

ecbi Independent Evaluation of Phase IV



European Capacity Building Initiative
Seminar -2018-

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Lucy Heaven Taylor Consulting

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ecbi

European Capacity Building Initiative

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EVALUATION REPORT

In-Depth Evaluation of the European Capacity Building Initiative

**Lucy Heaven Taylor
December 2018**

Executive Summary

The in-depth evaluation of the European Capacity Building Initiative (ecbi) was commissioned by Sida, and conducted by an external consultant. It took place in November and December 2018.

Evaluative questions were developed based on OECD-DAC evaluation indicators, plus areas of enquiry requested by the ecbi and Sida. A total of 16 stakeholders were interviewed, and monitoring data reviewed.

The ecbi programme is currently meeting and often surpassing its agreed outcomes, and is also producing unplanned benefits, including networking for participants, informal support to unblock negotiations challenges, and sharing of information with participants' colleagues.

The programme is not without its challenges, but these are recognised and addressed by ecbi staff. The enablers are mostly linked to two key elements, firstly the informal setting of activities, and secondly, the reputation of the programme, particularly in terms of its unbiased approach.

The ecbi also meets a unique need in the negotiations process – the evaluation could identify no other actors that provide a similar service which combines several elements of training, relationship building and provision of information.

The ecbi model of the Training and Support Programme; the Fellowships Programme; and the production of policy briefs and background papers is still seen to be valid in the changing environment of the negotiations. The adaptation required to meet the changing environment is at content level. The ecbi is also developing new additional initiatives to support its core business, such as a mentoring project for women negotiators. This and other 'add on' options should be further explored.

The ecbi mainstreams gender in all its activities. It is seen by its stakeholders as supporting women's participation in negotiations, mostly through developing women negotiator's confidence and capacity, and modeling good practice. The ecbi is actively working on gender, and is developing more initiatives for future.

1. Purpose and objectives of the evaluation

The overall goal of this evaluation is to report on the effectiveness and the efficiency of the ecbi implementation and to make recommendations in the light of its findings.

The objectives are as follows:

1. To capture demonstrable **results** to date against ecbi's aims and objectives
2. To critically assess the **enablers, challenges and risks** in achieving these aims, particularly with respect to the ecbi gender strategy
3. To utilize the above information to make **recommendations** on how to improve the initiative
4. Suggestions about possible **directions** that the ecbi may want to consider for the future bearing in mind also changing circumstances due to the Paris agreement and other factors.

For further details, see the Inception Report attached as an annexe.

2. Methodology

The evaluation was carried out during the third year of ecbi Phase IV (which runs from April 2018 to March 2019). The evaluation takes into account all activities up till end September 2018.

The evaluation specifically examined the impact and performance of the programme in this phase, but also took into account a global view of the programme from its inception. Additionally, whilst programme participants interviewed for this report were from the Sida-funded Fellowships and Seminar project, the evaluation takes into account the complete ecbi programme, which is funded from a number of sources. Aside from Sida, the other key donor of the ecbi programme is the German government's International Climate Initiative, which funds the Training and Support project. Other activities are funded on an ad hoc or repeat basis, such as the Bonn Seminar which is funded by GIZ Climate Protection Programme, and Ad-hoc Seminars funded by the World Bank.

The evaluation examines ten key areas, developed from the following sources:

- The OECD DAC evaluation indicators
- Suggested areas of enquiry from the donor
- Suggested areas of enquiry from ecbi

The evaluator then designed evaluation questions for each of these areas, as follows:

OECD-DAC indicator	Evaluative question	How evaluated
Impact	What has happened as a result of the programme or project? (Direct or indirect, positive or negative)	Interview questions
	What real difference has the activity made to the beneficiaries?	Interview questions Existing monitoring reports
	How many people have been affected?	Participant data provided by ecbi
Effectiveness	To what extent are the objectives likely to be achieved?	Evaluator assessment based on existing monitoring reports
	What were the major factors influencing the achievement or non-achievement of the objectives?	Evaluator assessment based on existing monitoring reports Interview questions
Relevance	To what extent are the objectives of the programme still valid and relevant to the priorities of its stakeholders?	Interview questions
	Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives? Are the activities and outputs of the programme consistent with the intended impacts and effects?	Evaluator assessment based on existing monitoring reports
Sustainability	To what extent would the benefits of a programme continue if donor funding ceased? What are the major factors which would influence the achievement or non-achievement of sustainability of the programme or project?	Interview questions Evaluator assessment
Efficiency	To what extent does the ecbi represent value for money ¹ ?	Evaluator assessment
	Were objectives achieved on time?	Existing monitoring reports
	Was the programme or project implemented in the most efficient way compared to alternatives?	Part of assessment above
Enablers/challenges to success	What have been the enablers to the ecbi achieving its outcomes, and what have been the challenges?	Interviews
Adaptation to changing environment	Has the ecbi programme adapted to the changing environment in the negotiations process? If so, how? If not, why not?	Interviews
Contribution of activities to success	How did the ecbi activities contribute to its success?	See above - Relevance
	Did some activities contribute more than others?	Evaluator assessment
Gender	Does the ecbi achieve a gender balance in its activities?	Participant data provided by ecbi
	Does the ecbi programme improve the position of women in the negotiations process?	Interviews Existing monitoring reports
Lessons learnt and recommendations	What direction should the ecbi take in the future?	Interview questions Evaluator assessment
	Lessons learnt and recommendations	Evaluator assessment

¹ Assessed using VfM (Value for Money) methodology: balancing economy, efficiency and effectiveness

Information to inform these evaluation questions was derived from the following sources:

- Workshop reports from Fellowships and Seminars and Regional workshops
- Participant lists from all workshops
- Example of impact collected in the programme period
- Other monitoring data collected over the programme period, including for non-Sida funded elements of programme

16 interviews were conducted in total. Interviews were conducted remotely by Skype, telephone, WhatsApp or Facetime according to the preference on the interviewee.

Interviewees were selected on the following basis:

- Five interviewees were selected on a random basis, from a complete list of Fellowships and Seminar participants to date provided by ecbi. Interviewees were selected from this list using an online random number generator. Male and female interviewees were selected separately to ensure a gender balance.
- Five interviewees were contacts provided by the ecbi. They were selected to provide a cross-section of interviewees with specific relevant roles in the negotiations process, and who had participated in a cross-section of ecbi activities. Where possible, geographical spread and gender balance was also taken into account.

Roles of interviewees selected were as follows:

1. UNFCCC Co-Facilitator, Seminar attendee
2. Subsidiary Body for Scientific and Technological Advice (SBSTA) Chair, Fellowships, Bonn Seminar attendee
3. Long Term Co-operative Action (LCA) Chair, Fellowships attendee
4. Standing Committee on Finance (SCF) Chair, Fellowships attendee
5. COP23 Champion, Fellowships, Ad Hoc Seminar attendee

Of these ten interviewees, five were female and five male. Two were European Seminar participants, and eight were Fellowship participants. Interviewees came from the regions of Africa, Asia, Europe, Latin America, the Caribbean and the Pacific.

The final six interviewees comprised two ecbi Advisory Committee staff, two 'bellwethers' (external individuals with a senior position in the negotiations), and two ecbi staff members: the Director and Head of PPAU.

Interview transcripts were then coded and categorised to provide responses to the evaluation questions plus any additional key themes arising. Where quoted in the report, the following terms are used to denote the number of interviewees providing a certain response (these figures do not include interviewees with ecbi staff):

'Few' 0-25%

'Some' 25-50%

'Many' 50-75%

'Most' 75-100%

Note that a cross-section of Training and Support Programme (TSP) participants are also interviewed annually as part of monitoring and evaluation for another donor. Data from the TSP monitoring processes are included in the evaluation report where indicated.

All quantitative data included in the report relates to the period (such as participant data and monitoring data) from the beginning of Phase IV of the programme to the current time, unless otherwise stated. Interviews and other analysis can relate to the wider ecbi programme.

3. The ecbi model

The ecbi is an initiative for sustained capacity building in support of international climate change negotiations, founded in Oxford, UK in 2005. It is formed of a network of institutional members – mainly Oxford Climate Policy (OCP), the International Institute of Environment and Development (IIED) and Legal Response International (LRI) – along with a number of regional partners.

The ecbi aims to promote a more level playing field between government delegations to the international climate change negotiations, and to facilitate mutual understanding and trust, both between European and developing countries and among the developing countries.

The overall goal of the ecbi is for climate change negotiators to work together more effectively in shaping an inclusive – and hence more effective and sustainable – global solution to climate change. It seeks to achieve this with the following outcomes:

- [a] Increased understanding among targeted negotiators of each other's positions
- [b] Targeted negotiators have increased negotiation skills
- [c] Targeted negotiators have better information and can use it more effectively
- [d] Targeted negotiators develop positions with the support of ecbi activities
- [e] Targeted woman negotiators are more active in the UNFCCC process
- [f] Targeted national policy makers are better informed about the UNFCCC process

These outcomes are achieved through three workstreams:

Fellowship Programme

Activities of the Fellowship Programme include the Fellowships and Oxford Seminar; the Bonn Seminar; the Finance Circle; and the Ad Hoc Seminars.

The Oxford Fellowships and Seminar are the cornerstone of the ecbi's Fellowship programme. They comprise a three-day Fellows Colloquium in an Oxford location, where the 'Fellows' - senior negotiators from developing countries - are brought together to discuss key issues relating to the negotiations under Chatham House rules. During the course of this workshop, Fellows develop a presentation to share with Seminar participants. On the third day, Fellows are brought together with European negotiators for a three-day Seminar, where they discuss the issues raised in the preceding Colloquium.

Training and Support Project

The TSP comprises Regional Workshops; Pre-COP Workshops; Bursaries, background papers, free advice on a rapid response basis, and legal briefing papers and capacity building. The

project is aimed at new and junior negotiations in the negotiations process, to build their skills and knowledge to better participate in the negotiations.

Publications and Policy Analysis Unit (PPAU)

Activities include the publication of Policy Briefs, Background Papers, the Pocket Guides, ecbi meeting reports, and the ecbi Annual Report. Policy briefs and background papers are designed to provide information to negotiators on key issues and challenges facing the negotiations. They are developed in a participatory manner with negotiators from developing countries, engaging in developing outlines and ToRs, co-authoring papers, and/or reviewing drafts.

The evaluation will consider all elements of the model.

4. Findings

4.1 Impact/results

What has happened as a result of the programme or project? (Direct or indirect, positive or negative)

The direct, intended impact of this programme is covered below in the section '*What real difference has the activity made to the beneficiaries?*'. In summary, the ecbi is **achieving its intended outcomes**.

Additionally, some other impacts not captured in the intended outcomes were identified in the interviews. These were as follows:

Networking

Many interviewees referred to the benefit that the programme gave them in terms of networking, and particularly in giving them the 'entry point' to approach other participants from the programme in the course of the negotiations, either in person or by e-mail, where they would previously have felt too intimidated to do so. As one interviewee explained it:

"Because I met these people, it is also easier for me to approach them... because you built this relationship with them so you know them, so its easier to just go and ask them something" – *Female Fellowships attendee*

This increased the participant's confidence in the negotiations process, and was seen to enable more productive negotiations.

Sharing and communicating engagement

Fellowship attendees are generally required to provide a presentation or briefing to their colleagues on returning from the workshop. **Some** interviewees gave examples of the benefits of sharing information from the ecbi programme, particularly the publications, with colleagues in their national offices or delegations – this meant that even individuals who did not attend were able to learn from ecbi activities. Particular reference was made to how this enables colleagues to substitute for them when they were unable to attend negotiations or events.

Progression of alumni

One interviewee observed how the ecbi provides skills and support as negotiators progress in their career.

"You can also look at the eminent people in the negotiations from these developed countries that passed through the ecbi Fellowship. I started as a junior negotiator in 2005, after two years became the focal point of my country and became the lead negotiator for my country, and in 2007 stated negotiating for the African group in the Kyoto Protocol process, leading to Copenhagen, so I got all the skills and the guidance through the Fellowship process. The Co and Chair of the LDC group also passed through the ecbi Fellowship. And also Tosi, who was a former Chair, passed through. So, you have many of them." – *Male Senior Negotiator*

General support and facilitating

A few interviewees referred to the less tangible, more informal support that the ecbi, particularly its Director, provides to facilitate and ease interactions in the negotiations. This was also noted in interviews conducted as part of the TSP monitoring process, with reference to the TSP staff. Examples included setting up informal meetings when key challenges arose in negotiations, and providing advice for individual negotiators. For example, the support of the ecbi was cited as being instrumental in the breakthrough on agriculture in the most recent SBSTA session – the ecbi convened a series of workshops for negotiators to discuss the issue. Other examples were less structured, and referred to seeing ecbi staff at negotiations where they gave useful advice and support, or reaching out to them by e-mail when they were struggling with an issue.

No negative impact was identified resulting from the ecbi programme.

How many people have been affected?

Using the definition of beneficiaries' above, here is the breakdown of people affected since the start of Phase IV of this programme, per activity.

Activity	Total no. of participants	% male	% female
Bonn seminars	104	66	38
Oxford Fellowships	56	40	16
Oxford Seminars	95	61	34
Regional Workshops (TSP)	241	56	44
Pre-COP Workshops (TSP)	74	54	46

As some beneficiaries attended an activity on more than one occasion, the figures above do not include repeat attendances.

Furthermore, some beneficiaries attended more than one of the activities listed above and are therefore included more than once in the above data. An overall number for *attendance in an ecbi activity*, with all duplicates removed where possible, is **464**.

To assess the reach of the ecbi training activities, it is possible to compare the number of beneficiaries trained in comparison with overall attendance at the UNFCCC negotiations. The target beneficiaries of the TSP are junior negotiators from Least Developed Country (LDC) delegations. If approximately two junior negotiators participate in each LDC delegation each year of the negotiations, this gives a figure of approximately 96 individuals per year who fit the target profile.² The TSP is reaching an average of 80 individuals per year, so are reaching the majority of their target beneficiaries.

² E-mail ecbi 14/12/18

For the Fellowship Programme activities, the purpose is not capacity building. Rather, it is to engender relationship building and discussion between senior figures in the negotiations process. Therefore, it is more helpful to measure the impact of these meetings rather than the number of people who have benefited from attending them. This is explored further in the section below.

In addition to the training and capacity building activities above, the ecbi also facilitates ad hoc meetings. There were **181** attendees of ad hoc meetings in the evaluation period, of which 64% were male and 36% female.

What real difference has the activity made to the beneficiaries?

The overall goal of the ecbi programme is for “climate change negotiators to work together more effectively in shaping [a] global solution to climate change”. Therefore, the ultimate beneficiaries of the programme are those affected by climate change. However as this is not possible to evaluate, this evaluation will consider the term ‘beneficiaries’ to mean participants in ecbi programme activities – referred to as ‘negotiators’ in the programme results framework. This section addresses the question above by examining the ecbi’s intended outcomes, and results to date.

The ecbi monitors progress against stated outcomes through its Monitoring and Evaluation Plan. This is conducted by an Independent Monitor.³ The plan for monitoring outcomes is below (the complete Results Framework is attached as an Annexe).

Outcomes in Phase IV Framework	Related activities	Indicators	Means of Verification
[a] Increased understanding among targeted negotiators of each other’s positions	Oxford Fellowships and Seminar Bonn Seminar Ad Hoc Seminar	60 % of Fellows report increased understanding of other’s positions & are able to give examples 40% of Seminar participants report usefulness in increasing understanding of other’s positions & are able to give examples	Feedback forms Evaluative interviews
[b] Targeted negotiators have increased negotiation skills	Training and Support project	60% of targeted negotiators report increased negotiation skills	Feedback forms Submissions
[c] Targeted negotiators have better information and can better use it in negotiations	Training and Support project Publications	60% of targeted negotiators state that they are better informed & are able to give examples 3 examples are provided of targeted negotiators using information in the negotiations process	Feedback forms Evaluative interviews
[d] Targeted negotiators develop positions	Oxford Fellowships and Seminar	3 positions are developed by targeted negotiators	Meeting reports

³ The consultant conducting this evaluation

with the support of ecbi activities	Training and Support project	with the support of ecbi 1 example of language developed by targeted negotiators is echoed in a decision text At least two examples are provided where countries/ groups used information provided by ecbi for their submissions	(Draft) decision texts
[e] Targeted woman negotiators are more active in the UNFCCC process	Oxford Fellowships and Seminar Training and Support project	60% of targeted women negotiators state that they are more active in the negotiations & are able to give examples 2 examples are provided of targeted women negotiators being more active in the negotiations process	Feedback forms Evaluative interviews
[f] Targeted national policy makers are better informed about the UNFCCC process	Training and Support project Publications	At least 3 targeted national policy makers demonstrate they are better informed about the UNFCCC process	Statements by targeted policy makers in national media, reports, conferences etc. Evaluative interviews with national policy makers

Progress against these outcomes is assessed below, using monitoring data collected by the evaluator in their role as Independent Monitor (monitoring reports and data available on request).

[a] Increased understanding among targeted negotiators of each other's positions⁴

Indicator: 60 % of Fellows report increased understanding of other's positions and are able to give examples

Current progress: From feedback forms, **89%** of respondents reported increased understanding of other's positions and were able to give examples

Indicator: 40% of Seminar participants report usefulness in increasing understanding of other's positions & are able to give examples

Current progress: From feedback forms, **77%** of respondents reported increased understanding of other's positions and were able to give examples

All interviewees in the evaluation who were asked the question stated that the ecbi programme had increased their understanding of others' positions, and were able to give examples.

⁴ Note that monitoring data was not collected for the Bonn seminars, so is not included in this assessment

[b] Targeted negotiators have increased negotiation skills

Indicator: 60% of targeted negotiators report increased negotiation skills

Current progress: From feedback forms and evaluative interviews, **81%** of respondents reported increased skills and were able to give examples

[c] Targeted negotiators have better information and can better use it in negotiations

Indicator: 60% of targeted negotiators state that they are better informed and are able to give examples

Current progress: From feedback forms and evaluative interviews, **86%** of respondents reported being better informed and were able to give examples.

Indicator: 3 examples are provided of targeted negotiators using information in the negotiations process

Current progress: From the TSP monitoring data,⁵ seven examples have been identified to date

[d] Targeted negotiators develop positions with the support of ecbi activities

Indicator: 3 positions are developed by targeted negotiators with the support of ecbi

Current progress: From data collected by the Independent Monitor, **6** examples have been identified to date⁶

Indicator: 1 example of language developed by targeted negotiators is echoed in a decision text

Current progress: From data collected by the Independent Monitor, **3** examples have been identified to date⁷

Indicator: At least **2** examples are provided where countries/ groups used information provided by ecbi for their submissions

Current progress: Since the most recent Annual Report to Sida, which stated no examples to date, **three** examples have been identified for this indicator. They are:

- The LDC Group, in a submission on 4 April 2018, *“proposes a dynamic NDC cycle of 5+5 years in which Parties communicate a 5-year NDC for an upcoming 5-year implementation period and simultaneously provide a subsequent indicative NDC for the following 5-year implementation period”*.
- Bangladesh in a submission on 3 April 2018, states: *“In common sense as well as in accordance with paragraph 27 of decision 1/CP.21, time frames for NDCs means periods for implementation of NDCs”*.
- Trinidad & Tobago and Belize, in a submission on 29 March 2018, states: *“Given paragraphs 23 and 24 of Decision 1/CP.21, this dynamic NDC cycle could be brought about by simply requesting all Parties in 2025 to update their 2030 NDC and communicate an indicative 2035 NDC, and to do so every five years thereafter”*.⁸
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⁵ From TSP Interim report to donor 31/03/2018

⁶ Further information is available in the Annual Reports submitted to Sida by the ecbi

⁷ *ibid.*

⁸ Information provided by ecbi 14/12/18

[e] Targeted woman negotiators are more active in the UNFCCC process

Indicator: 60% of targeted women negotiators state that they are more active in the negotiations and are able to give examples

Current progress: From the TSP monitoring data,⁹ 100% of women interviewed stated that they were more active in the negotiations process, and 80% gave examples

Indicator: Two examples are provided of targeted women negotiators being more active in the negotiations

Current progress: From the TSP monitoring data,¹⁰ eight examples have been identified so far

[f] Targeted national policy makers are better informed about the UNFCCC process

Indicator: Statements by targeted policy makers in national media, reports, conferences etc.

Progress to date: None identified so far - however the monitoring processes are not currently designed to specifically pick up examples related to participants who have the role of national policy maker

Indicator: At least 3 targeted national policy makers demonstrate they are better informed about the UNFCCC process

Current progress: From feedback forms and evaluative interviews, 100¹¹ national policy makers reported being better informed and were able to give examples

Overall, the monitoring data indicates that the ecbi is meeting and often surpassing its agreed outcomes.

4.2 Effectiveness

To what extent are the objectives likely to be achieved?

Based on the monitoring of outcomes above, the objectives of the ecbi programme are on track to be achieved. No significant risks to continuing to progress towards achieving the objectives were identified as part of the evaluation.

What were the major factors influencing the achievement or non-achievement of the objectives?

ecbi staff and Advisory Committee members identified the following challenges and enablers for the ecbi to achieve its outcomes.

Challenges

- When the initiative started, getting people to attend meetings was a challenge. However, as the initiative has progressed, the challenge is now keeping numbers down, to maintain the informal, trust building environment – but has increased over last few years
- Developing countries set the agenda for Fellowships and Seminars, so developed countries may find themselves in ‘responsive mode’¹²

⁹ From TSP Interim report to donor 31/03/2018

¹⁰ Ibid.

¹¹ This disparity between the original estimate and the much higher attainment is due to monitoring systems being able to increasingly identify training participants who have roles as national policy makers

¹² Nb. ‘This has been addressed in past 2 Fellowships by asking developed countries to prepare and present also’ – update from ecbi 14/12/18

- There is a danger of becoming routine. The challenge is to bring in ‘new blood’ whilst maintaining the ‘core’ negotiators who are important to the negotiations process
- Events are sometimes organised at the last minute that clash with ecbi pre-planned events (although it was noted that ecbi event attendance is still high in these cases)

Enablers

- Having a Director who has good knowledge of subject areas was identified as a key enabler
- The ability to attract senior people in the negotiations process
- Linked with this was the good reputation developed by the ecbi – its ‘track record’
- Meetings are well planned and prepared
- The structure of participants speaking as individuals, not from a country position
- The informal, academic setting
- The ecbi has no hidden agenda
- The focus is on developing countries, but Europeans still want to attend, indicating that they see its value

4.3 Relevance

To what extent are the objectives of the programme still valid and relevant to the priorities of its stakeholders?

All interviewees stated that the objectives of the ecbi were still valid and relevant, particularly at this critical juncture in the negotiations. As one interviewee stated

“Many areas are still grey, and that is why we are having a lot of meetings to try and understand. And let me tell you, the capacity of the LDCs to understand these issues, is not at the same capacity of developed countries right now. So we need someone.”
– *Female Fellowships participant*

The approach of ecbi activities going forward in the new phase of the negotiations is discussed further in the section on *Adaptation to the Changing Environment*.

A key issue identified in the evaluation was the lack of other actors providing a similar service in the sector, meaning that the ecbi plays a unique role. None of the interviewees were able to give an example of an initiative that met the needs identified by the ecbi programme. Interviewees identified the following initiatives in the space but explained why they did not provide the same approach as the ecbi.

Name of organisation	Approach	Difference from ecbi
IDDRI	Paris-based think tank that produces papers and holds Seminars	‘Does not have the “Fellow” modality of the ecbi’
African Development Bank	Supports negotiators who lead on thematic areas.	Specific thematic focus
African Climate Policy Centre	‘Used to’ support the African group of negotiators.	Only for African negotiators
Climate Analytics	Have experts who provide analysis, place staff on delegations	Technical focus, does not build capacity of existing negotiators
LRI	Part of the ecbi network. They provide pro bono legal advice to developing country negotiators	Specific legal focus
2CS/Pew Centre	Convenes groups of countries for Chatham House discussions.	Usually a day event or two days. Not as in depth as ecbi

Third World First	Work with developing countries to bring technical inputs to the table	Specific technical focus
German Watch	Produce reports on meetings in the negotiations process	Specific focus on meeting reports
Clinton Foundation/Rocky Mountain Institute	Large scale capacity building initiatives	
ICCCAD	Bangladesh-based initiative providing capacity building	Specific focus on training
ICAP	Provides support to market-related practitioners	Specific technical focus

ecbi staff observe that the ecbi provides a unique package of combining training of junior negotiators, trust-building, and knowledge sharing to have an overall effect of creating a more level playing field in the negotiations. There is a clear need for more trust-building initiatives, but most other initiatives in this area are UN-led, where the key issues identified were:

- The need to invite everyone
- There are things people can and can't say in the UN setting

As an independent entity, the ecbi can be selective about who attends, and individuals are able to speak more openly than they would in a UN setting.¹³

Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?

Are the activities and outputs of the programme consistent with the intended impacts and effects?

From the assessment of the evaluator, the ecbi Results Framework, its goal, objectives (iterated as outcomes) and outputs all still seem relevant, with consistent internal logic.¹⁴ The following minor points were noted, and could be incorporated into any further iterations of the Results Framework:

- The Results Framework does not capture some of the unintended impacts identified in this evaluation such as the ad hoc, informal support that ecbi staff provide to negotiators, such as providing advice and convening last minute ad hoc meetings to try and unblock issues in the negotiations. They could be added to the Framework in further iterations, perhaps as evaluative interview questions.
- Some of the indicators could be revised in the light of ongoing monitoring to make them more appropriate, for example the indicator for [f] Targeted national policy makers are better informed about the UNFCCC process 'At least 3 targeted national policy makers demonstrate they are better informed about the UNFCCC process' could be revised upwards to reflect the increase in national policy makers identified.

4.4 Sustainability

To what extent would the benefits of a programme continue if donor funding ceased?

The key sustainable input of the ecbi programme is the building of capacity and confidence of individual participants. As explored above, beneficiaries report that they have gained negotiation skills and knowledge that has enabled them to better participate in the negotiations process. Further, they have gained confidence, and the ability to network with

¹³ Interview with ecbi Director and Head of PPAU 12/12/18

¹⁴ Note that the evaluator designed the original Results Framework

other ecbi alumni. Interviewees pointed to the ecbi programme's ability to select beneficiaries who remain in the negotiations process. As one interviewee said:

"The people I've seen [Benito] use all the time, since 2015/14, have been close to ecbi, they are still there. They still work with the country. I have never seen him pick someone who does not still work with the country. So I think he must try and select persons who are not looking for work with an NGO." – *Female Fellowship attendee*

If donor funding ceased, these beneficiaries will likely remain in the negotiations process, continuing to use the benefits of the programme to 'work together more effectively in shaping an inclusive global solution to climate change', as per the aim of the programme.

What will be lost if donor funding ceases is twofold. Firstly, although most beneficiaries of the programme do stay in the negotiations process, there is inevitably eventual turnover. There will also always be emerging cohorts of junior negotiators joining the process, who will still be faced with the same challenge of lack of resources and investment in their skills and knowledge comparative with negotiators from developed countries.

Secondly, there will be no environment for negotiators to discuss new challenges in negotiations process, and to provide information (particularly publications). This is significant particularly given the pivotal point at which the negotiations still stand, and the change in the process from agreement to implementation, which will pose a new set of issues and challenges for negotiators to navigate.

What are the major factors which would influence the achievement or non-achievement of sustainability of the programme or project?

As the model of the ecbi programme means that sustainability chiefly rests on the capacity of individual participants, the main factors for sustainability are successful capacity building of those individuals, and their retention on the negotiations process. The ecbi should therefore continue to monitor its capacity building activities to ensure they are appropriate and effective, and continue with the current selection process that selects participants who are committed to staying in roles in the negotiations process.

4.5 Efficiency

To what extent does the ecbi represent value for money?

This indicator was assessed using the following Value for Money model.¹⁵ Although this evaluation covers all ecbi activities, only interventions funded by Sida were used in the Value for Money assessment, as figures were available for these.

Economy: Were the inputs purchased for the right quality at the right price?

Efficiency (including cost effectiveness): How well are the inputs converted into outputs?

Effectiveness: How well are the outputs achieving the desired outcomes?

Economy

The quality and price of inputs should be determined by an organisation's procurement policies. The ecbi's procurement processes were assessed in a Sida-commissioned Review of

¹⁵ DfID 2011

Internal Management and Control in 2016, and recommendations implemented. For purchases over GBP 20,000, a tender process is undertaken. For purchases under GBP 20,000, the ecbi assesses quality of inputs and makes purchases based on the best quality for the price available.¹⁶

Efficiency

From the proposal, the Sida-funded outputs of programme per year are:

1. Oxford Fellowships and Seminar held with at least 8 Fellows and 20 Seminar participants attending
2. Ad hoc Seminars held¹⁷
3. Policy briefs/background papers produced

For Sida-funded outputs, from proposal figures¹⁸ this represents following cost (input) per output, excluding fixed costs:

Unit	Cost per unit	Number of units	Total GBP
Fellowship & Seminar	80,000	1	80,000
Publications	10,000	2	20,000
Ad hoc seminars	2,000	3	6,000
Caucuses	10,000	4	40,000

The major cost centre for achieving the Sida-funded outputs of the programme, is the annual Fellowships and Seminar. For the 2018 Fellowships and Seminar, Sida approved a budget of GBP 95,000. The cost per participant was GBP 1,110.¹⁹ In addition, travel costs totalled approximately GBP 29,600 (which includes long-haul flights, and costs for speakers), and accommodation costs totalled GBP 21,000 (also including costs for staff and speakers).²⁰ The importance of the venue particularly was mentioned by some interviewees, referring to it as ‘Hogwarts for climate change negotiators!’. One interviewee explained it like this:

“I’m not sure it [the Fellowships and Seminar] would have the same efficacy if it was held in a non-descript, ordinary place that people meet because that is what we do, in any event, at negotiations, at meetings and at venues. I think Oxford, its legacy, and what it means in the history of academia, provides the sort of over-arching, sub-conscious impetus for you to engage in.’ - *Male Fellowships Attendee*

As no initiatives with similar intended outcomes have been identified, it is not possible to make direct cost comparison to determine whether the same outcomes could be achieved at a lower cost. It is, however, possible to compare the costs of the Oxford Seminar with other residential conferences.

The evaluator identified a similar Oxford-based workshop held in an Oxford University college to benchmark against: the Philosophy of Education Society of Great Britain’s annual

¹⁶ Interview with ecbi Director and Head of PPAU 12/12/18

¹⁷ No attendance figures given in proposal

¹⁸ ‘ecbi Phase IV Proposal for a Sida contribution by Oxford climate policy’ Jan 2015

¹⁹ This figure includes communal meals, honoraria & expenses for expert resource people, conference venue & equipment hire, administrative and logistical support. It excludes travel and accommodation of attendees

²⁰ These and above figures provided by ecbi, e-mail 14/12/18

conference.²¹ The cost to attend each of the three days of the conference, at full price is GBP 565. Extrapolated to five days, this comes to GBP 941, a similar figure to the ecbi's GBP 1,110. Additionally, the cost of accommodation for the Fellowships and Seminar is GBP 88 per night, an extremely competitive rate for Oxford.

Effectiveness

From the assessment of this evaluation (see section above 'What real difference has the activity made to the beneficiaries?'), the ecbi is effective in achieving its intended outcomes.

Overall Value for Money

On the basis of the above assessment, the ecbi programme offers value for money.

Were objectives achieved on time?

To date, all activities have been completed according to schedule.

Was the programme or project implemented in the most efficient way compared to alternatives?

See above Value for Money analysis.

4.6 Enablers/challenges to success

What have been the enablers to the ecbi achieving its outcomes, and what have been the challenges?

This question is covered in the section '*What were the major factors influencing the achievement or non-achievement of the objectives?*'

4.7 Adaptation to changing environment

Has the ecbi programme adapted to the changing environment in the negotiations process? If so, how? If not, why not?

To address this question, we need to consider that the negotiations have only recently undergone a huge step change, so adaptation to that changing environment is still very much a live process.

All interviewees who answered this question felt that the ecbi was adapting to the changing environment, and that the goal of trust building was still relevant. As one interviewee stated:

"I think that Benito [the Director] is very well aware of the key discussions in negotiations and he has been very able to pick up the key issues and formulate the key ideas before the seminars and meetings we had." – *Male ecbi Advisory Committee Member*

No interviewees suggested a change of model for the ecbi. From the evaluator's assessment, the key adaptation made has not been to the model, but rather to the content of the ecbi programme. In particular, agenda items for the Fellowship and Seminars, and subjects of the publications have changed to focus on the key issues emerging from the negotiations, such as moving from agreement to implementation, and local responses. This updating of content

²¹ <http://www.philosophy-of-education.org/events/annual-conference.html>

is a much lighter process than changing the operating model, and allows the ecbi to be more flexible in adapting to the changing environment.

4.8 Contribution of activities to success

How did the ecbi activities contribute to its success?

Did some activities contribute more than others?

From the assessment of the evaluator, all ecbi activities appeared to contribute to its success, and were appreciated by interviewees.

One element of the programme, that was relatively lower budget compared to other activities, seemed to be punching above its weight in terms of impact, and that was publications. **Most** interviewees specifically referred to the publications as being a useful resource in their work. One interviewee gave this example:

“There was a paper done by the ecbi that was really very good and factual, so I had to train my team member to work on the Adaptation Fund negotiations, and I only had an hour to do it, so that document helped a lot, bringing them up to speed and understanding the state of play”. – *Female Fellowships Attendee*

A few also mentioned sharing publications with others, and how well received they were. One interviewee noted that the resources produced in languages other than English were also important.

4.9 Gender

Does the ecbi achieve a gender balance in its activities?

To assess gender balance, the evaluator compared against the ratios in the negotiations process as a whole. The 2016 UNFCCC ‘*Report on gender composition*’ (FCCC/CP/2016/4) reports on gender balance in the composition of constituted bodies established under the Convention and its Kyoto Protocol. The most recent data available for gender composition of COPs are for COP 21, which took place in December 2015. The report gives a figure of 20% women Heads of Delegations, and 32% women for overall composition of delegates.

For this phase of the ecbi programme, the composition of women is as follows

Activity	Profile of participants	% female	UNFCCC comparison
Bonn seminars	Senior	38	20
Oxford Fellowships	Senior	16	20
Oxford Seminars	Senior	34	20
Regional Workshops (TSP)	Junior	44	32
Pre-COP Workshops (TSP)	Junior	46	32

The profile of participants is added to map against the profile of the different groups identified in the figures from the UNFCCC report – attendees to the Seminars and Fellowships

are more senior, and are more likely to be heads of delegation or similar, whilst workshop attendees are more junior. This gives the opportunity to compare like with like.

This demonstrates that the ecbi are matching the composition the COP in their gender balance, with the exception of the Fellowships at 16% is slightly less than the percentage for Heads of the Delegations in the COP at 20%. However, figures for the more recent Fellowships have shown an increase in the percentage of women participants, indicating that this is being addressed.

Does the ecbi programme improve the position of women in the negotiations process?

For the TSP, this impact is measured through annual evaluative interviews. Eleven women have been interviewed to date. **100%** of interviewees stated that they were more active in the negotiations process, and **80%** gave examples.

Additionally, as part of the TSP monitoring process, external stakeholders in the negotiations process are also interviewed, to provide their observation of the impact of the project. One of the questions they are asked is to provide examples of TSP alumni being more active in the negotiations process. **Eight** examples have been identified so far. It is interesting to note that of the seven examples they gave in the most recent reporting period, six were women although the interviewer did not specify gender when asking the question.²² One interviewee for the TSP monitoring process explained:

“Just this bursary, it’s a big thing for us. For me, for all women. Because we have many problems that we can do together with men. Sometimes, when we have not taken part, many things are lost. To defend our position. It’s a big thing if you can continue to support women.” – *Female Training Participant and Bursary Holder*

All female interviewees in the evaluation were asked whether they thought women had additional challenges in participating in the negotiations, and what they thought the ecbi did to support women’s participation. The evaluator noticed that this was the part of the interview that seemed to hit home most with interviewees and sparked an animated response. **All** interviewees who were asked the question said they did think that the ecbi supported women’s participation in the negotiations. The following examples were provided of how this took place:

- Introducing participants to other female role models
- Improving participants’ confidence
- Modelling gender balance in events
- Developing and supporting women negotiators

The ecbi has mainstreamed gender into its activities particularly in the last two years, appointing a Gender Advisor, and putting gender front and centre on the agenda for the Fellowships and Seminars. It is also worth noting that they have plans to take forward their work on gender in the coming months. This includes aligning their training efforts (the Women’s Environment and Development Organization, WEDO, has already started using ecbi publications/ the Pocket Guides in their training workshops); organising cohort/ support

²² Interim Report to donor 31/03/2018

meetings for women at climate conferences (planned for next time); and working with WEDO to discuss how they can work together more closely. ecbi has just begun to pilot a mentoring scheme, matching female developing country negotiators with both developing country and European female counterparts.²³

4.10 Lessons learnt and recommendations

What direction should the ecbi take in the future?

Most²⁴ of the interviewees stated that the ecbi was still needed going forward in the negotiations process, and should continue broadly in the same model.

There were no clear trends in the recommendations for the future. All the recommendations provided focused on relatively minor tweaks or additions to activities, rather than any significant changes to structure or approach. In terms of content, three interviewees suggested focusing on finance. Otherwise, the following recommendations were each made by one person:

- Content on the following: Article 6; loss and damage; 1.5°C goal
- Capacity building for individual negotiators
- Convene a Regional Workshop in Latin America and the Caribbean
- Scale up to provide spaces for more participants
- More remote engagement year-round
- Explore developed country partnerships outside EU/Norway
- Develop an internship programme
- Bring more innovative ideas into publications
- Improve balance between old and new participants

Lessons learnt and recommendations

No particular stand out lessons learnt were identified by the evaluator as part of the evaluation. Instead, this section will focus on recommendations going forward.

1. Continue to mainstream gender, and model gender balance in all activities

The ecbi should continue to mainstream gender in all that it does, including the composition of their workshops and training events, particularly given how important participants felt that this modelling of good practice was in the negotiations process.

2. Remodel the Results Framework to better capture unintended impacts

The unintended impacts captured in the evaluation all contribute to a more level playing field in the negotiations, and this should be demonstrated in the Results Framework. This would not necessarily require a change to the stated outcomes, but instead more explicitly captured in the monitoring and evaluation process, particularly in developing interview questions.

3. Build on existing work on gender

²³ Interview with ecbi Director and Head of PPAU 12/12/18

²⁴ Only one interviewee did not express this opinion, but instead stated 'I think that depends on what comes out of Katowice. And also, then if it is very technical issues, well then it is narrow, technical people that do the negotiations as well, and not the negotiators necessarily present in Benito's format'

Continue exploring ways to innovate in gender activities. This should focus on two areas: bringing gender issues to the table in ecbi activities and publications; and improving individual women's participation in the negotiations. The collaboration with WEDO is a good start to this work.

4. Pilot new approaches

The core ecbi model should be maintained going forward, but other more innovative approaches should be explored, that build on the ecbi's expertise and address identified needs in the negotiations process. The women's mentoring scheme is a good example of this.

5. Conclusion

The ecbi programme is valued by its beneficiaries, and seen as relevant and useful for this new phase of the negotiations process. The programme is currently meeting and often surpassing its agreed outcomes, and is also producing unplanned benefits such as enabling participants to network and approach other alumni in the negotiations process; supporting key stakeholders in the process as they rise through the ranks; participants sharing their learning with other colleagues; and providing less formalized, ad hoc support to stakeholders in the negotiations process. All this is to the benefit of a more level playing field in the climate change negotiations.

The programme is not without its challenges, but these are recognised and addressed by ecbi staff. The enablers are mostly linked to two key elements, firstly the informal setting of activities, which enables participants to build relationships and discuss issues more openly. Secondly, the reputation of the programme, particularly in terms of its unbiased approach, encourages engagement of key stakeholders.

The ecbi also meets a unique need in the negotiations process – no other actors provide a similar service, which combines several elements of training, relationship building and provision of information to achieve its trust building goal.

Inasmuch as it is possible to assess, the ecbi is offering value for money in its activities. Participants were clear that the historical, academic nature – almost mystique – of the Oxford University settings contributed to negotiators feeling they were in a very separate space from the negotiations, where they could speak openly and productively.

Publications were particularly identified as being impactful relative to budget. Participants found them useful to keep them informed and up to date in the negotiations, and also shared them widely with other colleagues.

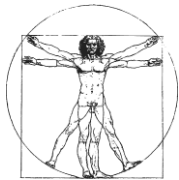
The negotiations are at a pivotal point of change. The ecbi model of the Training and Support Programme, the Fellowship Programme, and producing brief and background papers is still seen to be valid. The adaptation required to meet the changing environment is at content level – addressing key emerging issues in the information provided, the agendas of events and the subject of the briefs and background papers. The ecbi is also developing new additional initiatives to support its core business, such as a mentoring project for women negotiators. This and other 'add on' options should be further explored.

The ecbi tracks against UNFCCC in terms of gender balance and makes effort to achieve balance in activities. It is on target for most of its activities (with the exception of the Fellowships, which are improving year on year). It is seen by its stakeholders as supporting women's participation in negotiations, mostly through developing women negotiator's confidence and capacity, and modeling good practice. The ecbi is actively working on gender, and is developing more initiatives for future.

For the evaluator, the key point that emerges from this evaluation is the unique model of the ecbi, that is meeting a need in the negotiations process not fulfilled by other actors. The ecbi should build on this tried and tested model to develop additional, innovative activities that also support a more level playing field in the negotiations.

6. Annexes

Annex I: Terms of Reference



ecbi

Terms of Reference: In-depth Evaluation of the European Capacity Building Initiative (ecbi)

Phase IV

www.ecbi.org

9 February 2018

Introduction

The European Capacity Building Initiative (ecbi) is an initiative for sustained capacity building in support of international climate change negotiations. The ecbi aims to promote a more level playing field between government delegations to the international climate change negotiations, and to facilitate mutual understanding and trust – both between European and developing countries and among the developing countries.

A key limitation of the UN climate change negotiations is the lack of a level playing field between delegations, both North-South, and South-South. Other major obstacles to successful outcomes are mutual misunderstanding and lack of trust, particularly between industrialized and developing countries.

The ecbi is aimed at overcoming these limitations and obstacles through a number of capacity and trust building activities, subsumed under three institutional units:

a primarily trust-building *Fellowship Programme*, providing a platform for an informal (high level) exchange of views and ideas;

- a ***Training and Support Programme*** to enhance negotiating skills; and
- a ***Publication and Policy Analysis Unit*** that provides open, general briefings to more focused and confidential analyses at the request of individual countries.

The pilot Phase I of the ecbi was launched in May 2005, followed by a second ‘proof of concept’ Phase in 2008. Phase III was launched in 2011, and Phase IV in 2015 for a duration of 5 years.

While strongly subscribing to the capacity building goals listed above, ecbi goes a step further. It is not just a capacity building initiative *for* developing countries – it is also an initiative for building trust *by, for* and *between* countries in Europe and the developing world. ecbi aims to engender the essential element of trust – among developing countries (South-South), and among developing countries and developed countries (North-South). It also aims to foster a better understanding of developing country concerns among negotiators from Europe, so Europe may continue to provide leadership in efforts towards a global solution to climate change.

Finally, ecbi recognizes the crucial role that women negotiators can play in the international negotiations. It is committed to promoting their contribution, by ensuring that more women negotiators participate in the ecbi capacity building activities, and by advocating gender issues in the decisions and decision-making processes of the UNFCCC.

Phase IV is funded by two ‘programmatic’ funders, namely Sida for the Fellowship Programme, and the [International Climate Initiative \(IKI\)](#) of the German Environment Ministry (BMUB) for the Training and Support Programme. Further funding for specific activities has been received from BMZ/GIZ (the annual Bonn Seminars) and more recently from the GEF for a [special event at COP 22](#), and the World Bank for a series of ad-hoc [Seminars for agriculture negotiators](#).

ecbi phase IV	Main implementer	Main funder
<i>Fellowship Programme</i>	OCP	Sida
<i>Training and Support Programme</i>	IIED	IKI
<i>Publication and Policy Analysis Unit</i>	OCP	Sida and IKI

An in-depth evaluation shall be carried out during the third year of ecbi Phase IV (April 2018 to March 2019). The Evaluation shall summarise obtained and expected results in relation to the relevant outcomes on the Logic Model included in the Phase IV Framework, and contain an analysis of any deviation there from. The parties shall agree on the procedures for its implementation.

Purpose and Objectives of Evaluation

The timing of the evaluation is important in two respects. Being three-quarters through the current business plan cycle allows for reflection on whether the goals are being achieved and what can be done to improve the delivery of the initiative, and it can serve as the *In-depth Evaluation* mandated in Art. 6 of the Sida Agreement with Oxford Climate Policy (No. 5416732).

The external evaluation has four objectives:

- to capture demonstrable results to date against ecbi’s stated aims and objectives;
- to critically assess the enablers, challenges and risks in achieving these aims, particularly with respect to the ecbi gender strategy;
- to utilize the above information to make recommendations on how to improve the initiative;
- suggestions about possible directions that the ecbi may want to consider for the future bearing in mind also changing circumstances due to the Paris agreement and other factors.

Scope and Goal of the Evaluation

The Evaluation will cover all the elements of the ecbi, as listed in the Phase IV Framework Document (attached)

The overall goal of the evaluation is to report on the effectiveness and the efficiency of the

ecbi implementation and to make recommendations in the light of its findings. While the focus of the evaluation will be on Phase IV activities, the impact on stakeholders who participated in the earlier phases should also be taken into account. The evaluation can thus also provide a cumulative assessment of the initiative to date, and include longer-term results. The scope will include:

- Examining the approach and performance of the different activities that ecbi has implemented. Special attention will be given to their relevance, effectiveness, efficiency, results and sustainability. The evaluator will be expected to outline the key achievements of the different activities and to highlight reasons for success, and analyze and explain possible failings. Special attention will be given to how the ecbi adapted to changes in its operational environment, both political and technological (such as outreach instruments).
- Assessing the range of activities undertaken by ecbi – including common activities such as website management and evidence of benefits spreading beyond the participants of the ecbi events – and comment on their appropriateness, relevance to partners, effectiveness, results and what contribution they are likely to make to realizing ecbi's overall objectives, as laid out in the Phase IV Framework. Drawing lessons learned by ecbi in Phase IV in terms of capacity buildings, establishing trust, effectiveness of negotiators at climate change. Providing recommendations about how to improve the operational efficiency of the ecbi and suggestions about possible directions that the ecbi may want to consider for the future.

Key Stakeholders

Key stakeholders to the evaluation process include:

- management team of ecbi;
- members of the ecbi Advisory Committee;
members of the ecbi partner network;
- European and developing country climate change negotiators who have participated in ecbi activities;
- any other individuals/organizations with relevant information.

Evaluation Approach and Methodology

The evaluator will follow the OECD/DAC Guidelines and Reference Series Quality Standards for Development Evaluation.

The principles underpinning the evaluation approach are: utility and use; credibility; and impartiality and independence.

The Application will contain a detailed account of the proposed methodology to be used, including framework of analyses, methodology, work plan, and reporting outline. The following elements should be taken into account for the gathering and analysis of data:

Desk study of relevant documents: the evaluator will review and analyze reports and outputs related to the programme. These will include: programme documents related to the on-going work of ecbi.

Personal visits: The evaluator will visit at least one of the following events: the ecbi Bonn

Seminar during the next meeting of the UNFCCC Subsidiary Bodies in Bonn (beginning of May 2018) and the Oxford Seminar and Fellows Colloquium (end of August 2018).

Other interviews: the evaluator will interview the management team and members of the Advisory Committee. A selected number of participants from the Oxford Seminar and workshops will be contacted. Some will be phoned, and some will be contacted by email, inter alia to ascertain independently performance with respect to the monitoring indicators listed in the Annex to the ecbi Management Manual (attached).

Gender Strategy: Particular attention should be given in all areas to gender as outlined in the ecbi Gender Strategy.

Guidance and Support

Sida desk officers and the ecbi management team will be available to provide any support necessary.

Timelines and Deliverables

April 2018: Inception meeting with ecbi management team (OCP office, date t.b.c.).

6 May 2018: ecbi Bonn Seminar, (Bonn, Germany), t.b.c.

27-31 August 2018: ecbi Oxford Seminar (Oxford, UK), t.b.c.

October 2018: submission of draft Report (date t.b.c.).

December 2018: submission for Sida approval of Final Report (date t.b.c.) approx 20pp, including 1 p. Executive Summary, excluding Appendices (to be determined).

Jan/February 2019: Presentation of results (date and venue t.b.c.).

The draft and final report shall present the objectives and the scope of the evaluation described above. In addition, the report shall include an executive summary, a description of the methodology used in the evaluation and the sources of information (including list of all participants of the evaluation and documentary material reviewed) as well as a section on overall recommendations.

Annex II: Inception Report

In-Depth Evaluation of the European Capacity Building Initiative

INCEPTION REPORT

September 2018

Purpose of the evaluation

The ecbi is an initiative for sustained capacity building in support of international climate change negotiations, founded in Oxford, UK in 2005. It is formed of a network of institutional members – mainly Oxford Climate Policy (OCP), the International Institute of Environment and Development (IIED) and Legal Response Initiative (LRI) – along with a number of regional partners.

The ecbi aims to promote a more level playing field between government delegations to the international climate change negotiations, and to facilitate mutual understanding and trust, both between European and developing countries and among the developing countries.

The overall goal of the ecbi is for climate change negotiators to work together more effectively in shaping an inclusive – and hence more effective and sustainable – global solution to climate change. It seeks to achieve this with the following outcomes:

- [a] Increased understanding among targeted negotiators of each other's positions
- [b] Targeted negotiators have increased negotiation skills
- [c] Targeted negotiators have better information and can use it more effectively
- [d] Targeted negotiators develop positions with the support of ecbi activities
- [e] Targeted woman negotiators are more active in the UNFCCC process
- [f] Targeted national policy makers are better informed about the UNFCCC process

The overall goal of the evaluation is to report on the effectiveness and the efficiency of the ecbi implementation and to make recommendations in the light of its findings.

The evaluation is being carried out during the third year of ecbi Phase IV (which runs from April 2018 to March 2019). See Time plan and Budget section for a full proposed timetable of the evaluation.

Objectives of the evaluation

5. To capture demonstrable **results** to date against ecbi's aims and objectives as stated above
6. To critically assess the **enablers, challenges and risks** in achieving these aims,

particularly with respect to the ecbi gender strategy

7. To utilize the above information to make **recommendations** on how to improve the initiative
8. Suggestions about possible **directions** that the ecbi may want to consider for the future bearing in mind also changing circumstances due to the Paris agreement and other factors.

Scope

- a. Examining the **approach and performance** of the different activities that ecbi has implemented. Special attention will be given to their **relevance, effectiveness, efficiency, results and sustainability**.

The evaluator will be expected to outline the key achievements of the different activities and to highlight reasons for **success**, and analyze and explain possible **failings**.

Special attention will be given to how the ecbi adapted to **changes in its operational environment**, both political and technological (such as outreach instruments).

- b. Assessing the range of **activities** undertaken by ecbi – including common activities such as website management and evidence of benefits spreading beyond the participants of the ecbi events – and comment on their appropriateness, relevance to partners, effectiveness, results and **what contribution** they are likely to make to realizing ecbi's overall objectives, as laid out in the Phase IV Framework.
- c. Drawing lessons learned by ecbi in Phase IV in terms of **capacity buildings, establishing trust, effectiveness** of negotiators at climate change.
- d. Providing recommendations about how to improve the operational **efficiency** of the ecbi and suggestions about possible directions that the ecbi may want to consider for the future.

Methodology

Information for the evaluation will primarily be gained from document review and evaluative interviews. The consultant will assess the following information to be provided by ecbi:

- Workshop reports from Fellowships and Seminars and Regional workshops
- Example of impact collected in the project period, for example meeting minutes, submissions, draft decisions etc. in the negotiations process that can be attributed to ecbi through language tracing or similar
- Website data for example numbers of unique and repeat visits, which particular publications and documents are downloaded and how many times etc.
- Other usage data for publications
- Other monitoring data collected over the project period

Approximately 15 interviews will be conducted, comprising the following interviewees:

- Fellowship and Seminar programme participants past and present

- European Seminar attendees
- ‘Bellwethers’ (senior external participants in the negotiations process who can comment on the impact of the ecbi)
- ecbi staff and Executive Committee members

Interviews will be conducted remotely by Skype or other appropriate methods. Interviewees will be selected from participants lists to represent a cross-section of gender, geographical region and length of engagement with ecbi. Interview transcripts will then be coded and categorised to provide responses to the evaluation questions plus any additional key themes arising.

Note that a cross-section of Training and Support programme participants are also interviewed annually as part of monitoring and evaluation for another donor. Data from the TSP monitoring processes will be included in the evaluation report.

Key areas of the scope of the evaluation will be addressed in the following ways:

OECD-DAC indicators

OECD-DAC indicator	Evaluative question	Methodology
Impact/ results	Description of the overall impact of the project in terms of direct or indirect, negative or positive results Analysis of to what extent participants have shared and communicated their engagement and results from ecbi	Interviews with key stakeholders (as outlined above) Examples of impact collected in project period
Effectiveness	To what extent has the project contributed to the intended outcomes?	Interviews with key stakeholders and all monitoring data relating to achievement of project outcomes
Relevance	To what extent is ecbi relevant to the priorities of the key stakeholders?	Interviews with key stakeholders
Sustainability	Awareness and knowledge generated at different levels of key stakeholders	Interviews with key stakeholders and ecbi staff
Efficiency	Analysis whether the results justify the costs of the project To what extent is ecbi value for money?	Interviews with key stakeholders and workshop reports’

Other evaluative questions

Evaluative question	Methodology
Enablers/challenges to success	Interviews with key stakeholders and consultant SWOT analysis
Adaptation to changing environment	Interviews with key stakeholders and ecbi staff
Contribution of activities to success	Assessment of monitoring data for each outcome
Gender	Interviews with key stakeholders Monitoring data
Lessons learnt and recommendations including suggestions about ecbi's possible directions in the future	To be derived from all above

The first draft of the evaluation will be shared with the ecbi and Sida, giving the option to provide clarifications and suggest edits. A second draft will be developed, and the process may be repeated if required. After this, if there are any outstanding issues they can be included in an ecbi Management Response.

Timetable and Budget

Time frame	Consultant	ecbi
1. Evaluation Phase (September to December 2018)		
w/c 17 th Sept	Literature review	
w/c 24 th Sept	Developing interview questions	
w/c 15 th Oct		Reviewing interview questions
w/c 22 nd Oct		Contacting interviewees
w/c 29 th Oct & w/c 5 th Nov	Conducting interviews	
w/c 19 th Nov	Developing and submitting first draft of report	
w/c 26 th Nov		Reviewing first draft of report
w/c 3 rd Dec	Finalising and submitting final report	
w/c 10 th Dec or w/c 17 th Dec	Presentation of findings	
2. Implementation Phase (March to June 2019)		
t.b.d.		

The Evaluation Phase will take a total of 15 days and the Implementation Phase 5 days. The day rate will be £355.-

Pre-agreed expenses, such as phone charges, will be paid separately
The total budget inclusive expenses is not to exceed £7500.

Sample Interview Questions

1. Fellowships and Seminars

1.1 Participating negotiators

Relevance: Are there any other initiatives with similar goals to the Fellowships/Seminars? What, if anything, makes the Fellowships/Seminars unique?

Effectiveness: How useful do you rate the Fellowships/Seminars to be? If you can, please give examples.

Efficiency: Please comment on the organisation of this Fellowship event/Seminar.

Outcome [a]: As part of this Fellowship event/Seminar, have you had an opportunity to explain your own position, and gain an understanding of other's positions? If you can, please give examples.

Outcome [d] (Fellowships only): Has your experience at the Fellowships influenced any positions you have developed? In what way? Please give examples.

Outcome [e] (women negotiators only): What do you see as the particular challenges for women negotiators in the UNFCCC process? Has attending the fellowship event/Seminar changed how you participate in the process? If so, please explain how.

1.2 External Stakeholders ('bellwethers')

Relevance: Are there any other initiatives with similar goals to the ecbi Fellowships/Seminars? What, if anything, makes the ecbi unique?

Outcome [a]: Following their participation in the ecbi Fellowships/Seminars, have you noticed any change in negotiators' approach towards the viewpoints of others? Please give examples.

Outcome [d]: Following their participation in the ecbi Fellowships/Seminars, have you been aware of any negotiators developing joint positions? Please give examples.

Outcome [e] (For men or women bellwethers): What do you see as the particular challenges for women negotiators in the UNFCCC process? Do you the ecbi addressing these issues in any way? Please give examples.

2. Training and Support programme

(Covered by TSP monitoring and evaluation processes – see Annexe 2)

3. Support to ecbi Caucuses on the GCF and the SCF

3.1 Caucus/ad hoc meeting participants

Outcome [c]: Please rate how informative you have found the Caucus/ad hoc meeting. If you have found it informative, please give examples.

Do you think you will use this information in the negotiation process? If so, how?

Outcome [d]: Has your experience at the Caucus/ad hoc meeting influenced any positions you have developed? In what way? Please give examples.

3.2 External stakeholders

Relevance: Do you think the Caucuses held by the ecbi are meeting a need in the negotiations process? If so, why/why not?

Outcome [c]: Have you noticed any negotiators demonstrating enhanced knowledge of GCF/SCF issues following their participation in the Caucus/es? If so, please give examples.

Outcome [d]: Following their participation in the Caucus/es, have you been aware of any negotiators developing joint positions? Please give examples.

4. PPAU

4.1 Interviewees from Fellowships and other ecbi activities

Outcome [c]: Have you accessed any of the ecbi Publications? Did you find them informative? If yes, please give examples.

Do you think you will use this information in the negotiation process? If so, how?

Outcome [d]: Have you utilised information from any ecbi publications in developing positions? In what way? Please give examples.

5. ecbi staff and Executive Committee members

Impact/results: Please give examples of the ecbi's impact on the negotiations process, whether intended or unintended. What were the underlying enablers of the impact? Can you clearly attribute this impact to the activities of the ecbi?

Relevance: Are there any other initiatives with similar goals to the ecbi Fellowships/Seminars? What, in your mind, makes the ecbi unique?

Sustainability: What steps are you taking to ensure the sustainability of impacts beyond the life of the ecbi programme? How are you working with other stakeholders in the negotiations process to endure sustainability?

Enablers/challenges to success: Evaluator will undertake a SWOT (strengths, weaknesses, opportunities, threats) with interviewees – either individually or as a team

Adaptation to changing environment: What have been the key changes in the ecbi's operating environment since the previous evaluation? How have these impacted on the work of the ecbi? What actions has the ecbi taken to adapt to these changes? Has this been successful? If so: why? If not: why not?

Gender: What is the ecbi's strategy for improving the participation of women in the negotiations process? What have been the challenges and the successes? Give examples.

Lessons & recommendations: What do you think are the key lessons learnt by the ecbi in this evaluation period?

6. All interviewees

Efficiency: In your experience, are ecbi events well run? Do you think there are any ways the ecbi could achieve the same outcomes more efficiently or economically?

Lessons & recommendations: What are your recommendations for the ecbi going forward?

Sample Interview questions from TSP monitoring and evaluation processes

Negotiators general

1. Tell me about your experience with the ecbi Training and Support Programme
 - Follow up questions as appropriate
2. Did you find the ecbi Training and Support Programme provided useful, relevant information on the negotiations process?
3. Were you able to use any of this information in the negotiations? (Give examples)
4. Following the workshop, how would you score yourself on a level of 1 (I am still not knowledgeable) to 10 (I have all the knowledge I need to participate in the negotiations)?
5. Do you think the ecbi Training and Support Programme helped with your negotiation skills? If so, give details
6. Were you able to use any of these skills in the negotiations process? (Give examples)
7. Have you developed any positions with the support of ecbi Training and Support Programme?
8. Has the ecbi training and support programme helped you take forward or develop positions (either in the UNFCCC negotiations or within your national processes)?
9. Are there any other ways in which you've used knowledge and skills gained from the ecbi Training and Support Programme?
10. Are you engaged in policy making at the national level? – If yes, see question below
11. Have you come across any other resources provided by the training and support Programme/ecbi? (For example, policy briefs) How did these help you in your work?
12. Is there anything else you could tell me about that you think might be useful for us to know?
 - Follow up questions as appropriate

National policy makers

If negotiator is also a national policy maker, ask questions for general negotiators above, plus:

1. Has your experience with TSP helped with any national-level policy making processes? (Give examples)

Women negotiators

Questions for general negotiators as above, plus:

1. What do you see as the specific challenges facing women in the negotiations process (if any)?
2. Has TSP enabled you to be more active in the negotiations? (Give examples)

Bellwethers

1. Tell me what you know about the work of the TSP

(Questions 2-4) below depending on the example the bellwether has witnessed):

2. Have you seen examples of negotiators benefitting from TSP support in the negotiations?
 - Have you seen an increase in knowledge/skills
 - Give examples
3. Have you observed any TSP-supported negotiators working together/using joint positions in the negotiations process?
4. Can you give any examples of women negotiators being more active in the negotiations process as a result of support from TSP?
5. Is there anything else you could tell me about that you think might be useful for us to know?
 - Follow up questions as appropriate

Evaluator profile

LUCY HEAVEN TAYLOR

HUMANITARIAN AND DEVELOPMENT CONSULTANT



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PROFILE

I am a senior humanitarian and development specialist with more than twenty years' experience in the sector. Working a range of UN and NGO clients, I deliver results in programme effectiveness, accountability and safeguarding/PSEA (protection from sexual exploitation and abuse). My work in programme effectiveness includes conducting evaluations and organizational reviews and advising on monitoring and evaluation systems.

I am a high-profile contributor in the field of safeguarding and PSEA, advising on policy, training, conducting investigations and speaking at conferences and seminars.

EXAMPLES OF RECENT WORK

Programme Performance

- **Dfid** Regular facilitator on Delivering Effective Aid Programmes training for Dfid staff
- **Bond** Training on MEL (monitoring, evaluation and learning)
- **Oxfam** Review and analysis of programme design for Dfid PPA (Programme Partnership Arrangement), developing materials to synthesise and communicate results
- **ecbi** (European Capacity Building Initiative) evaluation of Sida & CDKN-funded climate change network
- **LRI** (Legal Response Initiative) evaluation CDKN-funded NGO
- **ecbi** Retained as Independent Monitor providing support on design and implementation of monitoring and evaluation strategy
- **Hope for Children** Training on monitoring and evaluation
- **Build Africa** Advisory support on developing programme accountability structures

Accountability

- **Oxfam** and **ECB** (Emergency Capacity Building project) Designed widely used accountability toolkits
- **CHS Alliance** Developed guidelines for NGOs on making complaints data public
- Oxfam Conducted innovative participatory reviews of accountability to partners and communities
- **UNHCR** Conducted sessions on complaints handling training

Safeguarding & PSEA

- **Oxfam** Developed Oxfam International's strategy on safeguarding and protection from sexual exploitation and abuse following high-profile media attention
- Member of **DfID's** safeguarding expert's reference group
- **CARE** Developed Minimum Standards and guidance on PSEA for MENA region
- **Oxfam** Delivered training on child protection in range of global locations
- **CHS Alliance** Lead facilitator for Investigating SEA Complaints workshops globally, developed internationally-recognised Guidance on Investigating Complaints of SEA
- Conducted safeguarding investigations for **international NGOs** in global locations
- **World Vision** Conducted review of organizational performance on PSEA and developed organizational strategy and resources

PROFESSIONAL EXPERIENCE

2012–present Humanitarian and Development Consultant

2007-2012 Global Programme Officer Accountability & PSEA, Oxfam GB

Location: UK

- ☐ Member of a global advisory team that delivers programme effectiveness and accountability
- ☐ Global advisory support on accountability to partners and communities, designing and delivering training and capacity building
- ☐ Representation at a high level to UN agencies, key donors and inter-agency networks
- ☐ Prevention and response for PSEA (prevention of sexual exploitation and abuse) - including training, developing policy and investigating complaints

2002-2007 Regional Humanitarian Officer, Oxfam GB

Location: UK & Darfur

- ☐ Key liaison between humanitarian programmes and HQ for East Asia and Southern Africa regions, then GBP 11 million Darfur response

2001-2002 Regional Programme Officer, Save the Children UK

Location: UK

- ☐ Technical management of SC UK's humanitarian and development programmes in South & Central Asia, including post Sept 11 GBP 7 million programme in Afghanistan & Pakistan

2001 Balkans Regional Manager, Merlin

Location: Albania & Serbia

☐ Managed of Merlin's USD 1.2 million primary health care programmes in Albania and Federal Republic of Yugoslavia (now Serbia)

1999-2000 Regional Finance and Administration Controller, Merlin

Location: Albania

☐ Responsible for financial management and administration on Merlin's USD 2 million programme in the Balkans

1996-2000 Posts with Oxfam GB, Including:

Office Manager, Oxfam GB

Location: Kosovo

☐ Scaled up office's finance and administration systems to cope with the new humanitarian programme

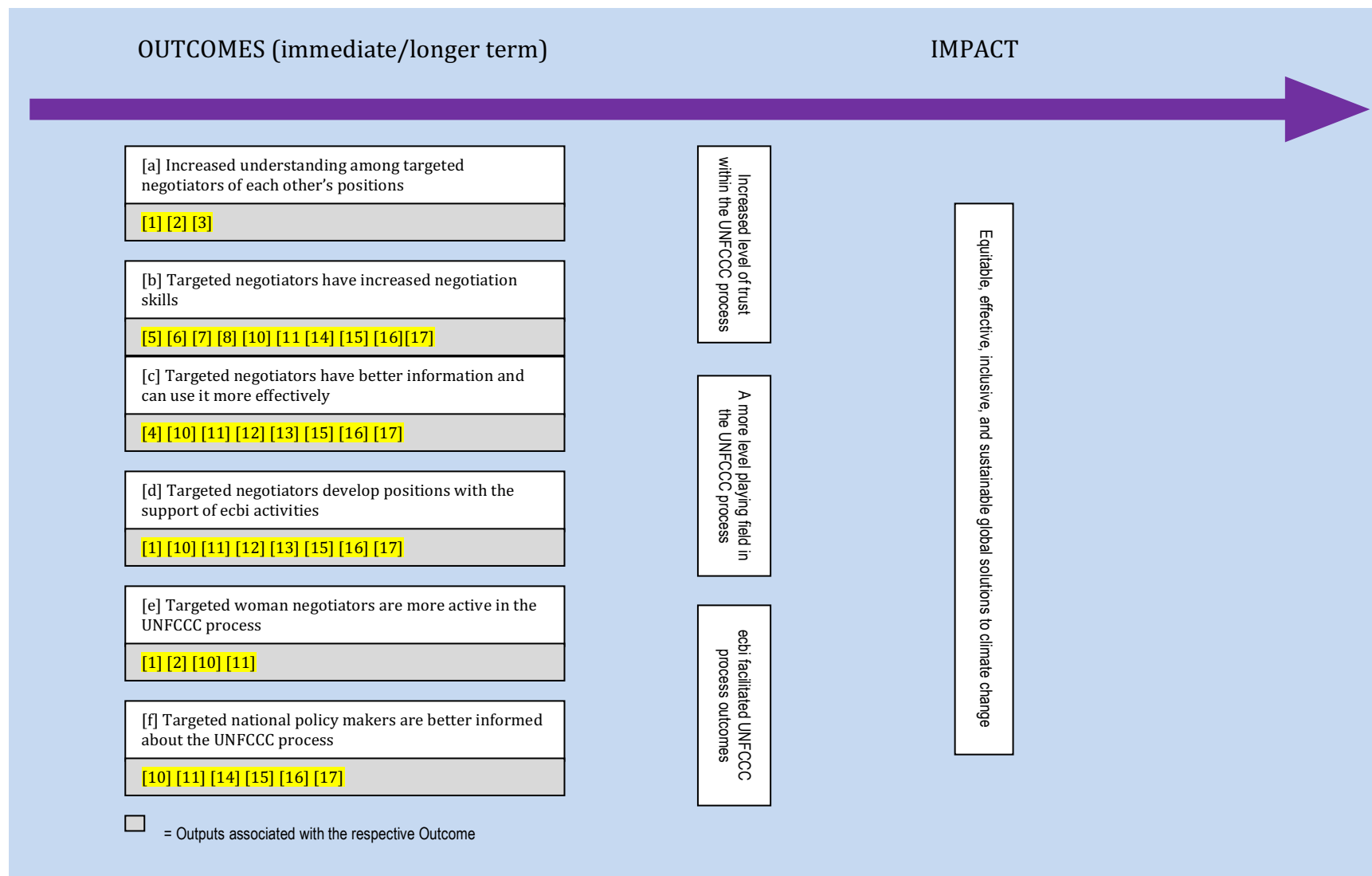
☐ Managed finance and administration team, member of management team

☐ Security responsibility

EDUCATIONAL BACKGROUND

☐ Degree: BA Hons English Literature, University of Sheffield (1992-1995)

Annex III: Results framework



Output-Outcome Matrix							
Outputs		Outcomes					
	Output Lead	[a] Mutual understanding	[b] Increased s	[c] Better information	[d] Developing positions	[e] Woman negotiators	[f] National po makers
Fellowship Programme							
[1] Fellowships and Seminar	OCP	X			X	X	
[2] Bonn Seminar	OCP	X				X	
[3] Ad hoc Seminars	OCP	X					
[4] The Finance Circle	OCP			X			
Training and Support Programme							
[5] Regional training workshop	IIED		X			?	?
[6] Pre-COP workshops	IIED		X		X	?	
[7] Ad hoc support to LDC representatives	IIED		X		X	?	
[8] ecbi Bursaries	IIED		X		X	?	
[9] Logistics support for target LDC Group delegates	IIED				X		
[10] Webinars and other web tools	LRI		X	X		X	X
[11] Ad hoc advice to negotiat	LRI		X	X		X	X
[12] ecbi caucuses	OCP			X			
Publications and Policy Analysis Unit							
[13] ecbi Policy Briefs	OCP			X			
[14] Background Papers	OCP/II						X
[15] LDC Paper Series	IIED			X	X		X
[16] Legal Briefing Papers	LRI			X	X		X
[17] Training Manuals	LRI			X	X		X

Annual Outcome Indicators and Means of Verification

Outcomes	Indicators	Means of Verification	Who will collect data	Timeframe
[d] Increased understanding among targeted negotiators of each other's positions	60 % of Fellows report increased understanding of other's positions & are able to give examples 40% of Seminar participants report usefulness in increasing understanding of other's positions & are able to give examples	Feedback forms Electronic monitoring system Interviews	OCP Independent monitor Independent Evaluator	At the end of each event Throughout Phase IV During independent evaluation(s)
[e] Targeted negotiators have increased negotiation skills	60% of targeted negotiators report increased negotiation skills	Feedback forms Submissions	IIED IIED	At the end of each event Every year
[f] Targeted negotiators have better information and can better use it in negotiations	60% of targeted negotiators state that they are better informed & are able to give examples 3 examples are provided of targeted negotiators using information in the negotiations process	Feedback forms 'Bellwether' comments Interviews with negotiators	OCP/LRI/PPAU Independent monitor Independent Evaluator	At the end of each event Throughout Phase IV During independent evaluation(s)
[d] Targeted negotiators develop positions with the support of ecbi activities	3 positions are developed by targeted negotiators with the support of ecbi 1 example of language developed by targeted negotiators is echoed in a decision text At least two examples are provided where countries/ groups used information provided by ecbi for their submissions	Meeting reports (Draft) decision texts Electronic monitoring system	OCP/IIED/LRIOCP/IIED/ LRI Independent monitor	At the end of each event Throughout Phase IV Throughout Phase IV
[e] Targeted woman negotiators are more active in the UNFCCC process	60% of targeted women negotiators state that they are more active in the negotiations & are able to give examples 2 examples are provided of targeted women negotiators being more active in the negotiations process	Feedback forms 'Bellwether' comments Interviews with negotiators	OCP/IIED/LRI Independent monitor Independent Evaluator	At the end of each event Throughout Phase IV During independent evaluation(s)

[f] Targeted national policy makers are better informed about the UNFCCC process	At least 3 targeted national policy makers demonstrate they are better informed about the UNFCCC process	Statements by targeted policy makers in national media, reports, conferences etc. Interviews with national policy makers	IIED Independent Evaluator	Throughout Phase IV During independent evaluation(s)
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Annual Output Indicators and Means of Verification

Outputs	Indicators	Means of Verification	Data collect'n	Verification Schedule
Fellowship Programme				
[1] Oxford Fellowships and Seminar	1 Fellowship & Seminar At least 8 Fellows attend At least 20 Seminar participants	Oxford Seminar Report ecbi data base	OCP	After Each Event (AEE)
[2] Bonn Seminar	1 Bonn Seminar At least 20 participants	Bonn Seminar Report	OCP	AEE
[3] Ad hoc Seminars	At least 1	Chronicle on ecbi website	OCP	AEE
[4] The Finance Circle	Web platform re-developed At least 70 negotiators sign up	Finance Circle website URL List of negotiators on website	OCP	Platform completion Annual
Training and Support Programme				
[5] Regional training workshops	2 workshops At least 60 junior negotiators and parliamentarians trained	Workshop Reports IIED database	IIED	AEE Annual
[6] Pre-COP workshops	At least 30 negotiators have increased awareness about the upcoming COP	Workshop report, feedback forms	IIED	AEE
[7] Ad hoc support to LDC representatives in various UNFCCC bodies	At least 2 LDC representatives are supported	Feedback forms Reports by the representatives	IIED	Annual
[8] ecbi Bursaries	At least 6 bursaries	Bursary reports	IIED	Annual
[9] Logistics support for targeted LDC Group delegates	At least 10 LDC members are provided with logistics support	Reports by those who are supported	IIED	Annual

[10] Webinars and other web based tools to continue learning and exchange experiences	2 webinars	Recording of webinar LRI website database	LRI	Annual
[11] Ad hoc advice to negotiators in connection with UNFCCC meetings	Legal advice provided to developing country negotiators within 24 hours during negotiations	Date stamped e-mails from LRI e-mail database	LRI	AEE
[12] Support to the ecbi caucuses on the GCF and the SCF	ecbi staff attending the SCF and GCF Board meetings Provision of public Submissions and Discussion Notes Provision of confidential annotated meeting documents	Meeting reports Submissions and Discussion notes Meeting documents	OCP	Ongoing
II Publications and Policy Analysis Unit				
[13] ecbi Policy Briefs	At least 1 Policy Brief produced annually	ecbi Publications Catalogue	PPAU	Annual
[14] Background Papers	At least 2 Background papers produced annually	ecbi Publications Catalogue	PPAU	Annual
[15] LDC Paper Series	At least 5 Briefing Papers annually	ecbi Publications Catalogue	PPAU	Annual
[16] Legal Briefing Papers	5 Briefing Papers published annually	LRI website database	LRI	Annual
[17] Training Manuals	3 training manuals published	LRI website database	LRI	Annual