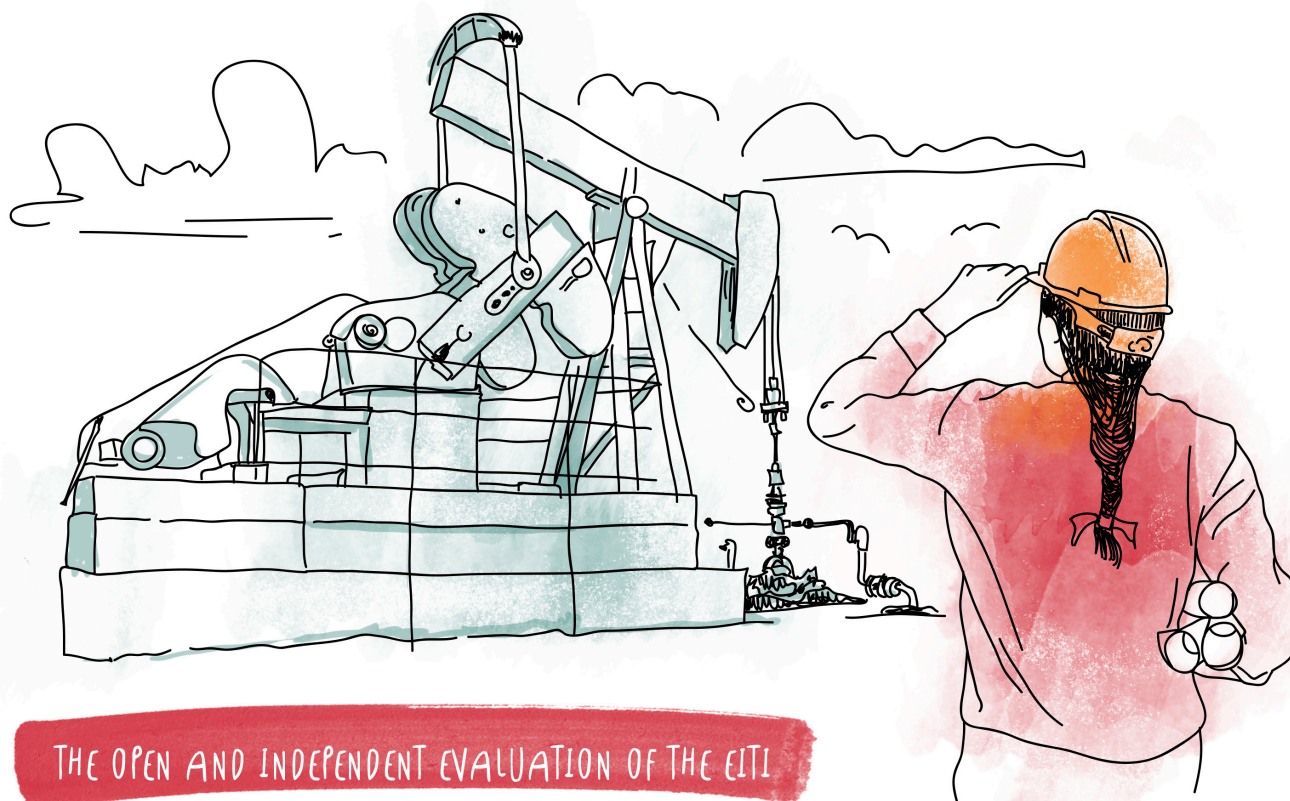| Country case study criteria	
Geographic diversity	Length of time in the EITI
Sectoral diversity (oil, gas, mining)	Level of human development
State participation	Country validation status
Political and fiscal decentralisation	Country size (population)

The overall objective was to **maximise the diversity of case study countries**. With this in mind, the final case study group needed to include countries with geographic, population and sectoral diversity; some of which had state participation in the sector; some of which were centralised and some of which were decentralised; some of which had been in EITI for a long period of time and others that were relatively new to the EITI; some of which had high levels of human development and others that had relatively low levels.

Because the overall set of case studies has been designed to maximise this diversity, the rationale for any given case study country's inclusion is not because that one country is perceived as having been successful or unsuccessful in its EITI implementation. Rather, the set of case studies as a whole should provide the research with as many different experiences of EITI as possible.

In addition to these criteria, the following three factors were also considered when selecting the final case study group:

1. **Potential for evaluation activities to be supported by the National EITI Coordinator**. This factor was considered as national support will be critical for accessing local stakeholders and data necessary to inform the evaluation, ensuring the results of the evaluation itself are more likely to be practically applied, and ensuring the safety of any project team personnel who travel to the case study country to gather data.

2. **Availability of data**: The overall group of country case studies needed to contain a critical mass of countries in which there would be enough data available to inform the overall evaluation. That said, it is also important to note that the absence of useful data is an evaluation finding in and of itself (e.g., it may indicate that the country's EITI program is having little impact).

3. **Project team country presence or experience**: Most but not all of the case study countries selected also represent countries where the VQ-SC project team have either a direct presence or prior experience of working in the country. This consideration was taken into account for the simple reason that understanding country context will be critical for evaluating the EITI in case study countries, and it will make for more effective and efficient data collection and stakeholder engagement.[5]

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5   Qualitative case studies are designed to generate a deep understanding of complex phenomena and environments. To fully comprehend and make sense of data generated in such case study approaches requires significant knowledge of context (Poulis, et al 2013). Access is also considered to be a crucial factor and therefore it is a significant benefit for the researcher to have a good knowledge of, and access to, the case under investigation (Crowe et al, 2011). Given the time limitation of this study, knowledge and access to the countries is taken as part into consideration in the case study selection process, but only after satisfying other purposive selection criteria. See here for instance: K Poulis, E Poulis and E Plakoyiannaki. (2013). The role of context in case study selection: An international business perspective. Internal Business Review, 22(1). Also see: S Crowe, K Cresswell, A Robertson, G Huby, A Avery and A Sheikh. (2011). The Case Study Approach, BMC Medical Research Methodology.

THE OPEN AND INDEPENDENT EVALUATION OF THE EITI

Applying these criteria, the proposed case study countries are shown in Table 4 below.

Table 4
Proposed country case studies

Proposed country case studies	
Democratic Republic of Congo	Guyana
Guinea	United Kingdom
Nigeria	Kyrgyz Republic
Zambia	Philippines
Colombia	Indonesia

Within these ten case study countries, two levels of case studies will be carried out:

- **Deep Dive case studies (6 countries)**: In these countries there will be, where possible, in person stakeholder engagement and data collection by a member of the VQ-SC project team. The project team will work with the National EITI Coordinator to carry out evaluation activities, including interviews, accessing existing evaluation research, most significant change, outcome harvesting and GSI methodologies.

- **Rapid Scan case studies (4 countries)**: In these countries the case study will be based on a short desktop review of easily accessible data, and a small number of phone / online stakeholder interviews. GSI data will be applied where a sample size makes that possible.

The final decision regarding which country case studies will be carried out as Deep Dives versus Rapid Scans will be made no later than the end of January 2022 and will be based on:

- Feedback from National EITI Coordinators of the countries identified above.
- An assessment of the practicality of travel to the country, with a focus on COVID-19 related risks.
- Feedback from the Project Steering Group.

Table 5
Case study countries mapped against selection criteria[6]

Country	Region	HDI	Pop.	Sector	Time in EITI	Valid.	SOE	Sub-national
DRC	Francophone Africa	Low	Medium	Both (M)	10+	Meaningful progress	Yes	Yes
Guinea	Francophone Africa	Low	Medium	Mining	10+	88 (High)	Yes	Yes
Nigeria	Anglophone Africa	Low	Large	Both (O&G)	10+	Satisfactory progress	Yes	Yes
Zambia	Anglophone Africa	Medium	Medium	Mining	10+	90 (High)	Yes	
Colombia	Latin America	High	Medium	Both	6-10	Satisfactory progress	Yes	
Guyana	Latin America	Medium	Small	Both	0-5	Yet to be assessed		
United Kingdom	Eurasia	Very high	Medium	Both (O&G)	6-10	90 (High)		Yes
Kyrgyz Republic	Eurasia	Medium	Small	Mining	10+	Meaningful progress	Yes	
Philippines	Asia-Pacific	High	Large	Both	6–10	80 (Moderate)		Yes
Indonesia	Asia-Pacific	High	Large	Both	10+	Meaningful progress	Yes	Yes
SUMMARY	2 case studies from each region	3 Low, 3 Medium, 3 High, 1 Very High	2 Small, 5 Medium, 3 Large	4 mining only, 2 both (O&G dominant), 1 both (mining dominant), 3 both.	1 0–5 years, 3 6–10 years, 6 10+ years	1 yet to be assessed; 4 meaningful / moderate; 5 high / satisfactory	7 with state participation; 3 without.	6 with sub-national revenues, 4 without.

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6   HDI = Human Development Index (Source: https://hdr.undp.org/en/content/download-data). Population data sourced from World Bank (https://data.worldbank.org/) – classification used is as follows: Small = < 10 million; Medium = 10-100 million; Large = > 100 Million. Time in EITI: Three brackets used – 0–5 years; 6–10 years; 11+ years. Validation status sourced from eiti.org individual country pages. SOE = State Owned Enterprise – used to indicate if the state is a direct participant in the resource sector. Sub-national indicates whether material sub-national revenues are included within EITI scope.

Policy Case Studies

While EITI is principally focused on implementation at the national level, the global policy process within EITI is critical in that it:

- Captures the evolution of stakeholder consensus around what it should mean to 'do EITI' – which is then encapsulated in different iterations of the EITI Standard; and

- Drives forward EITI's role in shifting policy norms, behaviours and actions of global actors, such as multinational corporations, international civil society groups, donors, multilateral organisations and international financial institutions, and other global partnerships and initiatives.

A number of the 'Guiding Questions' in the overall Evaluation Questions speak to this global aspect of the EITI. The Evaluation ToRs also note the importance of this policy role and suggest that the evaluation contain a number of policy case studies to complement the country case study work. A 'long list' of potential policy areas were proposed in the evaluation's collaborative design process and those areas are shown in Table 5 below.

Table 5:
Long list of EITI Policy Case Study areas

Long list of EITI policy case study areas	
Multi-stakeholder governance and civic space	Transparency in the trade of oil and minerals
Tax transparency and domestic resource mobilisation	Transparency of state-owned enterprises
Licence and contract transparency	Subnational transfers and expenditures
Beneficial ownership transparency	Gender, social and environmental impact
Corruption and energy transition	

With the resources available to the evaluation, it is of course not possible to carry out in-depth case studies of all of these policy areas. Because of this the VQ-SC project team considered a number of different screening criteria to help narrow down the list of potential policy case studies. Those criteria included:

- Ensuring that each case study will generate data that connects to specific evaluation questions of effectiveness, relevance, impact and sustainability.

- Ensuring that at least one policy area spoke to EITI's global policy role.

- Ensuring that at least one policy area had emerged from the two most recent versions of the EITI Standard (2016 and 2019).

- Ensuring that at least one policy area spoke to how the EITI is implemented at the national and/or local level.

- Which policy areas might be best investigated through other methodological tools (e.g., country case studies, governance sentiment instruments) rather than via a standalone case study.

- Whether there are policy areas not listed in the original ToRs that should be considered.

- Whether a policy area aligned to easily accessible data, expert interviews, and consultant expertise.

Based on those criteria, the evaluation will take the approach to policy case studies outlined in Table 6 below.

Table 6:
Evaluation Policy Case Study approach

Evaluation Policy Case Study Approach	
Policy Case Study #1 – Global	Beneficial ownership
Policy Case Study #2 – National / local	Subnational transfers and expenditures
Policy Case Study #3 – Counterfactual	Case study on resource rich countries which have not joined the EITI
Policies to be tested in every country case study and via the GSI #1 'Insiders'	Civic space and multistakeholder governance Tax transparency and domestic resource mobilisation

Each policy case study will be informed by:

- Desktop research, including the results of parallel research – for example, the Open Government Partnership is currently finalising an evaluation process that includes a strong focus on Beneficial Ownership.

- A 'Policy Forum' online event that will seek the views of a broad range of stakeholders.

- Key stakeholder interviews.

- Country-specific insights generated by the Country Case Studies.

- Results from the Governance Sentiment Instruments.

Governance Sentiment Instruments

A core layer of the project methodology will be the deployment of two Governance Sentiment Instruments (GSI). The GSIs will utilise the VQ-SC consortium's considerable experience in deploying local, national and global survey instruments and applying advanced data science methodologies to the data collected. The GSIs will enable the evaluation to:

- Elicit the perspectives of thousands of EITI stakeholders from all 56 implementing countries, as well as 'global' stakeholders – e.g., researchers, civil society groups, staff in multinational corporations, staff in multilateral organisations.
- Elicit the perspectives of thousands of ordinary citizens in a small selection of case study countries who – in most cases – will not be aware of the EITI, but who will have direct life experience of resource governance.
- Contribute to the overall principle of an 'open evaluation' by having methodological instruments that have almost no barriers to entry.
- Reach beyond the 'usual experts' that can sometimes act as gatekeepers to evaluation data. Indeed, where those experts derive income or status from the project,

initiative or institution that is being evaluated, experts can sometimes downplay negative findings, impacts, or results.

- Gather data through internet and phone-based surveys that in turn de-risks the potential impact of COVID-19 to gathering evaluation data.
- Generate data that is genuinely new, rather than simply synthesise existing research and data.
- Provide a strong quantitative element to the overall evaluation process.
- Apply smart clustering techniques to find patterns in the data that indicate psychological constructs that unify different evaluation questions.
- Use artificial intelligence/machine learning to identify the top predictors of an overall evaluation question – i.e., which aspects of EITI most add or detract to views on whether the EITI is effective, relevant, impactful or sustainable.
- Identify potential key indicators of EITI's effectiveness, relevance, impact and sustainability that can be built into global and national evaluation frameworks going forward.

Two different GSIs will be deployed during the evaluation, and they are summarised in Table 7 below.

Table 7:
Governance Sentiment Instruments

Governance Survey Instruments			
Instrument	**Participants**	**Recruitment method**	**Purpose/Evaluation questions**
GSI #1: 'Insiders'	EITI stakeholders globally	Online; via EITI newsletter and National Coordinator network.	Extensive survey covering all evaluation questions. Objective of achieving high response rate to allow for country and stakeholder specific segmentation and analysis.
GSI #2: 'Citizens'	Citizen panels (representative groups) in 3 'Deep Dive' country case studies.	Most likely phone via trusted data collection partners.	Access citizens with no or little knowledge of EITI. Short survey of questions focused on which aspects of resource governance are most relevant to them.

In addition to being a stand-alone methodology in and of itself, the two GSI instruments will also generate data that will contribute to the country and policy case studies.

The final GSI responses will be presented through online dashboards on the project website, in which clusters of questions and individual questions can be broken down by sub-groups such as by country, gender and stakeholder type.

THE OPEN AND INDEPENDENT EVALUATION OF THE EITI

Outcome Harvesting

Outcome harvesting is a method for collecting or 'harvesting' outcomes – that is, the actual outcomes of an activity, not just the intended outcomes. In contrast to evaluations that focus exclusively on logframes and linear program logic, outcome harvesting is concerned with better understanding **how change happened** rather than **how it was planned to happen**. In this sense outcome harvesting is a participatory approach, whereby participants identify change (outcomes) and work backwards to analyse how the change happened, with the goal of better understanding how the intervention contributed to the change. This approach is particularly useful when the 'cause and effect' relationships are unclear or incomplete. Outcome harvesting is also useful for formative evaluations because it focuses on **actual** outcomes and what has **actually** contributed to those outcomes, rather than testing that all inputs and outputs have been undertaken and assuming they have contributed to change.

For the evaluation, outcome harvesting workshops will be conducted at the global level via 'Policy Case Study Forums' and in two deep dive case study countries. During each workshop, outcome statements will be developed for actual outcomes that have been observed. Workshop participants will then discuss how these statements can be tested and analysed to better understand what role EITI 'inputs' played in contributing to the outcomes. This contribution analysis includes participants providing advice on how to identify means of verification such as documents, media sources, policies and legislation and parliamentary records.

Most Significant Change

Most significant change (MSC) is an inductive method that helps to identify how change happens and how it is experienced. Participants will be asked to tell a story explaining the most significant change (intended or unintended) that they have experienced or observed, which they attribute at least in part to EITI. Stories will then be analysed in a participatory sense-making workshop where a panel reviews the stories and identifies impacts, consequences (both intended and unintended) and 'impact pathways'. This approach will allow data to be collected and analysed in a way that reveals complexity, interconnectedness and non-linear change. The approach also offers an opportunity for mainstreaming the evaluation learnings through including stakeholders in the approach to analysis.

For the MSC stories the evaluation will be adopting a 'digital storytelling approach' – where participants from all country case study countries will be invited to contribute their change story in a video format via an online platform. The participatory sense-making workshop will then take place at either the country or global level, whichever is most practical. This approach will also generate stories for the Evaluation's video report.

Implementation and Communication

Evaluation projects often suffer from end-products that are overly reliant on the production of a single static report, and an exhaustion of project funds that then leads to project findings and reporting to be lost or known only to a very small number of project participants. EITI implementation at the country level has in the past suffered from a similar problem – i.e., too many static reports, which has in turn lead to an emphasis in recent years on mainstreaming and systemic disclosure.

For these reasons the final deliverables for the Evaluation will:

- Be focused on providing discrete, concise and accessible summary reports and case studies that will allow all stakeholders to easily navigate to the components of the evaluation that are most relevant to them.
- Include forward-looking deliverables that will ensure that the results of the evaluation are applied.
- Contain a mixture of events, briefings (e.g., for National EITI Coordinators and the EITI Board), reports, videos, case studies and online data (e.g., GSI dashboards).
- Have a clear focus on recommendations on how to improve the EITI.

The **final deliverables** will include:

1. **Summary Report #1: Synthesis Report**. An approximately 20-page summary of the entire evaluation project.
2. **Summary Report #2: Implications for Implementing Countries**. A short document that outlines the implications of the evaluation at the country level. The objective of this report will be to help EITI implementing countries to easily operationalise the findings of the research.
3. **Summary Report #3: Priorities for EITI Support**.
   A short document that summarises the findings from the evaluation that relate to support that is provided to EITI implementing countries by the International Secretariat, multilateral and bilateral donors, and global civil society networks.
4. **Short country and policy case studies**. Concise, approximately 2-page country and policy case studies.
5. **Governance Sentiment Instrument online dashboards**: These will enable all stakeholders to explore the GSI data at the global, stakeholder and country levels, and to consider specific evaluation questions and how they interact with different stakeholder or demographic groups.
6. **Digital storytelling** generated through the most significant change methodology outline above.
7. **Launch events and briefings**.

Evaluation Workplan

Evaluation Workplan

Plan		Schedule											
Workstream	Key Task	2021			2022								
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Project Governance and Management	Project management meetings w/ Secretariat	●	●	●	●	●	●	●	●	●	●	●	●
	Contracting	●											
	Inception meeting	●											
	Establish project governance and mgt	●	●										
	Deploy project governance and reporting	●	●										
	Develop 'Howspace' collaborative platform		●										
	Establish project steering group		●										
	Project steering group engagement			●	●	●	●	●	●	●	●	●	●
	Inception report			●	●								
	Field report for country case studies							●	●				
	Submission of draft report										●		
	Acceptance of final report											●	
Collaborative Design	Formulation of evaluation questions		●	●									
	Country case studies		●	●									
	Policy case studies		●	●									
	Global sentiment instrument		●	●									
	Most significant change		●	●									
	Outcome harvesting		●	●									
	Interviews		●	●									
	Communication and participation		●	●									
	Build open evaluation website				●								
Research and Development Phase	Country case studies					●	●	●					
	Policy case studies					●	●	●					
	Global sentiment instrument					●	●	●					
	Outcome harvesting					●	●	●					
	Most significant change					●	●	●					
	Interviews					●	●	●					
Implementation and Communication	Production of synthesis report						●	●	●				
	GSI dashboards and visual summaries						●	●	●				
	Digital storytelling						●	●	●				
	Briefings for the EITI Board									●			
	Operationalising learnings									●	●	●	
	Global results sharing									●	●	●	

Risk Management

Risk Management

Risk	Description	Approach
COVID-19 travel risk	Evaluation activities place additional risks on project team staff or stakeholders, or restrict the ability of the project team to travel to case study countries.	To only carry out in-person research in case study countries where it is safe for project team members and stakeholders to do so.
		Any consortium team members carrying out international travel will be appropriately vaccinated.
		Team members travelling to EITI-implementing countries will do so only where there is clear logistical support (and potential emergency support).
		Should travel not be possible to a majority of case study countries, project funds previously dedicated to support that travel will be reallocated to: • Increasing the recruitment of participants for Governance Sentiment Instrument (GSI) #1 ('Insiders'); and/or • Increasing the number of case study countries covered by GSI #2 ('Citizens'); and/or • Additional remote interviews and desktop research as required; and/or • Developing additional online resources to assist with the mainstreaming of the evaluation results in EITI implementing countries.
Scope becomes unmanageable within budget	Expectations from project stakeholders about what the evaluation can achieve exceed the scope and/or resources of the project.	Conduct a collaborative design process where a broad cross-section of EITI stakeholders are engaged, so that the evaluation design represents (as best as possible) expectations from EITI's tripartite constituency and stakeholder groups.
		Take an adaptive approach to the evaluation that capitalises on opportunities as they emerge, where it is possible within the scope and funding envelopes.
Legitimacy of evaluation is compromised	A significant methodological, implementation or reputational issue undermines the legitimacy of the evaluation.	Utilise Voconiq + Square Circle's 'Project Governance, Management and Collaboration Framework' for the evaluation.
Inadequate participation in country case studies	A lack of engagement with and participation by country stakeholders limits the effectiveness of country case studies.	Engage country stakeholders early in the evaluation.
		Provide country stakeholders with the ability to shape the evaluation and the case study.
		Utilise the EITI Secretariat and PSG to make introductions to country stakeholders

Risk	Description	Approach
Methodology does not adequately address evaluation questions	The methodology that is utilised in the evaluation does not adequately address evaluation questions.	Develop a mixed-method approach to the evaluation that draws on good practice in the monitoring, evaluation and learning (MEL) fields, as well as good practice social research methods more broadly.
		Systematically map evaluation methods to evaluation questions so that each evaluation question is addressed in different ways, by multiple evaluation methods.
Insights and learnings from the evaluation are not applied	The insights and learnings that are produced in the evaluation are ultimately not applied by the EITI Board and International Secretariat, MSGs and Country Secretariats, and other EITI stakeholders.	The final deliverables for the evaluation will: • Be focused on providing discrete, concise and accessible summary reports and case studies that will allow all stakeholders to easily navigate to the components of the evaluation that are most relevant to them. • Include forward-looking deliverables that will ensure that the results of the evaluation are applied. • Contain a mixture of events, briefings (e.g., for National EITI Coordinators and the EITI Board), reports, videos, case studies and online data (e.g., GSI dashboards). Opportunities to apply and implement evaluation findings and insights will also be actively identified by the evaluation team and the International Secretariat, and targeted support will be given for implementation activities.

Appendix

Appendix A
Evaluation Terms of Reference

TERMS OF REFERENCE

Independent Evaluation of the EITI

21 June 2021

1. Summary

Proposals are sought from qualified consultants to undertake an independent evaluation of the Extractive Industries Transparency Initiative's (EITI). The EITI Board has agreed that the Evaluation should be based on international best practice, aimed at providing credible and useful evidence to strengthen accountability for development results and to contribute to organisational learning.

The evaluation should combine: (1) country level studies that take into account national circumstances and objectives in EITI implementing countries; and (2) a global level evaluation based on the shared objectives as expressed in the 2019 EITI Standard. Reflecting the multi-stakeholder nature of the EITI, the evaluation should be based on a participative approach that captures diverse stakeholder perspectives and expectations. The final report should present a clear evaluation of the EITI's effectiveness, with practical recommendations addressed to the EITI Board on opportunities to further strengthen the EITI.

There will be a two-step tendering process. A request for Expressions of Interest will be used to identify a short list of potential consultants, who will be invited to submit full proposals. In both stages, consultants are encouraged to suggest appropriate methodologies and approaches for achieving the objectives of the Evaluation. The Evaluation has a maximum budget of $350,000 USD. Proposals will be evaluated on the basis of technical and financial aspects.

2. Background

The EITI is a global coalition of governments, companies and civil society working together to improve the openness and accountable management of oil, gas and minerals for the benefit of the citizens living in countries with significant resource endowments.[1] Guided by the belief that a country's natural resources belong to its citizens, the EITI has established a global standard to promote the open and accountable management of oil, gas and mineral resources. Initially designed to focus on company tax payments and government revenue disclosure, the EITI has evolved into a broader instrument seeking to improve transparency and accountability along the natural resource management value chain. The most recent articulation of these requirements is set out in the *2019 EITI Standard.*[2]

A key feature of EITI implementation is country ownership, based on the principle that the

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[1] www.eiti.org
[2] See: https://eiti.org/document/eiti-standard-2019

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"management of natural resource wealth for the benefit of a country's citizens is in the domain of sovereign governments to be exercised in the interest of their national development".[3] 55 countries are implementing the 2019 EITI Standard.[4] Through EITI implementation, governments commit to transparently disclose information about the country's extractive sector, including the legal framework, production and exports statistics, licenses, state participation in the sector, the amount of revenue collected, the beneficial owners of companies and how these revenues are allocated. Companies commit to transparently disclose payments related to their extractive industry activities. The publication, dissemination and public debate of this information enables citizens to hold their government to account for how the sector is managed and informs the formulation of government policy, and thus contribute to reducing the risk of mismanagement, corruption and conflict.

A multi-stakeholder approach is central to the operation and philosophy of the EITI and is reflected in how the EITI is governed and implemented. In each implementing country, a multi-stakeholder group (MSG) comprised of representatives from government, companies and civil society is established to oversee EITI implementation. Although the mandate of the MSG varies across countries, the MSG is the main decision-making body responsible for setting objectives for EITI implementation linked to wider national priorities in the extractive sector, producing EITI Reports, and ensuring that the findings contribute to public debate and policy. While the MSG has a mandate to determine the scope of the EITI in its country, the EITI Standard contains some minimum requirements including those related to the role, rights and responsibilities of the MSG. This includes the full, free, active and effective engagement by government, companies and civil society.

While these global standards are an essential feature of the EITI's work, EITI implementation at the national level also varies widely based on national circumstances and priorities. The EITI Standard specifically encourages implementing governments and MSGs "to explore innovative approaches to extending EITI implementation to inform public debate about natural resource governance and encourage high standards of transparency and accountability in public life, government operations and in business".[5] While country work plans increasingly include objectives for EITI implementation that are linked to wider challenges in the sector, it is recognised that the EITI is not yet delivering on its potential in some countries. Due to strict deadlines and consequences (including suspension and delisting), implementation activities often remain centred around the EITI reporting cycle.

Since its inception, the EITI approach to monitoring and evaluation has evolved considerably – both at the country-level and the global-level. An overview of this work is provided in Annex B. In late 2019 the International Secretariat commissioned an independent review to support the EITI Board and International Secretariat in developing its approach to evaluation and impact assessment.[6] This included a review of emerging best practice in results-based monitoring and evaluation in similar transparency and accountability and multi-stakeholder initiatives, and an evaluation of the EITI's current approach to results-based monitoring and evaluation at the

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[3] *Ibid*

[4] https://eiti.org/countries

[5] See 2019 EITI Standard Requirement 1.5: https://eiti.org/document/eiti-standard-2019#r1-5

[6] The report can be found here: https://eiti.org/document/results-measurement-impact-assessment-in-eiti-review-of-best-current-practice

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national and global level.

The final report found that the EITI's current approach to impact measurement at the country level does not sufficiently meet the EITI's evidence needs. In implementing countries, accounting for impact is generally motivated either by a perceived need to satisfy external stakeholders, or to ensure compliance with the Standard, often resulting in a box-ticking approach. The review highlights several obstacles, including the lack of technical, human and financial capacity for measurement, particularly at the country-level. At the global level, the report concluded that the EITI's monitoring and evaluation work is too focused on Validation results, and generally fails to meet evidence needs for implementation, justification, or promotion of the EITI.

In response to the Report, the EITI Board agreed a series of recommendations in June 2020.[7] This included improving guidance to implementing countries and the development of a country-sensitive results framework. The Board also agreed on the scope, timing and resourcing of an Independent Evaluation "based on international best practice, aimed at providing credible and useful evidence to strengthen accountability for development results, and to contribute to organisational learning". The Board has emphasized that the evaluation should build on existing approaches and previous evaluations (see Annex B), the findings from the independent review, and focus on developing practical recommendations addressed to the EITI Board on opportunities further strengthen the EITI.

3. Evaluation objectives

The EITI Board is seeking an evaluation of the relevance and effectiveness of the EITI work in implementing countries, taking into account the diversity of national circumstances, EITI objectives and diverse stakeholder perspectives and expectations. The evaluation should also consider the EITI's role in establishing and promoting global norms in relation to transparency and accountability in the oil, gas and mining sectors and the EITI's wider contribution to the implementation of the UN Sustainable Development Goals.

At the global level, the evaluation should consider the overall effectiveness of the EITI based on the shared objectives as expressed in the 2019 EITI Standard. This work includes the central features of EITI implementation, including the efficacy of the changes to the EITI Standard requirements in 2016 and 2019, and to consider early experience of flexible reporting.[8] **A key feature of this work to be addressed in this evaluation is the shift from standalone EITI reporting to "mainstreaming" and systematic disclosure of data through government and company systems.** Other major policy areas covered by the EITI's work include:

- Multi-stakeholder governance and civic space
- Tax transparency and domestic resource mobilisation
- License and contract transparency
- Beneficial ownership transparency

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[7] See the decision in full: https://eiti.org/board-decision/2020-36

[8] See https://eiti.org/blog/eiti-2016-standard-is-different-eiti-in-minute-recent-focus and https://eiti.org/document/presentation-on-changes-to-eiti-standard-2016-to-2019

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- Transparency in the trade of oil and minerals
- Transparency of state-owned enterprises
- Subnational transfers and expenditures
- Gender, social and environmental impact

More recently, the EITI Board has agreed recommendations relating to tackling corruption and energy transition, although it is not realistic to expect substantial results at this early stage.

The evaluation would be expected to address issues related to national implementation, including:

- Functioning and composition of multi-stakeholder group
- Capacity and effectiveness of national secretariat
- Quality and comprehensiveness of work plans
- Adherence to the civil society protocol
- Quality and comprehensiveness of reporting
- Progress on mainstreaming and systematic disclosure
- Validation and lesson learning adequacy of the technical and financial support provided to EITI implementing countries.

The question of EITI effectiveness is complicated and it is not possible to comprehensively address all of the policy areas referenced above within the limits of this Evaluation. Proposals are expected suggest approaches and methodologies that acknowledge this and are designed achieve the overall objectives of the Evaluation in light of these limitations and trade-offs. Proposals should have a clear strategy and justification for prioritizing and contextualizing different types of evidence. Specifically, they should explain how specific methodologies and approaches will support evaluation in this implementation context, and support the delivery of

- an analysis of the EITI's effectiveness as a global policy intermediary, in providing support to country implementation, and as a national mechanism for improving resource; governance and achieving outcomes; and
- practical recommendations addressed to the EITI Board on opportunities to further strengthen the EITI.

4. Methodology

The consultant should suggest an appropriate methodology to achieve the objectives presented above, and in accordance with recognised professional standards in the field of evaluation or in relevant social science disciplines. This should include a combination of country case studies and reviews of specific policy areas based on a desk review of EITI documentation and publications, as well as through stakeholder consultations at the global and national level. In light of the ongoing travel restrictions associated with COVID-19, the consultant should suggest a budget that includes travel to the implementing countries, with a contingency approach based on remote consultations. The budgetary implications of both approaches should be clearly specified.

The EITI Board has indicated that it would prefer a minimum of five country case studies and in-depth reviews of at least three policy areas, but consultants are encouraged to propose methodologies that they believe best address the Evaluation's objectives.

Regardless of specific methodologies and scope, the evaluation should be based on a participatory approach that reflects the multi-stakeholder nature of the EITI and captures diverse stakeholder perspectives and expectations. Particular attention should be given to include disadvantaged groups such as women, youth and representatives from local communities. Additionally, the Board has requested the evaluation be undertaken in line with international best practice. Drawing on the OECD's DAC criteria, the evaluation team should consider questions related to the EITI's relevance, coherence, effectiveness, efficiency, impact, sustainability, and reach.[9]

The evaluation should build on recent research on the EITI's impact (see Annex A) and the EITI's built-in mechanisms at the EITI for monitoring and evaluation (see Annex B). The evaluation should also draw on and complement a number of ongoing M&E projects, including county evaluations of the EITI impact on issues including anti-corruption efforts, beneficial ownership and SOE/commodity trading transparency.

The EITI International Secretariat will support consultants in finalizing methodologies during the inception phase. This will include:

- Guidance to identify and access appropriate documentation for desk review,
- collaboration to identify appropriate country studies, acknowledging varied length of EITI membership, as well as approaches and substantive focus in EITI implementation, and
- validate and refine hypotheses and assumptions in Evaluation design.

5. Stakeholder consultation

Since stakeholders directly associated with the EITI normally have better access to, the evaluation team shall actively try to balance inputs and influence from different categories of stakeholders over the evaluation process and results. Particular attention should be given to stakeholders who have limited influence over EITI strategy and decision making, including marginalised groups.

All parts of the evaluation process shall be carried out in accordance with recognised ethical standards. The rights and welfare of all participants in the evaluation shall be protected and informed consent obtained.

When interacting with stakeholders the team shall behave professionally and respectfully, strive to reduce the time and other demands on stakeholders, and actively manage expectations to avoid unjustified expectations among for continued assistance.

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[9] In line with the OECD's best practice guidelines for evaluation interventions. See for more information: https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm

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The evaluation team shall show sensitivity to gender, beliefs, manners and customs of all stakeholders and act with integrity and honesty. The anonymity and confidentiality of individual informants shall be protected when requested and/or as required by law, the context or ethical considerations. Direct references to informants' statements in reports shall be done in ways that do not make it possible to trace statements to individuals, unless agreed with the informant concerned or unless the statements were made in public.

If the evaluation team during implementation finds any reason to suspect corruption, misuse of EITI funds or breaches of the EITI Association Code of Conduct,[10] the team shall immediately inform the EITI International Secretariat or use the 'Report a concern' procedures described on the EITI's website.[11]

6. Indicative Timeline and milestones

An indicative timeframe for the evaluation is set out below. The schedule will be further refined during the procurement and contracting process, taking the COVID-19 situation and the timing of the next EITI Global Conference and members' meeting into account.

Milestone	Timing
Deadline expressions of interest (EOI)	16 July 2021
Shortlisted Candidates are contacted	23 July 2021
Q&A sessions with shortlisted candidates	27 July 2021
Deadline to submit written questions	15 August 2021
Deadline for Request for Proposals (RFP)	31 August 2021
Contract signature	30 September 2021
Commencement of the study	October 2021
Inception phase & initial report	End December 2021
Desk review Case studies & stakeholder consultation Analysis and drafting	Q1 2021
Submission of the draft report	May 2022
Presentation of the draft report and initial findings	June 2022
Board comments	July 2022
Submission of the final report	August 2022

7. Qualification requirements

The consultant must be a reputable firm, perceived by EITI stakeholders to be credible, trustworthy and technically competent. The consultant will need to demonstrate:

- Expertise in results-based monitoring and evaluation in similar governance and

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[10] https://eiti.org/document/eiti-association-code-of-conduct
[11] https://eiti.org/report-concern

transparency multi-stakeholder initiatives;

- Understanding of governance issues in the oil, gas and mining sectors.

- Previous experience with EITI is not required but would be advantageous.

- Credibility and independence: the consultant needs to be credible in the eyes of the host governments, the private sector and civil society.

- A team that is able to consult stakeholders in English, French, Spanish and Russian.

In order to ensure the quality and independence of the exercise, consultant is required, in their technical proposal, to disclose any actual or potential conflicts of interest, together with commentary on how any such conflict can be avoided.

8. Administrative support

The support provided to the consultant during the task and all other logistical and administrative criteria shall be specified in the contract.

9. Procurement procedure

A consultant will be selected following a quality- and cost-based selection procedure. Initially, consultants are invited to submit an expression of interest by **COB Friday, 16 July 2021** to Shemshat Kasimova (skasimova@eiti.org).

Expressions of Interest should include:

- A short (1-2 page) description of the consultant's strategy to address the Evaluation's methodology and scope, including specific approaches, steps, and priorities.
- A brief overview of previous experience and expertise, demonstrating the required qualifications and relevant experience to perform the Evaluation,
- A brief overview of key individuals and experts, highlighting their qualifications and expertise.

Consultants may associate with other firms in the form of a collaboration or a sub-consultancy to enhance their qualifications.

A shortlist of firms will then be invited submit written questions and to attend an online question and answer session before submitting more detailed technical and financial proposals. Detailed proposals should include:

- The **Technical Proposal** should outline: (a) the experience of the firm / consultants, (b) the proposed methodology and work plan in response to the Terms of Reference (TORs) and (c) the key experts' qualifications and competence, including CVs.

- The **Financial Proposal** should clearly indicate a lump sum financial proposal, <u>inclusive</u> of all applicable taxes, in USD or Norwegian Kroner (if Norway-based). The financial proposal should clearly differentiate fees from any other reimbursable expenses. The daily rates for the consultant fees should be clearly indicated.

The criteria for assessing the proposals is as follows:

Criteria	Weighting
Experience of the Consultant (as a firm) relevant to the assignment	10%
Key experts' qualifications and competence based on the Qualification requirements (see section 6 above)	40%
Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs)[12]	50%

The weights given to the technical (T) and financial (P) proposals are:

T =   70%
P =   30%

Additional details will be provided in the request for proposals (RFP).

Contract negotiations will be held with the highest ranked consultant or firm. A template contract is attached below. If contract negotiations are unsuccessful, negotiations will be held with the next highest ranked firm.

10. Deliverables and payment schedule

The consultant is expected to produce an inception report, draft report and final report. The draft report and final report will be presented to the EITI Board, either directly or via the EITI Board's Implementation Committee.

	Deliverable	Payment
1st **Payment**	Following EITI acceptance of the inception report.	30%
2nd **Payment**	Following submission of the draft report.	30%
3rd **Payment**	Following EITI acceptance of the final Report.	40%

11. Data and facilities to be provided by the Client

The EITI International Secretariat will provide all the necessary documentation needed to undertake the evaluation and will facilitate contact with EITI stakeholders as needed.

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[12] The Client will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and implementable; overall team composition is balanced and has an appropriate skills mix; and the work plan has right input of experts

The EITI Secretariat contact point for the assignment is:

Shemshat Kasimova
Projects & Board Liaison Manager
skasimova@eiti.org

Annex A: Recent research on the EITI's impact

The EITI has also been the subject of dozens of independent evaluations and research projects[13]. The Report commissioned by the International Secretariat on the results measurement and impact assessment in the EITI[14] includes an annotated bibliography of some key research papers on the EITI.

Since then, several other studies have been published. The paper by Benjamin Sovacool[15] asks if the transparency promulgated by the EITI produces better governance and development outcomes (what the EITI refers to as "big picture impact indicators" in its KPIs, see **Error! Reference source not found.**). The paper finds some evidence of the EITI's contribution to those goals for a narrow selection of countries, over 20 years. Other quantitative and comparative assessments have provided evidence supporting the notion that EITI contributes to outcomes as diverse as tax revenue mobilization,[16] and trust in politicians,[17] and that civil society participation contributes to strengthening EITI outcomes.[18]

The initial report from the Leveraging Transparency to Reduce Corruption (LTRC) project, by the Brookings Institution, Results for Development and the Natural Resource Governance Institute, was published in June 2020 and includes a review of the literature on the EITI's impact. Its report looks more narrowly on combatting corruption, and not wider good governance issues, such as improving service delivery and internal oversight.[19]

In 2017, U4 undertook a review of 50 evaluations of the EITI.[20] They ask *"Has the EITI been successful?"*, and conclude:

> *Many efforts have been devoted to improving resource governance through the Extractive Industries Transparency Initiative. A review of 50 evaluations concludes that the EITI has succeeded in diffusing the norm of transparency, establishing the EITI standard, and institutionalizing transparency practices.*

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[13] A google scholar search for "Extractive Industries Transparency Initiative" gives about 37'500 results. The EITI highlights *some* of the research that is freely accessible on its website: eiti.org/publications

[14] By Christopher Wilson. Available on our website: https://eiti.org/document/results-measurement-impact-assessment-in-eiti-review-of-best-current-practice May 2020.

[15] Is sunshine the best disinfectant? Evaluating the global effectiveness of the EITI, published in Extractive Industries and Society, September 2020. Behind paywall.

[16] Mawejje, J. (2019). Natural resources governance and tax revenue mobilization in sub saharan Africa: The role of EITI. Resources Policy, 62(February), 176–183. https://doi.org/10.1016/j.resourpol.2019.04.001; Kinda, H. (2021). Does transparency pay? The impact of EITI on tax revenues in resource-rich developing countries (No. hal-03208955 HAL). Retrieved from https://hal.uca.fr/hal-03208955

[17] Fenton Villar, P. (2020). The Extractive Industries Transparency Initiative (EITI) and trust in politicians. Resources Policy, 68(April), 101713. https://doi.org/10.1016/j.resourpol.2020.101713

[18] Wilson, C., Claussen, C., & Valverde, P. (2021). Does civil society matter for natural resource governance? A comparative analysis of multi-stakeholder participation and EITI validation outcomes. Resources Policy, 72(March), 102084. https://doi.org/10.1016/j.resourpol.2021.102084

[19] Section 2.4 includes a full evaluation of the EITI, including successes and failures of combatting corruption. https://www.brookings.edu/about-the-leveraging-transparency-to-reduce-corruption-project/

[20] See https://www.u4.no/publications/has-the-eiti-been-successful-reviewing-evaluations-of-the-extractive-industries-transparency-initiative

Yet, there remains an evidence gap with regard to the mechanisms linking EITI adoption and development outcomes. Addressing this gap will require developing a theory of change for the EITI and demonstrating causality through more sophisticated methods. The cost-effectiveness of the EITI will also need to be compared to other policy options.

Developing "a [single] theory of change for the EITI [globally] and demonstrating causality through more sophisticated methods", as suggested above, is particularly challenging. Some studies, such as Papyrakis, Rieger & Gilberthorpe (2016) focus specifically on the impact of the EITI on corruption.[21] Others, such as Acosta (2013) take a wider approach a seek to measure the impact and effectiveness on a wider set of governance improvements.[22] Research based on the U4 study proposes three Theories of Change ("name-and-shame", "public debate" and "technical reform") through which EITI might achieve impact and which should be adapted to country contexts.[23]

The challenge is that EITI stakeholders understand and measure impact in different ways, depending on their background, viewpoint and priorities. For some, it is about creating trust and lessening conflict, for others it is about economic growth, attracting investments, widening the democratic space or improving government accountability. The TAI Study "Assessing the Evidence: The Effectiveness and Impact of Public Governance-Oriented Multi-Stakeholder Initiatives" provides a useful framework for such an approach.[24]

The BMZ-supported 2016 study "The Assessing the Effectiveness and Impact of the Extractive Industries Transparency Initiative (EITI)" by GIZ took the form of a contribution analysis applying a mix of methods of empirical social research (quantitative and qualitative data collection methods and data analysis) including a perception-based approach by survey.[25] It showed that mere quantitative analyses of panel or cross-sectional data to tease out statistical relationships driving observed changes by regression analysis were not adequate to address key issues of impact and causality. The following EITI results areas, that can be considered as key thematic domains of change, have been modelled in this study: 1) Fiscal transparency, 2) Public debate, 3) Anti-corruption, and 4) Trade and investment climate. It provided guidance to set up evaluation of this multi-stakeholder initiative in a way that can be robust enough to survive short-term changes of the evolving initiative, but also flexible enough to measure outcomes and impacts over the long term. As a priority, it recommended developing and applying adequate monitoring and evaluation (M&E) for in-country implementation.

Similarly, a recent mapping of the impact of transparency and accountability interventions in the

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[21] See https://www.tandfonline.com/doi/full/10.1080/00220388.2016.1160065?scroll=top&needAccess=true
[22] See https://onlinelibrary.wiley.com/doi/10.1111/dpr.12021
[23] Le Billon, P., Lujala, P., & Rustad, S. A. (2020). A Theory of Change for the Extractive Industries Transparency Initiative: Designing resource governance pathways to improve developmental outcomes. U4 issue. Retrieved from https://www.u4.no/publications/a-theory-of-change-for-the-extractive-industries-transparency-initiative.pdf.
[24] See https://www.transparency-initiative.org/blog/429/assessing-the-evidence-the-effectiveness-and-impact-of-public-governance-oriented-multi-stakeholder-initiatives/
[25] See
http://www.bmz.de/rue/en/releases/aktuelleMeldungen/2016/september/20160923_EITIimpactstudy_Publikation/index.html

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extractive sector[26] concluded that:

> "Given the large investments geared towards transparency and accountability programmes by global initiatives and national authorities, the lack of rigorous evaluation and accountability for results is alarming. At present, we do not know the extent to which programmes achieve their objectives. There is an urgent need to invest in rigorous impact evaluations to learn about the effects of these interventions."

As with the review of the EITI's approach to evaluation and impact assessment, the Independent evaluation would need to take into account: (1) the diversity of implementing country circumstances; (2) the divergent (and sometimes conflicting) expectations of different stakeholders and (3) the varying level of capacity of national stakeholders to identify and evaluate impact.

Annex B: The EITI's mechanisms for monitoring and evaluation

From the outset, the EITI has worked to develop tools to ensure that the EITI is relevant to the national context. The Standard has, as a built-in feature, a monitoring and evaluation mechanism to ensure the effectiveness of EITI implementation. The in-built elements are described below. The most recent impact review concluded that stakeholders feel that the below approach insufficiently captures the outcomes and impacts the EITI has on good governance efforts[27].

(a) Country level evaluations

Each year, the MSG is required to review the outcomes and impact of EITI implementation on natural resource governance.[28] There have been a wide array of monitoring and evaluation activities. Several countries have commissioned independent evaluations. Few MSGs have some form of monitoring framework that builds on the basic tracking possibility given by work plans.

Prior to 2019, the EITI Standard required that this work was documented in Annual Progress Reports (APRs) which were submitted to the EITI International Secretariat.[29] The EITI undertook an internal review of APRs in 2017.[30] The review concluded that: "... the APRs and the template in their current form fail to tell the story of the EITI or show impact in the 52 countries. Furthermore, they do not appear to be in a good format for communicating the EITI to a wider audience". [31] In most cases, the APRs focused on documenting the activities that had been undertaken and the

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[26] October 2019; The effect of transparency and accountability interventions in the extractive sectors: an evidence gap map, 3ie Evidence gap map report. Available here: https://www.3ieimpact.org/evidence-hub/publications/evidence-gap-maps/effect-transparency-and-accountability-interventions

[27] Results Measurement and Impact Assessment in EITI: a Review of Best and Current Practice. Independent review conducted by Christopher Wilson, 8 May 2020. Available on our website: https://eiti.org/document/results-measurement-impact-assessment-in-eiti-review-of-best-current-practice

[28] See requirement 7.4: https://eiti.org/document/eiti-standard-2019#r7-4 .

[29] A compendium of APRs is available here.

[30] See Board Paper 38-2-A Implementation Progress Report (IPR) June – October 2017. "Thematic focus: Review of the 2016 Annual Progress Reports".

[31] Ibid

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outputs that had been produced, with limited analysis of the impact of this work.

In the 2019 EITI Standard, the requirement to review the outcomes and impact of EITI implementation was revised to provide greater flexibility for implementing countries to document the impact of EITI implementation, including whether the objectives for implementation are being fulfilled. The annual review of impact and outcomes must include:

- A summary of EITI activities undertaken in the previous year and an account of the outcomes of these activities;

- An assessment of progress towards meeting each EITI Requirement, and any steps taken to exceed the requirements. This should include any actions undertaken to address issues that the multi-stakeholder group has identified as priorities for EITI implementation;

- An overview of the multi-stakeholder group's responses to and progress made in addressing the recommendations from reconciliation and Validation.

- An assessment of progress towards achieving the objectives set out in its work plan (Requirement 1.5), including the impact and outcomes of the stated objectives.

- A narrative account of efforts to strengthen the impact of EITI implementation on natural resource governance, including any actions to extend the detail and scope of EITI reporting or to increase engagement with stakeholders.

- In addition, the multi-stakeholder group is encouraged to document how it has taken gender considerations and inclusiveness into account.

There is no standardised template for these reports.[32]

(b) Validation

The evaluation activities undertaken by the national MSG is complemented by an independent Validation.[33] Validation is a quality assurance mechanism, where the Board regularly reviews the country's progress in reaching the disclosure, governance and communications requirements of the EITI Standard.

The Validation model is currently under review and expected to be finalised in December 2020. The new model will have a stronger focus on rewarding impact and supporting learning.[34] The new Validation model is expected to be rolled out in April 2021. It will take one to three years for all countries to be examined under the new model, and thus the effect of the new assessment model on impact is yet to be seen in the coming years.

What remains the same, is that Validation is intended to provide all stakeholders with an impartial assessment of whether EITI implementation in a country is in line with the provisions of

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[32] You may find examples of progress reports on our website: eiti.org/publications
[33] See https://eiti.org/overview-of-validation
[34] See for more background: https://eiti.org/news/new-approach-to-assessing-progress-in-eiti-countries

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the EITI Standard. The Validation report, in addition, seeks to identify the impact of the EITI in the country being validated, the implementation of activities encouraged by the EITI Standard, lessons learnt in EITI implementation, as well as any concerns stakeholders have expressed and recommendations for future implementation of the EITI. Almost 90% of EITI countries have completed their first Validation since the process was introduced in 2016, producing a substantial dataset that covers 2,224 individual requirements of the EITI Standard.[35] To date, 21 countries have undergone a subsequent Validation. While there is evidence of backsliding in some countries, many second Validations reveal progress on addressing shortcomings identified in corrective actions. Out of the 544 corrective actions that were identified in first Validations, 154 were considered to have been fully addressed in the latest Validations.

Validation provides a very detailed and rigorous assessment of adherence to the EITI Standard and has been a catalyst to address aspects of EITI implementation that multi-stakeholder groups (MSGs) have found challenging. Validation has also identified weaknesses in EITI implementation that have not previously been identified by government agencies, MSGs, Independent Administrators, or the International Secretariat.

Validation has also been an opportunity to review the effectiveness of EITI implementation. The EITI Standard specifies disclosure requirements, but the objectives of this work need to be contextualised by MSGs in implementing countries. **In most cases, Validation has shown that the EITI objectives (as documented in the work plan) are too general to be practically relevant for implementation. While the EITI process and outputs are valued by stakeholders, the impact of EITI implementation is often unclear.** Validation has often identified opportunities for the EITI to have a greater impact in informing public debate. However, the current Validation model tends to focus on the technical corrective actions needed to achieve compliance rather than the wider opportunities to increase the relevance of EITI implementation for all stakeholders – an issue which is being address by the new Validation model as mentioned above.

(c) Global KPIs and Evaluations

In 2018 the EITI Board agreed an approach for or measuring the results of the EITI Management and Secretariat.[36] It has three dimensions:[37]

1. **Secretariat's effectiveness indicators that monitor value for money.** These can be directly linked to the International Secretariat's and the EITI Board's activity: input and output in relationship to the allocation of budget and staff time.

2. **Outcome indicators quantify the number of countries with transparent systems.** These are based on the outcomes of Validation, the quality assurance mechanism of EITI implementation. It measures the number of countries that have achieved "satisfactory progress" or "beyond" on the related EITI Requirements. It is assumed that the countries with those "grades" have transparent systems.

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[35] See https://eiti.org/blog/crunching-numbers-on-eiti-validation. Figures updated as of 28 October 2020.
[36] See https://eiti.org/board-decision/2018-30
[37] See https://eiti.org/KPIs

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The level of transparency can partly be attributed to EITI implementation. Other factors, such as political will and opportunity, as well as work by partners (for example the World Bank and NRGI) may also impact a country's performance.

3. **Impact indicators, or "big picture" indicators**, measure the direction of travel of EITI countries based on indexes that measure the quality of governance. Although not attributable to any single organisation, selected proxy indicators such as investment climate, human capital spending, corruption and poverty levels are all relevant to the EITI's goals. If the EITI is successfully being implemented in accordance with its Principles, countries should score better every year on those selected indexes.

The International Secretariat documents these indicators in its yearly Secretariat Work plan[38], under the annex "Key Performance Indicators (KPIs)". The International Secretariat highlights progress and impact across EITI countries in its annual report, "Progress Report".[39]

(d) Evaluation and Impact

Finally, the EITI has undertaken and supported several independent evaluations:[40]

- In late 2019, the International Secretariat commissioned an independent review of the EITI's approach to evaluation and impact assessment emerging best practices and recommendations for improving strengthening the EITI's approach, both at the International Secretariat and implementing countries.

  One of the recommendations of the report was to undertake an independent evaluation, and to allow for other impact strengthening activities to show effect on capturing evidence of impact.[41]

- In late 2015, a "Review of the International Governance and Oversight of the EITI"[42] analysed the effectiveness and accountability of the EITI Board and the International Secretariat. The governance and oversight review was carried out to ensure that the EITI is appropriately governed and has desired oversight is provided to the EITI International Secretariat and implementation as a whole.

- In 2015, the EITI and World Bank's EITI Multi-donor Trust Fund commissioned a joint review of "Resourcing of the Extractive Industries Transparency Initiative".[43] This was not an impact evaluation. The objective of the joint review was "to assess if support to EITI implementing countries is appropriately organized and resourced". The review provided a series of recommendations to strengthen technical and financial support at the national and global level.

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[38] See https://eiti.org/document/secretariat-work-plan-20072019
[39] See here
[40] All studies are available on our website: https://eiti.org/outcomes-impact-of-eiti#external-evaluations-of-the-eiti
[41] See section 4.1.5 Results Measurement and Impact Assessment in EITI: a Review of Best and Current Practice. See preceding footnote for links.
[42] See https://eiti.org/document/review-of-international-governance-oversight-of-eiti
[43] See https://eiti.org/document/joint-review-eiti-eiti-multidonor-trust-fund-resourcing-of-extractive-industries

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- In 2011, the EITI Board commissioned a review entitled: "Achievements and Strategic Options: Evaluation of the Extractive Industries Transparency Initiative".[44] This review played a key role in expanding the scope of EITI implementation through the 2013 EITI Standard.[45]

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[44] See https://eiti.org/document/achievements-strategic-options-evaluation-of-extractive-industries-transparency-initiative

[45] See https://eiti.org/blog/charting-next-steps-for-transparency-in-extractives

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Annex C: Template contract

CONTRACT

between

The Extractive Industries Transparency Initiative – EITI
Rådhusgata 26,
0151 Oslo
Norway

And

Name,
Street
City, Country

1. ASSIGNMENT

1.1 Contents

This contract provides for "NAME OF THE ASSIGNMENT" between [NAME OF CONSULTANT] ("the consultant") and the EITI Secretariat ("The Client"). The terms of reference for tasks to be carried out under this contract will be agreed in writing prior to the initiation of each task in accordance with the terms of reference outlined in Annex XXX. In the event of any discrepancy between this Contract and the ToR for Individual assignments, the provisions of this Contract shall prevail.

1.2 Duration

The assignment will take effect as of TBC and shall be completed by TBC.

Additional pieces of work with given working days shall be agreed between both parties and will be seen as binding limitations on the scope and duration of work falling under this contract.

1.3 Administration

The consultant will report to Sam Bartlett, Technical Director and other staff at the EITI Secretariat as directed.

2 FEES AND PAYMENT

2.1 Fees

The consultant will be paid a total fixed fee of [CURRENCY AND AMOUNT] (AMOUNT IN LETTERS only) for completing the ToRs (Annex A) inclusive of all taxes and mandatory payments.

2.2 Reimbursables

Not applicable.

2.3 Payment

Invoices should be submitted to the EITI International Secretariat, following the Secretariats approval of agreed deliverables. The Consultant will be paid in full within two weeks of receipt of Invoice.

3 CONFIDENTIALITY, CONFLICT OF INTEREST AND PROPERTY RIGHTS

The consultant shall not disclose to any third party any information relating to the services under this contract, which could be considered confidential (other than in the proper performance of this contract or as may be required by law). The consultant shall immediately notify the EITI of any circumstances which may place the consultant in a real or apparent conflict of interest in relation to the services under this contract or the interests of the EITI generally.

4 FORCE MAJEURE

If a situation arises that under the normal rules of contract law must be considered to be an event of force majeure, this contract shall not be considered breached while the force majeure situation continues. If the force-majeure situation continues, or can be expected to continue, for more than 60 days, either party can terminate the contract by giving 30 days' notice.

5 RESPONSIBILITY OF THE PARTIES

5.1 The consultant's responsibility

a. The consultant is responsible for ensuring that the assignment is carried out in accordance with the contract and that the quality of the assignment result satisfies the requirements that could reasonably be specified on the basis of the assumed professional competence of the consultant.

b. The consultant is responsible for breaches of time limits and the financial budget that result from the negligence or intentional acts of him/her.

c. The consultant undertakes to keep the EITI Secretariat informed of progress and promptly to inform the EITI Secretariat of circumstances that may cause delays, prevent completion of the assignment, or in any other way affect completion.

d. The Consultant's area of responsibility as set out in a., b. and c. also includes quality deficits and delays in completion of the Assignment, caused by any contractors engaged by the

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consultant or by the Secretariat.

5.2 The Client's responsibility

a. The EITI Secretariat will issue clear terms of reference for each assignment, maintain close communication with the consultant, and expeditiously provide feedback on draft deliverables.

b. The Secretariat will make available to the consultant the necessary data and information necessary to carry out the prescribed tasks, and will work to ensure good access to relevant stakeholders and contacts within EITI implementing countries and supporting organizations as needed.

6 BREACH - SANCTIONS

a. In the case of breaches as set out in paragraphs 5.1 that are not due to the EITI's conduct or circumstances as set out in paragraph 5.2, the Secretariat can require the consultant to remedy the breach(es) at his own expense, as long as this does not occasion unreasonable costs or inconvenience.

b. If the breaches are not remedied in accordance with the quality requirements set out in paragraphs 5.1, or this does not occur within a reasonable period after the Secretariat has complained about the breaches, the Secretariat can claim a price reduction corresponding to the cost of carrying out the assignment.

c. A party may terminate the contract when the breach of the other party is substantial.

d. A party may claim compensation for the loss he/she suffers as a result of the breach of the other party, in accordance with the general rules on compensation in contractual relationships. The party shall be put in the same financial position he/she would have been in had the contract been properly fulfilled.

e. A party loses his/her right to enforce a sanction against the other party if he/she does not give notice of the claim to the other party within a reasonable period of becoming aware of the circumstances that constitute the basis for the sanction.

7 DURATION - TERMINATION

The contract remains in force until the assignment is completed and all payments, pursuant to invoices, have been made, but it can be terminated by the Secretariat on 14 days' written notice without giving reasons. In the case of such termination, the Secretariat shall pay the consultant's fee for work carried out and Travel Costs and shall pay financial compensation for expenses the consultant has incurred in connection with the early termination of the assignment.

The consultant may, if the Secretariat makes significant changes to the content or extent of the assignment, terminate the contract by giving 14 days' written notice. The Consultant is obliged to complete and deliver work already started.

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8   CHOICE OF LAW - DISPUTES

The parties' rights and obligations under this contract are governed in their entirety by Norwegian law. Disputes that arise under this contract shall, if they cannot be resolved by negotiation between the parties, be heard by the district court of Oslo.

9   ENQUIRIES

All enquiries concerning this contract should be directed to:

EITI	Consultant:
Mark Robinson	XXXXXXXXXXXXX
Executive Director	XXXXXXXXXXXXX
MRobinson@eiti.org	XXXXXXXXXXXXX

This contract is signed in **2 (two) copies**, of which each party keeps 1 (one) copy.

For the EITI: The Consultant:

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Date: [DATE]   Date: [DATE]

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Appendix B
Project Steering Group Terms of Reference

Project Steering Group for the Independent Evaluation of the Extractive Industries Transparency Initiative (EITI)

Background

The EITI Board has commissioned an independent evaluation of the EITI at all levels of the initiative – from the EITI's role establishing and promoting global transparency and accountability norms in the oil, gas and mining sectors, to EITI activities in implementing countries.

The evaluation is being carried out by a consortium of Voconiq and Square Circle ('VQ-SC'). Following EITI's approach to multistakeholder governance and open data, the EITI Secretariat and the VQ-SC Project Team are committed to an 'open evaluation' process in which stakeholders are involved at all points of the evaluation. With that in mind, a Project Steering Group (PSG) is being formed to help guide the evaluation.

Role

The PSG will have the following broad responsibilities:

- Providing input into the design of the evaluation, including advising the EITI Secretariat and the VQ-SC Project Team on issues of project scope and focus.

- Working with the Secretariat and the VQ-SC Project Team to ensure that EITI stakeholder constituencies are involved and participate actively in the evaluation.

- Identifying expertise, data, and resources that should be considered by the evaluation.

- Anticipating and supporting the mainstreaming of the evaluation's key learnings – i.e., working with the Secretariat and VQ-SC Project Team to ensure that the evaluation process and deliverables directly support EITI country implementation, as well as global outreach and advocacy.

Participation

It is expected that the PSG will meet virtually every 6–8 weeks from November 2021 until August 2022. An online project collaboration workspace is also being developed to allow the PSG, the Secretariat, and the VQ-SC Project Team to collaborate outside of scheduled meeting times. This flexible approach will also allow PSG members to review the work as it happens, and provide timely advice on areas of interest and expertise – while avoiding going into detail in areas outside of member's interest. PSG members will also be invited to participate in key elements of the evaluation itself – e.g., key stakeholder interviews, policy deep dives, and country case studies.

Membership

We anticipate a PSG of approximately 15 members from across the different EITI constituencies, the EITI Secretariat, and the Project Team.

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Appendix C
Voconiq – Square Circle Project Team

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