Independent Evaluation of the Extractive Industries Transparency Initiative

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

4 March 2022
Version 1.2 - FINAL

1. IS EITI EFFECTIVE?
2. ARE EITI POLICIES AND INTERVENTIONS RELEVANT?
3. WHAT IMPACT DOES EITI CONTRIBUTE TO (BOTH INTENDED AND UNINTENDED)?
4. ARE EITI INTERVENTIONS SUSTAINABLE?

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 fundamental 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.

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 multi-stakeholder **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.

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.

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. The evaluation recognises, however, 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.

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.

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 which 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'.

The evaluation will create new data and engage new stakeholders

Evaluation exercises can sometimes risk engaging with only 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 insight**. 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.

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 short; presented through a variety of different media and platforms; and have a meticulous focus on **practicality and useability.** There will be no monolith.

Get involved

Anyone wishing to follow the progress of the project can find information, reports, and findings as they emerge on the project website at www.eitiopenevaluation.org The Voconiq – Square Circle Consortium project team can be contacted at XYZ

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1. 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.

2. 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.

2.1 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.

2.1.1 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	#	Organisation	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		Mark Robinson	

	8	International Secretariat	Joanne Jones	
	9		Gisela Grando	
	10		Edwin Wuadom Warden	
Partner/Peers	11	World Bank	Anwar Ravat	
	12	Open Government Partnership	Munyema Hasan	
	13	OECD	Catherine Anderson	

2.1.2   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.

2.1.3   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.

2.2 Project Management

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

2.2.1 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, Zimbabwe and Indonesia, in addition to VQ-SC staff in Australia. The roles and profile links for all team members are in Appendix C.

2.2.2 Adaptive Project Plan

A project plan has been developed for the evaluation in an online collaborative platform. 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.

2.2.3 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	
4 Country Case Studies	
5 Policy Deep Dives	
6 GSI	
7 Qual methods	
8 Mainstreaming	

On Track   Issues   At Risk   Insufficient data

Figure 1:   Project reporting format

2.2.4   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.

2.2.5   Project Management impacts from the COVID pandemic

The initial project ToR asked for different approaches to managing risks associated with the COVID pandemic. In the time since the procurement process and project inception phase, there has been considerable change in the global COVID 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 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:

  o Increasing the recruitment of participants for Governance Sentiment Instrument (GSI) #1 ('Insiders'); and/or

  o Increasing the number of case study countries covered by GSI #2 ('Citizens'); and/or

  o Additional remote interviews and desktop research as required; and/or

  o Developing additional online resources to assist with the mainstreaming of the evaluation results in EITI implementing countries.

2.3   'Open Evaluation' approach

2.3.1   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 multi-stakeholder 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' to 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 (see 2.3.2 below).

- Ensuring that project deliverables are concise and accessible, with a strong focus on recommendations and practical end-use by EITI implementing countries.

2.3.2   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:

- Establishment of the project website for the open evaluation. This will include ongoing progress updates on the website blog as well as the ability to ask questions of the project team during the research.

- A process to submit any comments or feedback to the Project Team through the evaluation website, or to request a consultation.

- Consultation with stakeholders involved in 10 case study countries.

- Holding 1-2 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.

2.3.3   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.
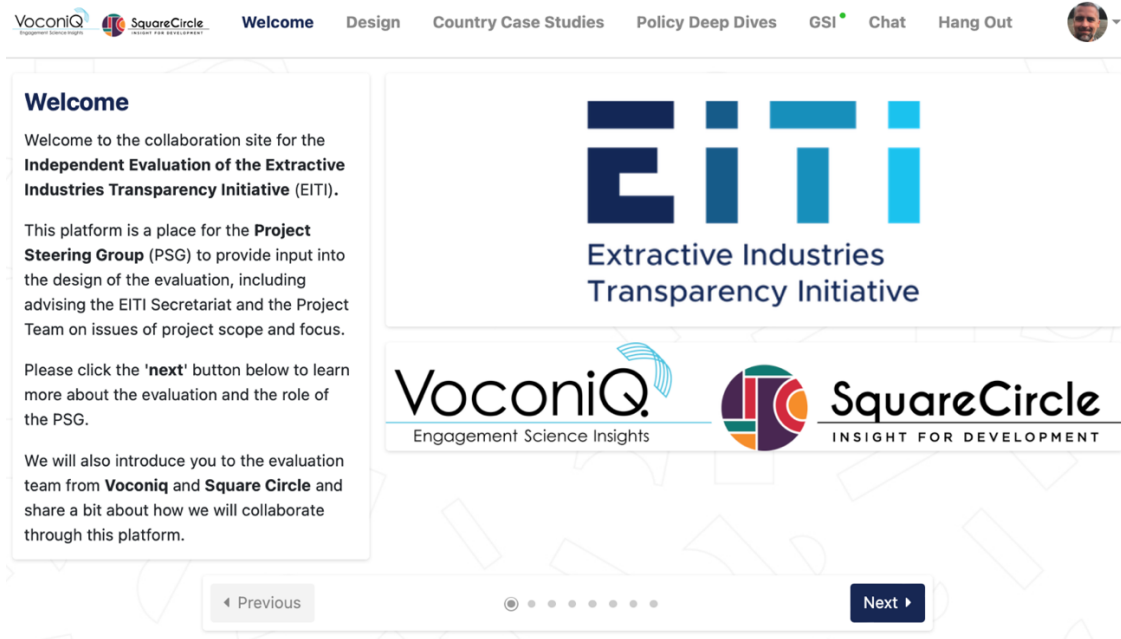
Figure 2:   Howspace collaborative platform

2.3.4   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 into the evaluation by providing open feedback forms and the option to request a consultation with the VQ-SC Project Team.

2.3.5   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

3.   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.

3.1   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

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

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

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

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

3.2 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

3.2.1 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.
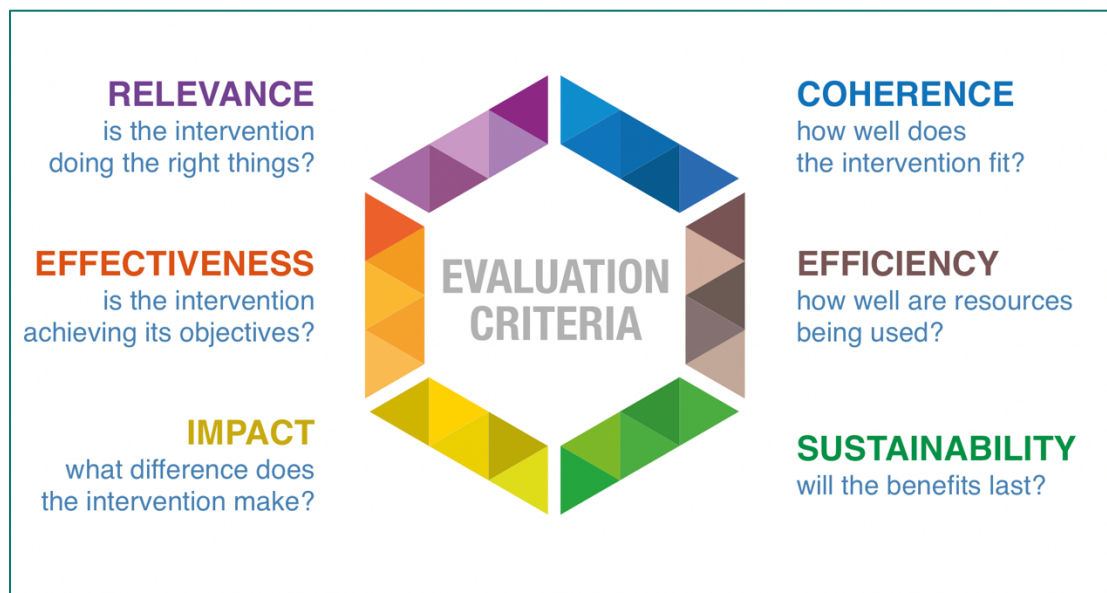

Figure 4:   The OECD DAC Evaluation Criteria. Source: OECD.

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'.
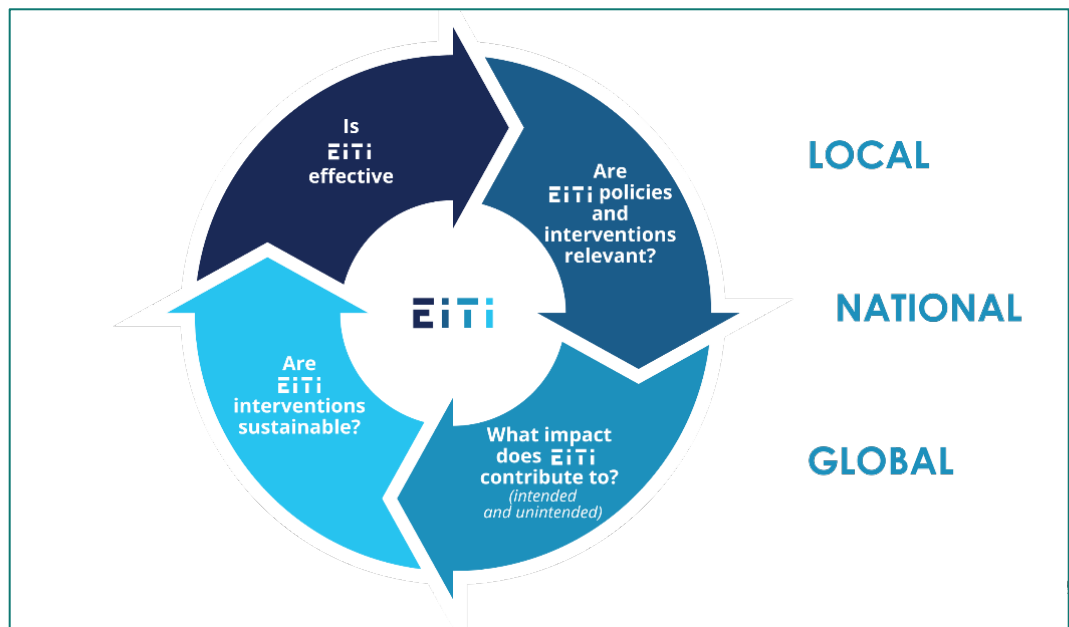

Figure 5:   Evaluation questions

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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). This information we can triangulate 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 enable or undermine 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?

3.2.2   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.

3.2.3   Desktop research

The project team will review known research on evaluation of EITI, both globally as well as 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.

3.2.4   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 some of which had high levels of human development and others which 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 it provides any particular mix of the above criteria — or that the 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]

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 the 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.

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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: Poulis, K. E Poulis, E Plakoyiannaki. (2013). The role of context in case study selection: An international business perspective. Internal Business Review, 22(1). Also see: Crowe, S. K Cresswel, A Ropbertson, G. Huby, A Avery and A Sheikh. (2011). The Case Study Approach, BMC Medical Research Methodology.

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 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.

3.2.5   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

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- 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 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.

3.2.6   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 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.

3.2.7   Outcome Harvesting

Outcome harvesting is a method to collect or 'harvest' 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 focusses 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 of 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.

3.2.8 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 that 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, whatever is most practical. This approach will also generate stories for the Evaluation's 'video report'.

3.3 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 short discrete 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 approx. 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.** Short ~2 page country and policy case studies.

5. **Governance Sentiment Instrument online dashboards:** These dashboards will enable all stakeholders to explore the GSI data at the global, stakeholder and country level, as well as 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.**

4. Evaluation Workplan

Plan		Schedule												
Workstream	**Key Task**	*2021*			*2022*									
		Oct	Nov	Dec	Jan	Feb	March	April	May	June	July	Aug	Sept
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									■	■	■	

5.   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.

Risk	Description	Approach
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
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 short discrete 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 A Evaluation Terms of Reference

[To insert in desktop published version]

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').1 Following EITI's approach to multi-stakeholder 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 process. 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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