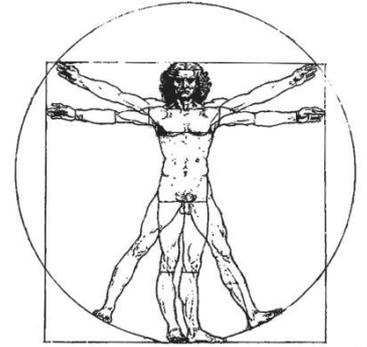


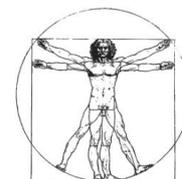
ecbi



Phase III Proposal

ecbi Executive Committee

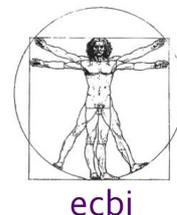
May 2011



ecbi

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Overview

Objective

The European Capacity Building Initiative (ecbi) was launched in 2005 with the objective of building and sustaining the negotiating capacity of, and trust between, developing and developed country climate change negotiators, in support of the UN climate change negotiations.

Goals

The Initiative 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 developed and developing countries, and among developing countries. This, in turn, aims to contribute towards a more inclusive – and hence more effective and sustainable – global solution to climate change.

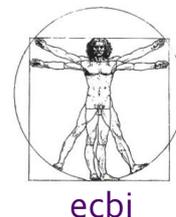
Solution

The Initiative includes trust-building activities aimed at senior negotiators from developing and developed countries (the Oxford Fellowships, Seminars in Oxford and Bonn, Discussion Groups, and Policy Analysis); and capacity-building/utilization activities aimed at junior negotiators and policy makers from developing countries (Regional Workshops, Workshops before the Conference of Parties to the UN Framework Convention of Climate Change (UNFCCC), Bursaries, Residencies and Background Papers).

This approach has proven very effective over the past five years of ecbi's existence, with direct and demonstrable impacts on the formal UN negotiations, and on the negotiating capacity of countries, regions and negotiating groups (see Annex V).

Current Proposal

The following document lays out a proposal for funding for Phase III of the Initiative, for 3/5 years (from 2011-2014/16). It describes the goals and deliverables proposed for Phase III. A Result Based Matrix is included, to monitor progress over the duration of the Phase and consider risks and risk management strategies, and hence ensure targets are met.



Background

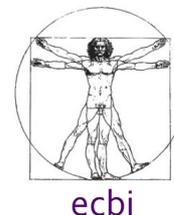
The European Capacity Building Initiative (ecbi) was launched in 2005, with the objective of building and sustaining the negotiating capacity (capacity of negotiators to negotiate effectively) of, and trust between developing and developed country climate change negotiators in support of the international climate change negotiations. 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 developed and developing countries, and among developing countries.

While the need for such capacity- and trust-building among climate negotiators is indisputable given the ongoing climate of distrust, it was always clear that it would be a difficult task. Climate negotiators from developed and developing countries are stretched for time in an increasingly complex and hectic global schedule of events under the UNFCCC and elsewhere. Senior negotiators, in particular, find it difficult to justify to their Ministers why they needed time away from national capitals to invest in capacity- and trust-building. Many developing country negotiators are also wary of capacity-building exercises involving discussions around their national positions. Before any trust building could even begin to take place, ecbi had to win the trust of the negotiators.

The extent to which ecbi has succeeded in overcoming these considerable barriers and turned its events into “important dates in the negotiators’ diary” (as a recent ecbi evaluation found) is testimony to the effectiveness of ecbi’s approach. During the two Phases completed so far (2005-2007 and 2008-2010), over 60 events have been organised in 20 countries, reaching out to well over 1100 negotiators and policy makers. 60 Fellows from 30 developing countries have attended the Fellowships. Among them were Chairs of key UNFCCC negotiating bodies – including the Ad-Hoc Working Group on Long-Term Cooperative Action (AWG-LCA), the Subsidiary Body for Implementation (SBI), the Subsidiary Body for Scientific and Technological Advice (SBSTA), the Executive Board of the Clean Development Mechanism (CDM), the Africa Group, the Adaptation Fund Board, the Least Developed Country (LDC) Expert Group and five Chairs of the LDC Group. There were also two Deputy Ministers, three Permanent Secretaries (present and former), a Deputy Permanent Representative and a former Permanent Representative to the UN, as well as a number of directors and director generals. In the Oxford Seminars, 52 senior negotiators from European countries and the European Commission joined the Fellows. The recently initiated ecbi Finance Circle, open to a broader membership, already includes over 60 members from several countries, ranging from Australia, Barbados and Brazil, to the US, Zambia and Zimbabwe.

There is also clear evidence that these activities have had direct and positive impacts on the international negotiations; the negotiating capacity of countries and regions; and the capacity of individual negotiators. The activities have contributed to trust and better understanding between negotiators; and to a better understanding of climate change issues at the national level, beyond traditional climate change communities. The role played by ecbi in the Adaptation Fund negotiations went a long way in establishing this trust, and in proving the merit of open and informal discussions to resolve complicated issues. The recent success of the Finance Circle in suggesting compromises in the climate finance discussion in Cancun has helped to seal the reputation of ecbi as an effective forum to which negotiators can take the areas of dispute under the UNFCCC, and hope to return with a compromise forged in a more relaxed and friendly atmosphere.

These accomplishments are described in detail in Annex V to this Proposal. In addition, two independent evaluations of ecbi’s work have been carried out by Helios International, and are available on the ecbi website.



I. Strategic objectives

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 recognises 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.

2. Overall Goals

The ecbi is committed to the overall goal of the global climate change negotiations, articulated in Article 2 of the UN Framework Convention on Climate Change: to prevent dangerous climate change, without compromising economic development in a sustainable manner.¹ It also subscribes to the Principles laid out in Article 3 of the Convention, in particular those calling for equity in efforts; and full consideration for the specific needs and special circumstances of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change.

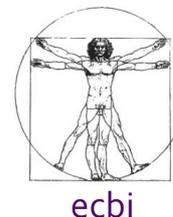
The ecbi believes that a workable solution to climate change is only achievable if the interests and concerns of all countries are taken into account while designing a fair and equitable solution. It is therefore essential that all countries have the capacity and opportunity to participate fully in the formulation of global solutions. Only then will they have the necessary ownership and incentive to implement solutions at the national and local level.

In supporting the goals of the UNFCCC, ecbi also contributes to the fulfillment of the Millennium Development Goals (MDGs), which rely on a successful response to climate change – particularly in the regions of Sub-Saharan Africa and South Asia, which are considered the most vulnerable to climate change, but are lagging behind in the achievement of the MDGs.

The need for capacity building in developing countries is a crosscutting issue in many Multilateral Environmental Agreements, including the UNFCCC. The different elements of capacity building are articulated in the Bali Strategic Plan for Technology Support and Capacity Building (BSP), adopted by the Global Ministerial Environment Forum as part of their attempts to improve arrangements for International Environmental Governance.²

¹ Article 2, setting out the Objectives of the UNFCCC, states that (t)he ultimate objective of this Convention and any related legal instruments that the Conference of the Parties may adopt is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.

² UNEP (2005). International environmental governance: implementation of decisions of the seventh special session of the Governing Council/Global Ministerial Environment Forum and the World Summit on Sustainable Development on the report of the Intergovernmental Group of Ministers or Their Representatives on International Environmental Governance. UNEP/GC.23/6/Add.1. <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>. The Objectives of the BSP include, inter alia, the need to: strengthen the capacity of Governments of developing countries as well as of countries with economies in transition, at all levels; To participate fully in the development of coherent international environmental policy; To comply with international agreements and implement their obligations at the national level; To provide a framework for capacity-building to ensure the effective participation of developing countries as well as countries with economies in transition in negotiations concerning multilateral environmental agreements.



The need for capacity building to ensure effective participation of developing countries is echoed in the UNFCCC negotiations, particularly Decision 2/CP.7 of the Marrakech Accords which adopted a Framework for Capacity Building. The Framework recognises that capacity building for developing countries is essential to enable them to participate fully in, and to implement effectively their commitments under, the Convention. The framework calls for capacity building for improved decision-making, including assistance for participation in international negotiations; and to promote the participation of a wide range of stakeholders, including governments at all levels, national and international organizations, civil society and the private sector, as appropriate.

The Marrakesh Accords include a specific decision on the capacity building needs of LDCs. Decision 5/CP.7 establishes the LDC Work Programme, which includes, inter alia, training on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the least developed countries to participate effectively in the climate change process. In 2003, the LDC Expert Group (LEG) noted that according to the mandate outlined in decision 5/CP.7, paragraph 11 (b), and based on feedback from LDC Parties to members of the group, the immediate priority is to enable LDC Parties to participate effectively in the climate change process.³

3. Target Groups and regions⁴

ecbi's "target group" includes negotiators from developing countries which either have a key role in the climate change negotiations (for instance, the BASIC countries which include Brazil, China, Egypt, India, and South Africa, and regional leaders), or are particularly vulnerable to climate change impacts (LDCs, for instance). With respect to North-South trust-building, the ecbi focuses on Europe, based on a recognition of the leadership role that countries in Europe can play in bridging the gap between the richer developed countries and the poorer developing countries in the international negotiations.

The identification of this target group does not, however, exclude other relevant interested countries. For instance, the policy analysis generated by ecbi is of relevance to all countries participating in the UNFCCC negotiations. Taking advantage of the low costs involved in web-based communication (and the interest shown by a wider group of developed and developing countries), the activities of the ecbi Finance Circle are open to all UNFCCC Parties.

4. Governance and management

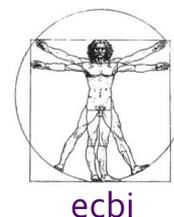
ecbi is a network of institutional Members - mainly Oxford Climate Policy (OCP), the International Institute of Environment and Development (IIED). The management and governance structure of the Initiative aims to ensure overall quality control and integration, while ensuring that ecbi activities are driven by its stakeholder community.

The activities proposed for Phase III are broadly categorised into three management / funding windows:

- **Fellowship Programme** (managed by OCP. Activities include the Fellowships and Oxford Seminar; the Bonn Seminar; the Finance Circle; and the Ad Hoc Seminars);
- **Workshop Programme** (managed by IIED. Activities include the Regional Workshops; Pre-COP Workshops; Bursaries and Legal Residencies); and

³ FCCC/SBI/2003/INF.6

⁴ Whereas 'Groups' refers to negotiating groups formed under the UNFCCC (such as the LDC Group and BASIC), 'Regions' refers to the UNFCCC definition of regions – viz. 'Alliances of countries, in most cases sharing the same geographic region, which meet privately to discuss issues and nominate bureau members and other officials for activities under the Convention. The five regional groups are Africa, Asia, Central and Eastern Europe (CEE), Latin America and the Caribbean (GRULAC), and the Western Europe and Others Group (WEOG).'

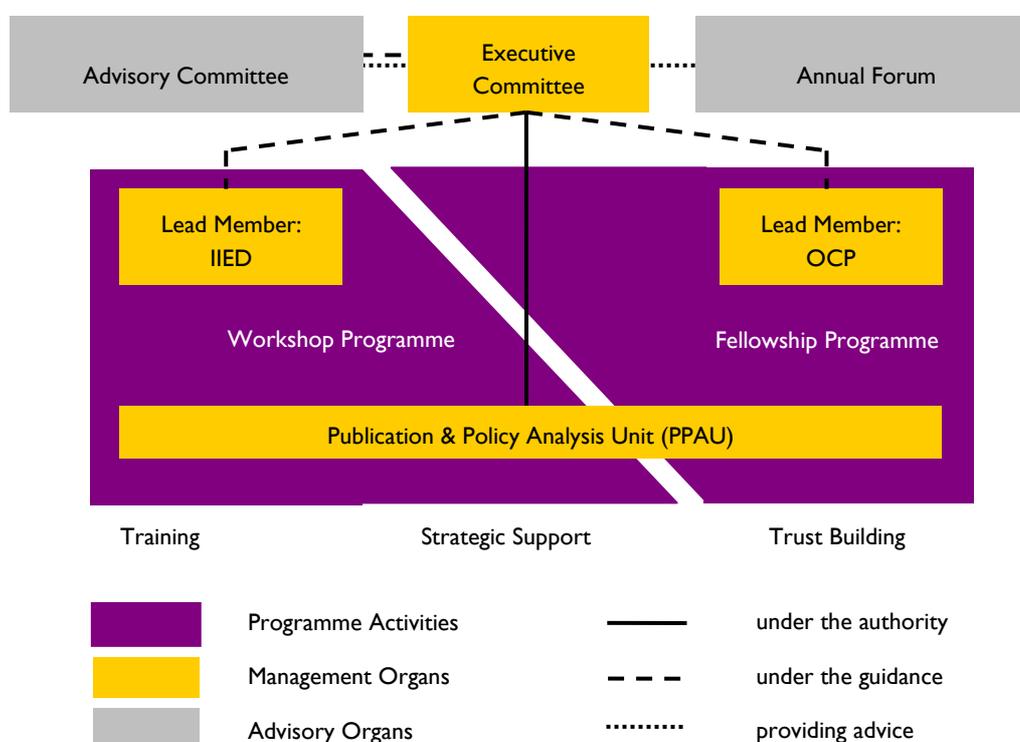


- **Publications and Policy Analysis Unit** (PPAU - managed by the Executive Committee. Activities include the publication of Policy Briefs and Background Papers).

The Members nominate a **Programme Head** to manage the two Programmes. The PPAU, which serves a crosscutting function by meeting the policy needs of both Programmes, is jointly managed. The two organisations appoint a PPAU Head to deal with the day-to-day functioning of the PPAU.

An **Executive Committee**, chosen by the institutional Members, includes the ecbi Director and the Programme and PPAU Heads as ex-officio members. This Committee has the following tasks:

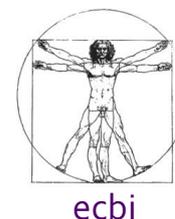
- Allocate ecbi core funding to the three funding windows, with advice from the Advisory Committee;
- Elect the ecbi Director;



- Provide guidance to the two Programme Heads for day-to-day Programme management;
- Appoint the Head of the PPAU, and take decisions on PPAU activities.

The Executive Committee takes decisions by consensus. Where that is not possible, the decision is referred to the Advisory Committee. The **ecbi Director** is the spokesperson for the ecbi, and responsible for common activities. S/he chairs the Executive Committee, and is ex officio participant at Advisory Committee meetings.

Feedback and strategic advice is sought from the **Advisory Committee** and through an **Annual Forum**. The Advisory Committee includes two Co-Chairs (one from a developing country and the other from Europe); and other members (at least half of which must be from developing countries). The Director is responsible for operational support to the two Co-Chairs. Membership is for a three year period, and can be renewed. New members are appointed by the existing Committee, on recommendation by the



Executive Committee. Funders can also nominate a representative to the Advisory Committee (although the Committees may set a minimum contribution in this context). The Advisory Committee also oversees the external monitoring and evaluation of the ecbi activities, and can – with approval from ecbi funders – approve changes in budget lines. The Advisory Committee and the Executive Committee meet during UNFCCC sessions where possible.

The ecbi Annual Forum is convened once a year and chaired by one of the Co-Chairs of the Advisory Committee. It is open to all members and stakeholders, and is organised as an opportunity for ecbi to get feedback on its activities from stakeholders. Such feedback is also constantly sought during ecbi activities, where participants contribute to the format and agenda of the meeting, to ensure that ecbi activities are genuinely 'country driven'; and that their substance reflects, in particular, the demands of developing country participants.

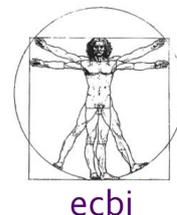
Administrative functions such as accountancy and subcontracting are devolved to the two Lead Members (IIED and OCP) chiefly because the ecbi does not possess a legal personality. Within the framework laid down in the Phase III Proposal and budget, and given the funding allocations, decisions on the day-to-day activities are taken as follows:

Decision	Taken by
Fellowship Programme activities	Head of the Fellowship Programme
Workshop Programme activities	Head of the Workshop Programme
Publications and policy analysis	Head of PPAU/Executive Committee
Other common activities	Director
Allocation of 'programmatic' funds	Executive Committee
Budget line item changes (over 10%)	Advisory Committee
Monitoring and Evaluations	Advisory Committee

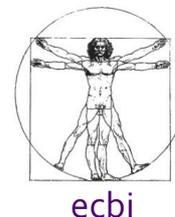
5. Lessons learnt and evolution of ecbi's strategy in response

During the Pilot and Second Phase, ecbi has learnt a number of lessons that have been taken on board or addressed, to improve the effectiveness of the Initiative. A few examples are listed below.

- It is not possible for senior negotiators to justify more than a week away from their national capitals for capacity and trust building. In response, we dropped the country visits in favour of spending a more productive week at the Fellowship and Seminar.
- Initially, we tried mostly to get new Fellows each year, which was appropriate to spread the idea of the Fellowships. However, we found that for greater impact, it is better to have some continuity, particularly in case of Group chairs. This is what we will try to do in future, building on the success of the 2010 Fellowship.
- Initially, the Bonn Seminars were completely unstructured in order to let the participants drive the agenda, but it turned out to be more effective if we identified some themes for the participants.
- It has proven to be very useful to have thematically dedicated activity streams (such as the Finance Circle), complemented with the ability to react rapidly to the need for more ad hoc events (Ad hoc Seminars).



- South-South trust building particularly between BASIC and other developing countries is of paramount importance. The Finance Circle, in particular, needs to put particular emphasis in the relations with BASIC countries.
- Informal gatherings during the Fellowship and Seminar are important to allow for informal discussions. After-dinner discussions have been encouraged as a result.
- The Policy Analysis Programme is most effective when it is a service provider to the two Programmes rather than an independent programme in its own right. It has thus been turned into a service-providing Unit.
- One problem we found was the lack of continuity of negotiators who did not always attend every session. We started the bursaries to support a number of them regularly, to maintain continuity.
- Another (related) problem was the lack of expertise within the LDC Group on specific negotiating tracks (each track requiring considerable expertise to follow effectively rather than just superficially) so we asked the bursary-holders to choose a specific topic to follow and gain expertise in it. Over time, these 'subject specialists' have become valuable resource persons for the national/ regional/ Group delegations. ecbi has also been able to shift from using external resource persons for specific topics to using resource persons from within the ecbi community – moving from capacity building to capacity utilization in this context.
- For the Workshop Background Papers, we found having co-authors – one from a developed country and another from a developing country – helped promote better understanding and ownership.
- Bursary holders have recently been asked to write reports on their experience and understanding, to disseminate it further in the region/country.



Phase III Business Plan

6. Organization and Implementation

Phase III ecbi proposes to build on its work in the first two Phases. The lessons learnt, and the trust and goodwill earned by ecbi in the last five years of its work, will serve as an impetus in the further achievement of its overall goals.

6.1. Fellowship Programme

The Fellowship Programme, managed by Oxford Climate Policy, includes the following Phase III activities:

- Oxford Fellowships and Seminar
- Bonn Seminar
- Finance Circle
- Ad-hoc Seminars

Deliverables in Phase III

In Phase III, the Fellowship Programme will aim to attract 8-12 senior Fellows each year, and 20-30 participants for each of the Seminars. It will continue to moderate the activities of the ecbi Finance Circle, and to support the Publications and Policy Analysis Unit in producing ecbi Policy Briefs.

Specific Objectives

In keeping with the overall objectives of the ecbi, the Fellowship Programme aims to build the negotiating capacity of developing country governments in the UNFCCC. Its primary focus, however, is to build trust – a key to the success of the multilateral negotiations – between developed (particularly European) countries and the developing world ('North-South trust-building'); as well as between the participating developing countries ('South-South trust-building').

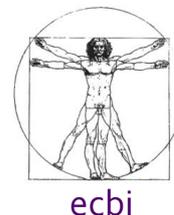
Open, informal discussions under the Chatham House rule are encouraged among the negotiators, beyond the boundaries of Group and national positions, to foster compromises that aid progress in the multilateral negotiations. The Programme also aids ecbi Fellows and other senior developing country negotiators develop workable proposals to the international negotiations, which address their own concerns while proposing a way forward.

Defining the Problem

Trust between countries is widely recognised as a key ingredient for a successful solution to climate change under the UNFCCC. For many years now, commentators from varied backgrounds have noted the erosion of this trust – particularly between developing and developed countries – with concern. Things appeared to come to a head in Copenhagen in 2009, when countries met to agree on a successor to the Kyoto Protocol. The Conference failed to come up with a workable solution, and many (including the UN Secretary General) attributed this failure to a "trust issue" between rich and poor countries.

Many feared that the UNFCCC negotiations would be written off and collapse as a result of Copenhagen's failure, with the climate negotiations moving to other fora such as the Group of 20 and Major Economies Forum. This was a dangerous situation, as it would clearly alienate a large number of poor and vulnerable countries and contribute to further erosion of trust.

The core ecbi constituencies recognise the importance of a fair, balanced and multilateral solution to the problem of climate change. They also recognise the importance of the United Nations as a forum under which such an agreement, which addresses



the concerns of all Parties, is possible. Developing countries, in particular, have often made it clear that the UN is the only global institution where they feel their interests are adequately addressed.

Although the Cancun Conference in 2010 succeeded in resuscitating the UN negotiations, much work remains in crafting an acceptable and meaningful post-2012 solution to climate change mitigation and adaptation. The need for trust-building is stronger than ever, and a number of different ways for achieving this have been proposed by different stakeholders – including, for instance, mitigation targets that reflect responsibility; honouring financial promises; and ensuring the negotiating process itself is inclusive, open and transparent.

At the most basic level, however, what appears to be missing at the UN talks is trust among individual negotiators – an understanding that a mutually acceptable solution is being sought, with all concerns taken on board through an inclusive process. Although the frequency of climate meetings – under the UN and elsewhere – has meant that negotiators are, by default, ‘colleagues’ working towards a common goal, the atmosphere in these meetings is hardly ‘collegiate’ enough to facilitate solutions to the common problem of climate change. The negotiating process itself does not provide many opportunities for negotiators to build a collegiate relationship with each other, although many of them have been part of the negotiations for many years. Negotiators are not often able to step away from entrenched national positions, and hold informal discussions in the hope of coming up with compromises.

This level of basic trust building among negotiators is the primary goal of the ecbi Fellowships. The Fellowships aim to encourage personal engagement and familiarity among negotiators from developing countries and their European colleagues, and provide opportunities for informal discussions and exploration beyond the boundaries of nationally held positions, without the fear that national positions may be compromised.

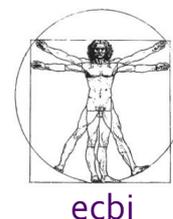
Programme Organisation and Implementation

The **Oxford Fellowships** each comprise a Fellowship Colloquium, meant for closed-door discussions among senior developing country negotiators, followed by the **Oxford Seminar**, which is convened by the Fellows to discuss topics of their choice with European colleagues. In addition to building personal relationships and trust between the Fellows and European negotiators, the Oxford Seminars also serve as a capacity building exercise for European negotiators by providing them an opportunity to understand the basis of G77 positions. This arrangement has worked very well, as it first gives the negotiators from developing countries an opportunity to identify key areas of common concerns, and to better understand and bridge differences among themselves.

The **Bonn Seminars** are organised annually during the summer sessions of the UNFCCC’s Subsidiary Bodies. These Seminars, attended by developing country and European negotiators, help maintain both, the momentum created by the Oxford Fellowships, and continuous contact among the ‘ecbi community’ of negotiators. They also provide an opportunity for the ecbi community present at the negotiation session to catch up on the most recent developments, and discuss issues currently under negotiation.

The ecbi Circle of Experts on Climate Finance and Architecture (ecbi **Finance Circle**) is a new element of the Fellowship Programme which will be continued in Phase III, following its recent success in proposing compromises in the climate finance discussions in Cancun. The Finance Circle is a discussion group set up to provide a platform for informal in-depth discussions among key experts on the technical aspects of the issues discussed in the international negotiations on financial architecture and governance. There are currently over 60 members, including negotiators on financial issues from key developing and developed countries ranging from Australia, Barbados and Brazil, to the US, Zambia and Zimbabwe.

The discussion is mediated by the ecbi Director, online and during regular meetings of the Circle. While sending their reactions to proposals from other Parties online, contributors can choose to remain anonymous – a feature that has encouraged the discussion



to be even more frank and free than usual, on a very complex and sensitive issue. This discussion has yielded several ecbi Policy Briefs, which particularly highlight areas where better mutual understanding or compromise is in sight. A dedicated web portal has been set up (www.eurocapacity.org/finance/), and the members of the Finance Circle also meet during sessions of the UNFCCC.

OCP also organises and manages a number of ad-hoc seminars depending on need and opportunity, to address specific issues. For instance, a number of meetings were organised to support the Adaptation Fund Board in its initial meetings. These meetings played a key role in forging trust and a working relationship between the developed and developing country members of the Board, required for them to work as an efficient team in drafting the founding documents of the Adaptation Fund. Other Ad hoc Seminars have included pre-COP strategy meetings between negotiators from Least Developed Countries and the Alliance of Small Island States.

6.2. Workshop Programme

The ecbi Workshop Programme, managed by IIED, complements the work of the Fellowship Programme in capacity building for developing country negotiators to the UNFCCC. The Programme focuses primarily on training negotiators from the Least Developed Countries (LDCs), and from other developing countries particularly vulnerable to climate change in Africa, Asia and Latin America. The following activities are included in the Workshop Programme:

- Regional Workshops
- Pre-COP Workshops
- Bursaries
- Residencies

Deliverables in Phase III

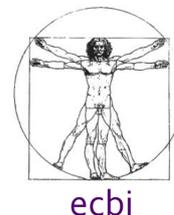
The Workshop Programme will build upon and strengthen its past successes in Phase III of the ecbi. Specific annual outputs will include:

- At least 150 climate change negotiators trained through regional workshops.
- At least 20-30 representatives from ministries of finance, ministries of planning and disaster risk reduction sensitised to climate change issues in each region.
- At least 15-20 Parliamentarians sensitised to climate change issues in each region.
- Eight to ten Background Papers prepared and published for negotiators.
- Six annual Junior and Senior Residencies.

Specific Objectives

The ecbi Workshop Programme is specifically focused on negotiators from the most vulnerable countries in Asia, Africa and Latin America. It aims to help negotiators from these countries to:

- Build their capacity to participate in, and influence, the UNFCCC process.
- Strengthen their understanding of substantive and legal issues on the UNFCCC agenda.
- Sustain their capacity to effectively participate in the UNFCCC negotiations.
- Coordinate and further develop positions.
- Strengthen networks and communication structures to improve intrasessional coordination of positions, and the preparation of submissions on behalf of their groups.



- Strengthen the link between the negotiations and implementation – both, by allowing experiences with implementation to feed back into the negotiations, and also by improving the dissemination of the results of the negotiations to those responsible for the implementation.

The Workshop Programme also works with Parliamentarians from these countries, and representatives of related ministries (such as environment, planning, finance, foreign affairs and disaster reduction), to increase their understanding and involvement in the UNFCCC process.

The proposed activities will include enhanced negotiating capacity of the LDCs and other vulnerable developing countries in the UNFCCC process, including the capacity to develop and present positions that better reflect their concerns. Negotiators will be more familiar with the different elements of the UNFCCC negotiations, and how these are likely to affect their country/ region.

In addition, a wider community of decision-makers from the regional level, including Parliamentarians and representatives from key ministries such as finance, planning, and disaster reduction, will understand the climate change negotiations better, and relate this understanding to national policy, planning and implementation.

The organisers will continue the contacts with workshop participants to circulate new publications and reports. Reports written by Bursary holders on UNFCCC meetings will also be circulated among the other negotiators from the region (see Publications and Policy Analysis Unit).

Defining the Problem

The failure of the Copenhagen Conference to deliver an agreed UNFCCC outcome has resulted in prolonging the hectic and chaotic pace of negotiations that preceded the Conference. In fact, the Conference appears to have added to the complexity: a multitude of complicated, technically-detailed and interconnected issues remain to be resolved; and a number of new approaches, agendas, issues and timescales are being proposed. This is reflected in the hundreds of pages and many versions of the negotiating text that now exist, and the increased numbers of intersessional meetings through 2010.

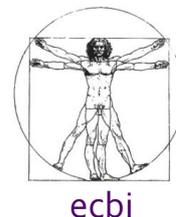
This state of affairs has prolonged and increased the work burden for already strained negotiators from LDCs and vulnerable developing countries. These countries often lack trained human capacity, and the resources to keep up with the hectic pace of international negotiations.

The ecbi Workshop Programme will continue – and strengthen – its efforts to support them, by strengthening their understanding of the UNFCCC negotiating process, such as its legal elements, the key elements of the Bali Action Plan, the Copenhagen Accord and of the many proposals contained in negotiating texts.

Programme Organisation and Implementation

The Workshop Programme is managed and implemented by the International Institute for Environment and Development (IIED) on behalf of ecbi. Regional Steering Committees of senior negotiators, set up for each region, advise IIED/ecbi to ensure that the work is demand-driven and focused on the needs of the negotiators in that region. These Regional Steering Committees include negotiators who are or have been involved in ecbi activities such as the Oxford Fellowships, and have expressed their willingness to continue to work with the ecbi by helping fellow negotiators in future.

The Workshop Programme organises two annual Regional Workshops in Africa, Asia and Latin America. These workshops aim to increase awareness of issues related to the UNFCCC negotiations. In addition to negotiators, these regional workshops also bring together other key actors such as Parliamentarians and representatives from other key ministries, such as finance and planning, to bring them up to speed on the climate change negotiations and implementation.



In addition, the Programme organises Pre-COP Workshops, where key negotiators and junior negotiators from the three regions are supported to come a day or so before UNFCCC sessions, to prepare for the sessions. The negotiators identify key issues for their regions, which will be discussed at the session. They also discuss how they can help the rest of their group to influence negotiating outcomes. To expand the areas of expertise involved in the UNFCCC negotiations, key representatives from other key ministries who participated in the Regional Workshops are also invited to participate in these Pre-Session Workshops.

The Workshop Programme also supports Junior Negotiators in becoming subject specialists, through Bursaries. The attendance of selected 'junior' negotiators from countries such as Sudan, Tanzania, Mali, Lesotho, Ethiopia, Gambia and Nepal in the UNFCCC negotiations is supported, along with efforts to strengthen their capacity and increase their understanding of the process. The junior negotiators are chosen on the basis of recommendations from their senior negotiators. After each meeting, the junior negotiators write a report that is published on the ecbi website, and disseminated to inform the other negotiators in their regions.

The Workshop Programme produces a number of Background Papers aimed at providing information to event participants (and a broader audience) of key negotiation topics, the relevance of these topics to their own key concerns, the positions of various countries, and possible compromises. The Regional Steering Committees are consulted on the topics of these Background Papers, and their dissemination.

The effectiveness of the Workshop Programme is greatly strengthened through collaborations with other similar initiatives - such as IIED's Parliamentary Programme for Africa, and the Foundation for International Environmental Law and Development's (FIELD) ongoing capacity building initiatives for LDCs on the legal aspects of the UNFCCC.

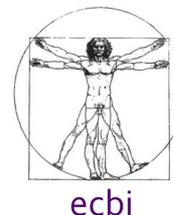
Along with the activities described above, a new element is proposed for Phase III, focused exclusively on enhancing the legal understanding of climate change issues among developing country negotiators. Informal feedback from negotiators indicates that many view a better understanding of legal issues as a priority. For instance, in 2009, many negotiators struggled to understand the implications of "the legal nature of a future outcome" - whether a single protocol is preferable, or two protocols or just a set of decisions. Shortly after, in the post-Copenhagen period, they were struggling to understand the legal nature of political declarations and accords. Short-term tailored **Legal Residencies** for negotiators (not only legal experts) would be a useful addition to existing ecbi activities.

The Residencies will take place at FIELD, the ecbi partner with a legal focus and with extensive experience of working with, and providing training to, developing country negotiators. The Residencies would be for one to two weeks (negotiators are unlikely to be able to attend anything longer), with an intense, focused programme of work. Whenever possible, collaboration by email and phone would begin prior to the residency.

Two main types of residencies are envisaged:

- Residencies for less experienced developing country negotiators, designed mainly to strengthen negotiating and related implementation skills.
- Residencies for experienced negotiators, who would be able to draw on the expertise of the FIELD team and other ecbi partners in tackling a particular issue or developing a national position.

For the Residencies for less experienced negotiators, the Executive Committee will select participants from among ecbi Bursary recipients and other developing country negotiators. Clear learning goals would be agreed in advance, and a programme will be tailored to those goals. FIELD will provide Residents with in-depth experience of one or more key issue/s that they are working on (or expect to be working on in the near future), and experience of working with a team of international lawyers. Meetings will be arranged with other organisations and institutes as appropriate, including ecbi partners and relevant UK government departments.



FIELD already has experience in this area – its existing Internship Programme offers places for young lawyers or law students to work with FIELD on a part-time, voluntary basis for three months. The residencies for the negotiators are likely to be more advanced in terms of content, with a more intense programme.

In some cases, senior negotiators may wish to take up a residency to work with FIELD staff and other ecbi partners to address a particularly challenging legal issue that needs more time to resolve than a single meeting, or to develop their country positions. FIELD would make staff with the relevant expertise available during the Residency, and collaborate with the Senior Resident before and after the Residency. As with the junior negotiators, meetings will be arranged with relevant expert institutions and individuals.

6.3. Publications and Policy Analysis Unit

The ecbi Workshop and Fellowship Programmes rely on timely and topical policy information and analysis to inform their target audience of the state of the international climate negotiations – including, for instance, of the history and background of issues, and of country and regional positions; possible impacts of negotiation outcomes on their country/region/group; and the implications of their positions on the international negotiations.

An important lesson from the first six years of the ecbi's existence has been that policy analysis under the ecbi must be immediately responsive to the needs of its primary target audience. This lesson has been taken on board in the re-design of the Publications and Policy Analysis Unit for Phase III, as have the recommendations of the most recent ecbi evaluation (January 2011).

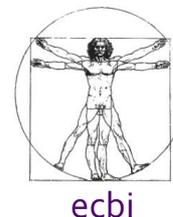
Deliverables in Phase III

- Up to 10 Policy Briefs in each annual cycle.
- Up to 8 Background Papers in each annual cycle.
- UNFCCC intersessional and COP Reports by ecbi bursary holders.
- Reports on ecbi meetings.

Specific Objectives

Policy analysis under the ecbi is conducted on a needs basis – that is, based on the needs of the ecbi 'target groups' (developing country negotiators). The policy analysis function of the ecbi contributes directly to the twin aims of capacity and trust building. The process of carrying out the analysis (for instance, research, writing and presentation) actively involves Fellows and workshop participants – thus building capacity, while exploring the possibilities for solutions. Meanwhile, the content of the policy analysis helps build trust in the work of the ecbi, by ensuring that the concerns of the target group are consistently taken into account in the analysis (including, for instance, the impacts of international policy on their national / regional / group concerns). The specific objectives of the Publications and Policy Analysis Unit are as follows:

- Producing timely policy analysis to meet the needs of the two ecbi Programmes, and keeping the ecbi target group informed on most recent developments in the international climate negotiations, relevant to issues identified by the group (such as adaptation, Reduced Emissions from Deforestation and Forest Degradation (REDD), climate change finance, etc).
- Bolstering developing country capacity for policy analysis, by including developing country representatives in the process of analysis.
- Building trust in the policy analysis work of the ecbi, by ensuring that developing country concerns are consistently reflected in the analysis generated.
- Providing a forum to explore possibilities for compromise between developing and developed countries.



- Coordinating between the two programmes, to ensure that policy analysis from one feeds into the other. For instance, analysis that emerges from the national/regional/group level can be translated for its relevance to the global negotiators (and vice versa), to engender better mutual understanding.
- Ensuring maximum outreach for policy outputs.

Defining the Problem

Climate change is one of the most complex issues addressed by humanity. Its cause and impacts have profound implications for almost all aspects of sustainable development, including many of the challenges already being addressed at the global level such as poverty, energy access, food security, health, biodiversity conservation, forest management, and combating desertification.

It is not surprising, therefore, that negotiations under the UN Framework Convention on Climate Change (UNFCCC) are particularly challenging for negotiators and policy makers in developed and developing countries. The negotiations move at a fast pace, constantly throwing up challenging new issues that need to be rapidly understood and responded to. Knowledge or expertise in one area alone is no longer sufficient, as crosscutting impacts need to be identified and analysed. The urgency with which the climate problem needs to be addressed adds an additional dimension to the challenge – to increase the chances of 'getting it right the first time', previous experience in dealing with similar problems must be brought to bear while designing solutions.

Developed country negotiators and policy makers have access to considerable analytical capacity, both in terms of individual expertise and specialised research institutions at the national level. In addition, many of them have access to pooled resources through regional or interest groupings such as the European Commission, or the Organisation for Economic Cooperation and Development.

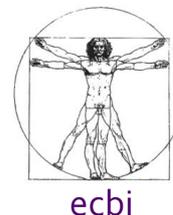
Developing country negotiators, however, often lack access to timely quality analysis – particularly analysis that takes their specific concerns into account. They often rely on reports reflecting a developed country perspective. This state of affairs has grave consequences for the international negotiations: it affects the capacity of developing country negotiators to assess the impact of proposals presented by other countries and regions for the impact they will have on national/regional/group concerns. More important, it affects the capacity of developing countries to generate their own proposals and submissions to articulate their concerns.

Besides exacerbating conditions in developing countries (when their concerns are not adequately addressed by global policy), this state of affairs runs the risk of impeding progress in international negotiations, as developing country negotiators choose to play safe by sticking to entrenched positions rather than exploring possibilities for compromise.⁵

The Publications and Policy Analysis Unit of the ecbi aims to address these problems by generating needs-based analysis with a developing country perspective on issues that are top of the UNFCCC negotiating agenda, and are of key importance to developing countries. It also aims to build bridges between developing and developed countries, by suggesting compromises that take the concerns of both sides into account.

Developing country negotiators are the key 'target group' of the policy analysis generated by the ecbi, although the analysis also aims to engender better understanding of developing country positions by their developed country counterparts – a key element of its trust-building agenda. This primary target audience also serves as an effective 'sounding board' to decide an effective policy

⁵ See, for instance, Chasek, P. and Rajamani, R. (2001). *Steps Towards Enhanced Parity: Negotiating Capacity and Strategies of Developing Countries. Proposal for ecbi Phase III*



analysis agenda for the ecbi. However, as the resulting policy analysis is generally cutting-edge and immediately relevant to the climate negotiations, it is widely accessed by all sections of the global climate change community.

Programme Organisation and Implementation

The PPAU, which serves a crosscutting function by meeting the policy needs of both the Fellowship and Workshop Programmes, is jointly managed by the ecbi Executive Committee, which appoints a PPAU Head to deal with the day-to-day running of the PPAU.

The PPAU will have four broad categories of 'products', based on the specific target group (junior or senior developing country negotiators):

- ecbi **Policy Briefs**, providing state-of-the-art analysis of the key elements of immediate relevance to the international negotiations, will be targeted mainly at senior negotiators.
- ecbi **Background Papers**, targeted mainly at national/regional level policy makers in developing countries, for the regional and pre-COP Workshops. These papers will also address issues of immediate relevance to the international negotiations, but will aim to inform a less experienced audience of recent developments in the negotiations, and their potential ramifications to the group/region/country. These Background Papers will be authored by or co-authored with developing country experts to ensure ownership, and emphasise perspectives and analysis from the national and regional level.
- Meeting Reports by **Bursary** Holders summarising UNFCCC intersessional and COP meetings.
- ecbi **Meeting Reports** summarising key discussions and outcomes of ecbi events, including Workshops and Seminars.

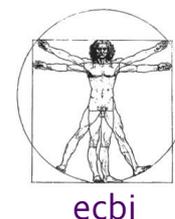
The following process will be followed in the production of Policy Briefs and Background Papers:

Identifying topics: A list of topics, open to suggestions from all relevant stakeholders, will be compiled by the head of the PPAU. This list will then be circulated to relevant 'reference group' for comments. The Background Papers and Policy Briefs have their own respective reference groups. In the case of the former, it is the relevant regional Steering Groups and Regional Workshop participants. For Policy Briefs, the reference group consists of ecbi Fellows (past and present) and members of relevant stakeholder networks, such as the Finance Circle for publications related to climate finance.

A shortlist, based on feedback from the reference group, will be discussed by the ecbi Executive Committee at biannual meetings held for the purpose. The Executive Committee, which includes representation from both the Fellowship and Workshop Programmes, will decide which topics will be covered based on factors such as comments and reactions received, importance for the immediate negotiations, availability of funding, and coordination between the two Programmes. In addition, one or more 'themes' may be decided by the Executive Committee, based on issues that are likely to dominate the international negotiations, and are of key importance to developing countries (such as finance or adaptation). This will help to focus and better coordinate the work of the two Programmes.

Two priority lists (one for Policy Briefs and another for Background Papers) will be agreed by the Executive Committee at their biannual meetings, for topics to be covered over the next six months.

While most Background Papers can be planned in advance through the process described above, this may not always be possible in the case of Policy Briefs, given their emphasis on timeliness and relevance to the international negotiations under the ecbi. Exceptions will be made in such cases, through *Rapid-response Policy Briefs*, which will take a 'fast-track' approach to respond to unforeseen demand. The process for seeking clearance from the Executive Committee and for commissioning and producing these reports will accordingly be more flexible, allowing for consultation through email.



Identifying writers and expert reviewers: The Executive Committee (and the reference groups) will also advise the PPAU Head on potential writers and expert reviewers for the topics identified. In the case of Background Papers, the practice of identifying co-authors from developing countries as a capacity building exercise will continue.

Discussion groups on specific themes: In some cases (for Policy Briefs in particular) the analysis will be based on extensive discussions that have already taken place among the different groups and parties during ecbi meetings or among “Discussion Groups” set up for the purpose. The ecbi Circle of Experts on Climate Finance and Architecture (ecbi Finance Circle) is one such example.

Commissioning, editing and production: Following clearance from the Executive Committee, the PPAU will be responsible for commissioning, editing and producing the Policy Briefs. A database of experts from developed and developing countries will be maintained to help identify potential authors rapidly. In the past, the Workshop Programme in particular has encouraged collaboration between authors from developing and developed countries in writing the Background Papers. This has proven to be a successful way of capacity building and increasing ownership.

Review: The first draft of each Policy Brief and Background Paper will be sent to a paid expert reviewer for comments. After the comments of the expert reviewer have been taken on board, draft Policy Briefs and Background Papers will be circulated for comments from the relevant reference group. Background Papers will only be finalised after the Regional Workshop for which they are aimed, so that comments and observations made at the Workshop can be included.

Outreach: The Policy Briefs and Background Papers will be disseminated through direct outreach to ecbi’s expanding list of Fellows, Workshop participants, collaborators and stakeholders; the ecbi website; electronic mailing lists; and through presentations in meetings.

6.4. Common ecbi Activities

There are a number of ‘common activities’ that are necessary to ensure that ecbi functions as an integrated Initiative – including, administrative tasks (such as support to the ecbi Committees, organising Annual General Meetings, evaluations), and activities related to communication and outreach (organising events such as the ecbi Fellows Dinner).

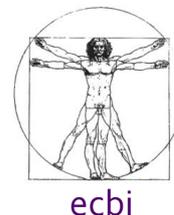
Effective communication and outreach is a critical element in the success of the ecbi. Some of these activities are best carried out at the Programme level – such as the selection of Fellowship or Workshop participants, or seeking input for potential Policy Analysis topics. For an integrated approach, however, and to ensure that ecbi’s activities are consistent and adequately ‘branded’ as a whole, some of these activities must be carried out centrally.

Centrally managed activities include website and database management, organisation of ecbi (side) events, and overall ecbi branding. In order to maximise the effectiveness of its communication activities, the Executive Committee proposes to invest in a Communication Strategy, with the help of a communication expert (funding permitting).

7. Gender Strategy

The ecbi is fully cognizant of the importance of the participation of both men and women in every stage of the climate change negotiations and during implementation. Although traditionally excluded from much of the debate on the subject, women have a greater vulnerability to climate impacts, and their diversity of perspectives will inform any effort related to sustainable development and poverty alleviation.

As ecbi Fellows and other Seminar participants are chosen from among Senior developing country negotiators, the gender ratio in these events depends on the gender ratio in national delegations. Of the total number of ecbi Fellows in the last five years, 28 per



cent were women compared to the UNFCCC baseline, where only 12-15 per cent of the Heads of Delegation at Conferences of Parties are women. Only 30 per cent of all Party delegates are currently women.⁶

As part of its gender strategy, the ecbi Fellowships Programme will contribute towards improving the participation of women in the international negotiations by continuing to increase the proportion of women participating in its events, and by:

- Initiating collaborations with other similar efforts such as the Women Delegates' Fund (a project of the Global Gender and Climate Alliance, implemented by the United Nations Development Programme and administered by the Women's Environment and Development Organization), which funds the participation of women delegates in the climate negotiations and provides training in negotiations, media and communications
- Inviting gender experts to the Fellowships and ecbi Seminars, to underline the importance of including women at every stage
- Ensuring that the gender element is sufficiently highlighted in its policy discussions and briefs, particularly when advocating on issues such as the formulation of expert committees and groups related to the climate negotiations; and on the disbursement of climate finance for implementation.

The Workshop Programme will continue its attempts to highlight the importance of involving women at every stage of policy- and decision-making; planning; implementation and monitoring of climate related activities. In addition, the Programme will:

- involve more women policy makers in its Regional Workshops, Bursaries and Legal Residencies;
- introduce gender and climate change as one of the agenda issues for discussion, particularly at Regional Workshops; and
- provide a bursary for a negotiator to follow gender issues at the UNFCCC negotiations, and become the ecbi subject specialist on gender issues.

The PPAU will contribute towards increasing the participation, knowledge and skills of women in climate negotiations by: ensuring that gender perspectives are included in ecbi Policy Briefs and Background Papers, and involving gender experts and women writers, analysts and reviewers where possible.

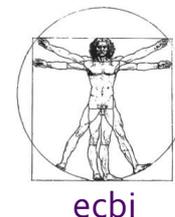
8. Risks and risk management

The following risk analysis distinguishes between strategic risks (risks to the existence of the Initiative) and operational risks (risks to individual components, but not directly to the overall Initiative). The **strategic risks** are considered below, while the **operational risks**, which ecbi has already had some experience in dealing with during its first two phases, are considered in Annex III.

Exogenous Risk. The main exogenous risk to the activities of the ecbi, beyond the control of ecbi management, is a terminal breakdown of the international negotiations. This risk has been significantly reduced since the Cancun conference in 2010, but still needs to be considered. The ecbi will deal with this (low to moderate) risk through strategic review of its aims, carried out under the aegis of the ecbi Advisory Committee.

Another moderate risk stems from funding uncertainty. While it would be possible to seek funding for individual activities should funding not be forthcoming at the level required for the full programme of work, the ecbi Executive Committee firmly believes in synergies between the different elements of the Initiative and the need to safeguard them. Based on consultations with the key developing country stakeholders of the ecbi – the Africa and LDC Group, represented by their Chairs – and on the support

⁶ WEDO (2010). Strengthening Women's Leadership at the UNFCCC.
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packages designed specifically for these two Groups (see Annex IV), the Executive Committee reached the conclusion that in order to function as a programmatic initiative, the ecbi would have to raise at least 60 per cent of the budget for the full programme of work (Annex I), with the clear understanding that this would mean cutting back from the current level of activities.

Endogenous Risk. As a programmatic Initiative managed through lead member institutions (mainly IIED and OCP), the existence of ecbi could be at risk if a lead member institution decides to withdraw. While this is unlikely, especially if there are remaining direct contractual obligations with funders, it could happen if the Initiative is centrally funded (through core funding). This risk will be mitigated through sub-contracts between ecbi member institutions. In the longer term, it will obviously happen that some of the members change their strategic vision and may not wish to continue with the sort of activities undertaken by the ecbi, but it is unlikely that this will happen simultaneously for all the (lead) members. The advantage of the decentralised governance structure of the ecbi in this context is that it allows for new members to join, and if required to replace departing old members.

9. Effectiveness and Feasibility

Effectiveness. ecbi started out with just two activities – the Pre-COP Workshops and the Oxford Fellowships. Following demand from the participants of these activities, the ecbi portfolio was augmented with the pre-session Regional Workshops to strengthen the effect of the pre-COP Workshop, and with the Bonn Seminar series, to consolidate and enhance the trust-building effects of the Oxford Fellowships and Seminars. All this happened in the pilot phase (2005–2008). The subsequent 'proof-of-concept' Phase saw a further demand driven expansion of the portfolio through the Bursaries, the ecbi Finance Circle, and through ecbi Policy Analysis papers. The proven effectiveness of these activities to date is documented in the recent independent evaluation,⁷ and by testimonials from ecbi participants on the impacts of Phase I and II (see Annex V).

To further improve its effectiveness in Phase III, the ecbi has asked the Chairs of the African and the Least Developed Country Group to help design specific support packages for the two Groups. These packages, together with endorsements by the two Chairs, can be found Annex IV. In addition, ecbi aims to improve its effectiveness through a Result Based Management plan, as detailed in Section 8 and Annex II.

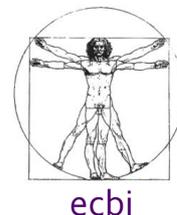
Feasibility. As mentioned, ecbi has grown organically over the last six years and has proved capable of delivering the desired outcomes. The proposal for Phase III does contain a number of new activities - the coordinated management of policy analysis and publications, the legal residencies, and the support packages for the Africa and LDC Groups. It stands to reason that by introducing a coordinated management system, the effectiveness of the ecbi policy analysis and publication activities is bound to improve. As to the legal residencies, they will be hosted by the Foundation of International Environmental Law and Development, which has long-standing experience and proven capability of carrying out this sort of activity.

Sustainability. Managing human induced climate change is now recognised as one of the most important aspects of sustainable development. Over the past decade or so, it has become increasingly clear that 'climate aspects are a central basis for all development cooperation.'⁸ While the problem of climate change cannot be solved by multilateral agreements alone, they are nonetheless an integral part of the solution, particularly from a developing country point of view. The overall goals and strategic objectives of ecbi (Sections 1 and 2) are fully supportive of this fundamental need to promote sustainable development, and the effectiveness of the ecbi to date has demonstrated that the ecbi can be a force for good in this respect.

Environmental Impact. ecbi's activities can themselves have a direct detrimental environmental impact. While this impact would be negligible compared with the benefits to sustainable development, they can be reduced. By far the largest direct environmental impact of the activities undertaken by the ecbi are greenhouse gas emissions associated with participation in ecbi

⁷ www.eurocapacity.org/downloads/ecbiEvaluationReportPhaseII.pdf

⁸ Swedish Policy for Environmental and Climate Issues, p.5
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events. This impact will be neutralised through purchasing offsets for each of the flights involved in ecbi activities – a service which is provided as a matter of course by airlines and travel agencies. This will reduce the direct negative impact of the ecbi to an almost negligible level, while its positive impact – although difficult to quantify – will be considerable.

10. Monitoring and Evaluation

Whereas internal monitoring will be carried out regularly on an ongoing basis within ecbi, an independent evaluation will be carried out towards the end of Phase III.

For the purposes of internal monitoring and to aid the evaluation process, ecbi has developed a Results Based Matrix (Annex II). The terms used in the matrix follow the definitions laid down by Organisation for Economic Co-operation and Development's Development Assistance Committee in its *Glossary of key terms in Evaluation and Results Based Management (RBM)*.⁹ In particular, the following terms are relevant in the context of this proposal.

Outputs: *The products, capital goods and services which result from a development intervention.*

Outcome: *The likely or achieved short-term and medium-term effects of an intervention's outputs.*

Indicator: *Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor*

Performance indicator: *A variable that allows the verification of changes in the development intervention or shows results relative to what was planned.*

Risk analysis: *An analysis or an assessment of factors (called assumptions in the logframe) which affect or are likely to affect the successful achievement of an intervention's objectives.*

Assumptions: *Hypotheses about factors or risks which could affect the progress or success of a development intervention.*

Stakeholders: *Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.*

Target group: *The specific individuals or organizations for whose benefit the development intervention is undertaken.*

Impacts: *Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.*

The results of the internal monitoring will be discussed and acted upon by the Executive Committee, which will be responsible for taking corrective action and improving implementation where necessary, in consultation with stakeholders (in particular, relevant reference groups); the Advisory Committee; the Annual Forum; and donors.

⁹ OECD (2002). <http://www.oecd.org/dataoecd/29/21/2754804.pdf>
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