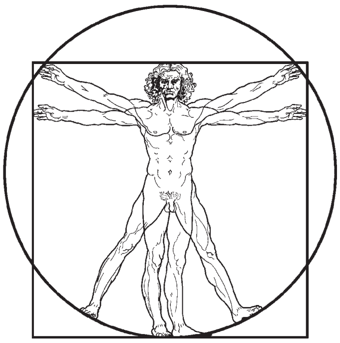

Independent Evaluation of the European Capacity Building Initiative (ecbi) Phase III

Lucy Heaven Taylor Consulting
January 2014

ecbi

European Capacity Building Initiative
www.eurocapacity.org

Lucy Heaven Taylor Consulting

EVALUATION CARRIED OUT BY LUCY HEAVEN TAYLOR

January 2014

ACRONYMS

BASIC	Brazil, South Africa, India and China
CDM	Clean Development Mechanism
CMP	Conference of the Parties as Meeting of the Parties
COP	Conference of Parties
GCF	Green Climate Fund
GCFB	Green Climate Fund Board
GI	Governing Instrument
IAPAL	International Air Passenger Adaptation Levy
IIED	International Institute of Environment and Development
LDC	Least Developed Countries
LRI	Legal Response Initiative
LTF	Long Term Finance
OCP	Oxford Climate Policy
PPAU	Publications and Policy Analysis Unit
SCF	Standing Committee on Finance
SIDS	Small Island Developing States
TC	Transitional Committee
UNFCCC	United Nations Framework Convention on Climate Change
WEDO	Women's Environment and Development Organization

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1. EXECUTIVE SUMMARY

The overall aim of the European Capacity Building Initiative (ecbi) is 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 developing countries. This aim is broken down into four outcomes:

1. Participating developing country negotiators collaborate and/or develop joint positions, (based on ecbi input)
2. Participating negotiators demonstrate increased negotiation skills (this outcome was not funded by Sida)
3. Levels of trust and understanding of negotiating positions between participating negotiators increase
4. Participating negotiators are better informed on key climate change negotiation issues.

This evaluation concludes that the ecbi has achieved these outcomes.

The ecbi is now in Phase III of its operations, and has become an established presence in the climate change negotiation field. It is set apart by its participatory, impartial, developing country-led approach, which is rooted in negotiation experience. ecbi input has enabled developing country negotiators to collaborate and develop joint positions. This has led to impacts on negotiation decisions, where the contribution of ecbi activities can be reasonably inferred.

The ecbi's Training and Support Programme was not within the scope of the evaluation, so it did not measure whether participants demonstrated increased negotiation skills.

One of the key underpinning goals of the ecbi is to build trust between negotiators, both amongst developing country participants, and between those from the developing country and Europe. Respondents communicated strongly that they believed the ecbi is enabling trust building between participating negotiators, and were able to give examples of how this is manifest.

The evaluation found that participants did feel they were better informed as a result of the ecbi. Useful examples were identified of how this resulted in a more level playing field, as developing country negotiators and women negotiators often have less access to information resources than other stakeholders in the climate change negotiations. The ecbi also considers gender in its programming and is fulfilling its gender objectives.

The ecbi was found to fulfil a need not met by other initiatives. This was attributed to the fact that the ecbi does not push a specific agenda, and allows open discussion amongst negotiators in a setting separate from the negotiations process.

The evaluation recommends that the ecbi documents its operational model and approach in detail to ensure sustainability in the event of staff turnover. It also recommends that the ecbi continue to implement more stringent monitoring procedures, to better measure effectiveness against its proposed outcomes.

2. PURPOSE OF THE EVALUATION

The purpose of the evaluation was to conduct a 2011-2013 of the ecbi activities funded by Sida. The objectives of the evaluation were as follows:

- To provide feedback to ecbi management on results to date and how to improve the initiative
- To critically take stock of achievements and challenges facing the ecbi
- To assess whether trust building is taking place and how that is being manifest

The evaluation also looks more widely at the ecbi programme, in order to give a holistic view of how Sida-funded activities contribute to the organisation's goals. The evaluation also considered activities beyond the Phase III timeframe, where they informed current outcomes.

This evaluation does not consider the Training and Support (formerly Workshop) Programme in detail, because Sida does not fund the Programme. However, it does include existing data on results where available.

3. METHODOLOGY

The evaluation was conducted between April and December 2013 by an independent evaluator, working to a Terms of Reference approved by Sida.

Phase II of the ecbi programme ran from 2008-11. Phase III began in 2011 and will run till 2015. This evaluation will therefore examine performance from the beginning of 2011 to December 2013, whilst also taking a forward view to the completion of the current phase in 2015. In addition, the evaluation will provide a cumulative assessment of the initiative to date, and include longer-term results.

The evaluation was primarily undertaken through the use of literature review and data provided by the ecbi members, key stakeholder interviews and attending key ecbi events.

For this evaluation, the evaluator looked at key ecbi literature, including previous evaluations, annual reports, proposals, feedback forms, and attendance and other data held on the database. The ecbi gave the evaluator full access to all their documentation, including passwords to access their online database, and provided reports and data whenever requested. Documentation was also provided by the ecbi to support the examples outlined in the Outcomes section (6) of this report.

The examples of results in Sections 6.1 and 6.5 were developed together with the ecbi. All references, citations and text examples were independently checked by the evaluator. Examples prior to Phase III of the programme are taken from the January 2011 ecbi report '*Accomplishments: Testimonials by ecbi participants on Phase I & II Outcomes and Impacts*'.

Interviewees were selected by the evaluator in discussion with the ecbi. Interviews ranged from approximately 15 to 50 minutes, and were conducted in person, by phone, or by Skype. In the case of face-to-face interviews, the interview was recorded and transcribed. For interviews conducted over phone or Skype, detailed notes were taken. Transcripts and notes were then coded, categorising interview responses against evaluation questions, plus any additional key issues arising. All contributions were conducted on the basis of confidentiality.

In this evaluation report, the terms 'most', 'some', 'many' and 'few' are used in relation to number of interviewees expressing a particular view. The terms respond to the following percentage of interviewees expressing that view:

'Few': 0-25%

'Some': 25-50%

'Many': 50-75%

'Most': 75-100%

In total 21 stakeholders were interviewed, of which 12 were past or present participants in the Oxford Fellowship Programme, 5 were European attendees of the Oxford Seminar, and 4 were past or present ecbi staff or Executive Committee members.

The evaluator also attended the 2013 ecbi Bonn Seminar, parts of the 2013 Oxford Fellowship, and the 2013 Oxford Seminar.

The Terms of Reference for the evaluation included an assessment of 'common activities such as website management'. It was decided not to address website management in this evaluation, as the ecbi website is currently being redesigned and moved to a new service provider. It is recommended that this assessment is included in the next evaluation.

4. ECBI OPERATIONAL MODEL

The ecbi is 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 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. Current ecbi activities are broadly categorised into three management pillars:

- **Fellowship Programme**: Managed by OCP, the activities of the Fellowship Programme include the Oxford Fellowships and Seminar; the Bonn Seminar; the Finance Circle; and Ad Hoc Seminars.
- **Training and Support Programme**: Managed by IIED, this was previously called the Workshop Programme. Activities included the Regional Workshops; Pre-COP Workshops; Bursaries and background papers.
- **Publications and Policy Analysis Unit (PPAU)**: Managed by the ecbi Executive Committee, the activities of PPAU include the publication of Policy Briefs, Background Papers, the LDC Paper Series, ecbi meeting reports, and the ecbi Annual Report.

The Oxford Fellowships and Seminar take place annually. During the first three days, in the Fellowship Colloquium, closed-door discussions take place among invited Fellows (senior developing country negotiators). This is followed by the Oxford Seminar, which is convened by the Fellows to discuss topics of their choice with European colleagues. The Oxford events are complemented by an annual Seminar in Bonn, which serves to preserve the momentum of the initiative during the year. The ecbi also holds ad hoc events when a need and opportunity is identified.

The ecbi Finance Circle was created at the end of Phase II of the initiative. It is a discussion group set up to provide a platform for informal in-depth discussions on the technical aspects of the issues discussed in the international negotiations on financial architecture and governance. It currently has 92 members.

The ecbi Training and Support Programme is managed by IIED, and contributes towards the organisation's goal of capacity building together with the Fellowship Programme. The Training and Support Programme focuses primarily on training negotiators from the Least Developed Countries (LDCs), and from other developing countries particularly vulnerable to climate change. It comprises regional workshops, pre-COP workshops, bursaries and a series of background papers. (UNFCCC intercessional and COP reports are also produced by ecbi bursary holders).

The main source of funding for the Training and Support Programme was withdrawn in 2012 due to changes in the administrative rules of the donor. The Programme continues on an ad hoc basis whenever funding can be secured for individual workshops.

The PPAU provides topical policy information and analysis to its target audience to inform them on the state of the climate negotiations. The Unit produces this information in the form of Policy Briefs for senior climate negotiators; Background Papers for junior negotiators, for use in the Training and Support Programme; reports on ecbi meetings; the ecbi Annual Report, and, more recently, the LDC Paper Series, which is produced in collaboration with the LDC Group for use by LDC negotiators.

Policy Briefs focus on the UNFCCC negotiations, and are aimed directly at senior negotiators who participate in ecbi events, and are part of the ecbi alumni. This is a powerful "captive" audience for the Policy Briefs, which have, in the past, resulted in a direct impact on the negotiations. Feedback from negotiators is often complied and incorporated in the final draft, in an attempt to record different views and identify possible compromises. The finalised Policy Briefs are then more broadly disseminated on the Internet.

Background papers, which are prepared for use in the regional workshops organised by the Training and Support Programme, are aimed at junior negotiators to help them come up to speed with the negotiations, and to inform regional and national policy actors of the potential outcome of the UNFCCC negotiations on their work.

ecbi event reports often contain detailed information on the views of senior negotiators and negotiating groups, and are a useful update on the current state of the negotiations.

Finally, the LDC Paper Series is relatively new (it is in its second series). It is managed by the PPAU head, and a Series Editorial Board, which comprises three LDC members, contributors, and ecbi members. LDC participants submit topics they would like to see covered in the papers. This list is reviewed by the Series Editorial Board, which then votes on a shortlist of topics. An expert author is identified for each paper through a call for Expressions of Interest, and the LDC Chair nominates an LDC co-author to work with the expert. This process is designed to generate a sense of ownership by the LDC Group, and to build the LDC Group's capacity for analysis.

The key principles underpinning the ecbi's approach are:[1]

- Independence
- No lobbying agenda
- Fellow-led/participatory
- Chatham House rules in discussions
- Rooted in practical experience of negotiations

The following table outlines the number of events held by the ecbi in the evaluation period, as well as the number of publications produced. For a more detailed breakdown of events by location and attendee, see **Annex 11.4**.

Table: Events held by ecbi during the evaluation period (2011-2013)

Activity	2011	2012	2013 (to date)
Bonn Seminar	1	1	1
Oxford Fellowships	1	1	1
Oxford Seminar	1	1	1
Workshops	2		1
Other events	6	4	2
Publications	17	11	19

5. THEORY OF CHANGE

The stated aim of the ecbi programme is: *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.*

For the purposes of this evaluation, a Theory of Change has been developed (see page 10), which unpacks the aim into these four outcomes:

[1] As interpreted by the evaluator from ecbi literature and key informant interviews

1. Participating developing country negotiators collaborate and/or develop joint positions (based on ecbi input)
2. Participating negotiators demonstrate increased negotiation skills
3. Levels of trust and understanding of negotiating positions between participating negotiators increase
4. Participating negotiators are better informed on key climate change negotiation issues

It is not generally considered possible to measure impact at aim level because causes are complex and unattributable. Instead this evaluation will consider the ecbi's progress against these outcomes.

Indicators have been developed for the outputs of Phase III of the ecbi programme, and are reported in the ecbi Annual Report to Sida. These are mostly process indicators, related to attendance numbers, profiles of attendees at ecbi events, and numbers of publications produced, although they do also include satisfaction scores for these events and feedback on the publications.

This provides useful quantitative data at output, and to some extent, outcome level. However this evaluation will also examine both quantitative and qualitative data to determine whether the ecbi programme is meeting its intended outcomes.

The interventions shown on the Theory of Change model are funded by a selection of donors. Sida does *not* fund Intervention 2: the Bonn Seminars, or Intervention 4: the Training and Support Programme. Therefore these interventions and the corresponding outputs and outcomes are shown in grey text in the Theory of Change table on the next page. This evaluation will focus on interventions funded by Sida, but includes all the interventions of the ecbi programme in order to provide a holistic overview of the programme.

PROBLEM

Developing countries are most affected by climate change, yet do not participate on a level playing field at International climate change negotiations. Negotiations are further hampered by a lack of trust between both between European and developing countries, and among the developing countries.

BARRIERS

Developing country delegates are often not climate change specialists, and lack expertise of those from industrialised countries

Developing country delegates are isolated in their negotiations, lacking the resources to network with other delegates (from both developing and industrialised countries)

Developing country delegates are under-resourced, and do not have access to specialist expertise in developing their negotiating positions

A lack of trust between negotiators (from both developing and industrialised countries) means countries become entrenched in positions and the negotiations do not move forward

INTERVENTION

1. Annual Oxford Fellowships and Seminars

2. Bonn Seminars

3. Publications and Policy Analysis

4. Training and Support Programme

5. Ad hoc Events and Seminars

OUTPUTS

1. 1 Fellowship and Seminar event per year attracting 8-12 senior Fellows and 20-30 participants for the Oxford Seminar

2. 1 Bonn Seminar event per year attracting 20-30 participants

3. Up to 10 Policy Briefs and up to 8 Background papers produced per year

4. At least 4 annual regional workshops held in developing regions training 150 junior negotiators (revised downwards due to funding issues)

5. Ad hoc Events and Seminars convened where a need is identified

6 background papers prepared and published for negotiators

OUTCOMES

Participating developing country negotiators collaborate and/or develop joint positions, (based on ecbi input)

Participating developing country negotiators demonstrate increased negotiation skills

Levels of trust and understanding of negotiating positions between participating negotiators increase

Participating negotiators are better informed on key climate change negotiation issues

IMPACT

Climate change negotiators work together to better shape a more inclusive – and hence more effective and sustainable – global solution to climate change

6. PERFORMANCE AGAINST OUTCOMES

6.1. PARTICIPATING DEVELOPING COUNTRY NEGOTIATORS COLLABORATE AND/OR DEVELOP JOINT POSITIONS (BASED ON ECBI INPUT)

The evaluation found that this outcome was **achieved.** Examples are given below.

6.1.1. THE STANDING COMMITTEE ON FINANCE

The Standing Committee on Finance under the UNFCCC was established on the basis of an idea generated by ecbi Fellows in 2010.

The idea of a Standing Committee on Finance can be traced back to the 2010 Oxford Fellowships and was first mentioned in a note written by the Fellows of that batch entitled '*Reforming the Financial Mechanism: Some thoughts put together by the 2010 ecbi Fellowship*'.

The 2011 Cancun Agreement under the UNFCCC established a 'Standing Committee …to assist the Conference of the Parties in exercising its functions with respect to the financial mechanism of the Convention' (paragraph 112). The language of the Fellows' paper was visible in the wording of the UNFCCC Decision. The Parties also agreed 'to further define the roles and functions of this Standing Committee'.

Following up on this decision by the UNFCCC, the ecbi Bonn Seminar discussed the issue of form and function of the Standing Committee in June 2011, and in August the ecbi Director and the co-chair of the ecbi Advisory Committee produced a paper entitled '*Operationalizing the Standing Committee: What Functions? What Form?*. Again a UNFCCC decision was adopted (Annex VI, Decision 2/CP.17). As with the previous example, text from the ecbi paper was echoed in the Decision (see **Annex 11.5**)

The first meeting of the Standing Committee on Finance took place on 6 September 2012.

6.1.2. ENHANCED DIRECT ACCESS I: DEVELOPING THE CONCEPT

ecbi publications raised key concepts on enhanced direct access. The issue was discussed and ideas developed in ecbi Fellowships, Seminars and meetings. Further publications were produced capturing these ideas.

In April 2009, the ecbi produced a Policy Brief on '*Architecture and Governance of the Reformed Financial Mechanism of the UNFCCC*', which introduced the idea of "Climate Change Funds" as "national climate change decision and funding hubs" for "in-country direct access to funding". The Brief was later translated into French by request of a Francophone ecbi member. Later in the same year the issues raised, in particular devolution of decision making, were at the heart of the deliberations at the ecbi Bonn Seminar meeting (July 2009) and the ecbi Oxford Fellowships and Seminar (Sept 2009)

Following the Copenhagen Climate Conference, the original ecbi Policy Brief was revised and published in April 2010 as the '*Post Copenhagen Architecture and Governance Brief*' with a focus on "designated National Funding Entities". It was followed in June by '*A post-Copenhagen Synopsis*' and discussed at an ecbi Finance Circle meeting the same month in Bonn.

In the course of this meeting, the participants requested the ecbi to produce Policy Briefs on the issue of administrative size (i.e. on how many people will it take to administer climate financing), and on the architecture and governance of existing National Funding Entities. These two reports were produced, respectively entitled '*How Many People does it Take to Administer Long Term Climate Finance*' (October 2010) and '*National Funding Entities: Their role in the transition to a new paradigm of global cooperation on climate change*' (October 2010). The first of these two reports was presented at a Finance Circle meeting on 2 August 2010.

The issue of enhanced access at the GCF was again discussed, in the context of "through-put" funding at the Finance Circle meeting in Bangkok 11 April 2011, and at the Oxford Fellowships in September of the same year in the context of National Institutional Arrangements for Climate Change Action (see Annex 2 of the Report).

6.1.3. ENHANCED DIRECT ACCESS II: WORK OF THE TRANSITIONAL COMMITTEE

The ecbi worked closely with the LDC Group. They helped the LDC members to the Transitional Committee (TC) develop text, which ultimately became part of the GCF Governing Instrument (GI).

In light of the work on climate finance, and particularly on National Funding Entities, the Chair of the LDC Group in early 2011 requested the ecbi to provide support for the Group's representatives on the TC, which was tasked to draft the GI for the Green Climate Fund (GCF) and which, for this purpose, met four times between April and October 2011. The ecbi Director was appointed as adviser to Carol Mwape, LDC TC member from Zambia.

In this function, the ecbi Director organised three meetings of the Finance Circle and TC members for an informal exchange of views on a number of issues. The first of these meetings took place on 28 April 2011, in Mexico City. The ecbi Director gave a short introductory speech, focussing on how Enhanced Direct Access could be used achieve two otherwise conflicting sets of expectations, namely that the GCF is to start disbursing soonest possible, and that it is to work 'at scale'.[2]

The second TC meeting took place on 13 July 2011 in Tokyo. The ecbi Director again launched the discussions with short introductory remarks on '*Dissecting the Green Climate Fund*,'[3] introducing the idea that, apart from what became the "Private Sector Facility", the GCF should also have a "Multilateral Funding division" and a "Direct Funding Division" (for enhanced access).

The third TC meeting, which took place on 10 September in Geneva, had a slightly different format, with three introductory presentations on Enhanced Direct Access. Katja Roll from the Global Fund to Fight AIDS, Tuberculosis and Malaria gave an introduction to the Country Coordination Mechanism of the Global Fund. This was followed by an introduction to the

[2] These notes were subsequently submitted to the TC.
[3] The notes were later submitted to the TC.

National Climate Finance Institutions Support Programme, presented by Clifford Polycarp from the World Resources Institute, Washington D.C. The ecbi Director concluded with a proposal for definitions for direct access based on the ones adopted by the Adaptation Fund Board.

The fourth and final meeting of the TC took place on 16-18 October 2011 in Cape Town. On the penultimate day, during informal consultations with the different members, Carol Mwape provided the TC Chair with text that ultimately became part of the direct access paragraph of the GCF Governing Instrument[4]:

> 47. ... The Board will consider additional modalities that further enhance direct access, including through funding entities with a view to enhancing country ownership of projects and programmes.

6.1.4. ENHANCED DIRECT ACCESS III: WORK OF THE GCF BOARD

Further collaboration with the LDC, publications and the actions of ecbi stakeholders all contributed to the Green Climate Fund Board (GCFB) decision to consider additional modalities for enhanced direct access.

Following the support provided to the LDC members of the TC, the ecbi Director was requested to continue supporting the LDC Group as adviser to the LDC member/alternate of the Green Climate Fund Board (GCFB).

The first GCFB meeting was held in August 2012 in Geneva. Following the Finance Circle meetings with TC members, the ecbi Director and the LDC member of the GCF convened a meeting for GCFB members and advisers, which began with a presentation by the ecbi Director focussing on the issue of Enhanced Direct Access, and the importance of (local) stakeholder engagement.

In February 2013, the Indian Finance Ministry convened a consultation meeting of a number of GCFB members and their advisers to discuss their Vision Document for the GCF. The ecbi Director was invited to write and present a background paper on access modalities, which was reflected in the Indian 'Delhi Vision Statement'.

At the meeting in Berlin in March 2013, the GCFB noted that there is a convergence among the views of its members to "commence as a fund that operates through accredited national, regional and international intermediaries and implementing entities."[5]

In April 2013, the ecbi Director published an information note for the GCFB's fourth meeting, analysing the meaning of "enhancing direct access ... through funding entities" as used in paragraph 47 of the GCF GI. At the GCFB meeting that followed, in June 2013 in Songdo, Dipak Dasgupta (India, 2012 ecbi Fellow) and Mesbah ul Alam (LDC alternate member) were part of the final small-group Board negotiations to have paragraph 47 operationalised in the

[4] Phone conversation with Carol Mwape 19/12/13
[5] Decision B.01-13/06

GCFB decision to consider additional modalities to enhance direct access at its first meeting in 2014.[6]

On the eve of the fifth GCFB meeting in Paris, on 6 October 2013, the ecbi organised an informal discussion meeting for GCFB members and advisers on resource allocation and Enhanced Direct Access through National Funding Entities.

A blog posted on 30 October by the ecbi Director received a number of positive replies by GCFB members/alternates, among them a suggestion to hold a workshop in advance of the sixth meeting of the GCFB in February 2014. The replies illustrate the support for ecbi proposals in that context.

6.1.5. ARRANGEMENTS BETWEEN THE COP AND THE GCF

The SCF was asked to work with the GCFB to develop arrangements with the GCF and the COP. The Finance Circle worked closely with the SCF during this time, and the ecbi produced publications on the subject. The draft arrangements were approved by the GCFB.

On 6 September 2012, two years and one week after it was conceived during the 2010 ecbi Fellowships in Oxford, the Standing Committee on Finance had its formal inaugurating meeting in Bangkok, Thailand (see Section 6.1.1.). In order to celebrate this significant event, and to provide a chance for its members to interact with the TC members, the ecbi Finance Circle hosted a meeting for SCF members on 5 September. The ecbi Director – who is advising Edith Kasajja, the LDC SCF member from Uganda – opened the meeting with a few introductory remarks on the nature and the priorities of the SCF.

COP 18 in Doha, in December 2012, requested the SCF and the GCFB to develop arrangements between the COP and the GCF in accordance with the GCF GI and UNFCCC Article 11.3, for agreement by the GCFB and subsequent agreement by COP 19.[7]

The SCF began work on these arrangements and requested its Co-Chairs to attend the fourth GCFB meeting on 13-15 March 2013 in Berlin, in order to discuss the arrangements with the GCFB Co-chairs. On 11 March 2013, the Finance Circle met in Berlin, attended by the two SCF Co-Chairs, four SCF members, a GCFB alternate member, and representatives of five GCFB members/alternates.

The COP/GCF arrangements turned out to be by far the most politically charged item on the agenda of the subsequent SCF meetings (it was not discussed at all at the GCFB). In order to help resolve some of the most contentious issues, the ecbi Director wrote a submission to the SCF in the context of its fourth meeting.

'*On "Being Accountable": What does it mean for an Operating Entity of the UNFCCC Financial Mechanism to be accountable to the COP, and how does this relate to operationalizing Art. 11.3 (b)?*' Submission to the UNFCCC Standing Committee on Finance, 14 June 2013

[6] Decision B.04/06
[7] Decision 7/CP.18

The deliberations were intense and in the end got bogged down over the issue of how to deal with the task of developing modalities by which a particular funding decision may be reconsidered in light of the policies, programme priorities and eligibility criteria established by the COP, as required by UNFCCC Article 11.3.b. The next submission considered the debate on these modalities and the underlying issues and put forward a pragmatic proposal for compromise.

'*Metaphysics or Pragmatics? How to proceed with the Arrangements between the COP and the GCF?' Submission to the Standing Committee on Finance 22 August 2013*'

The draft arrangements by the SCF were approved without changes by the GCFB at its fifth meeting in Paris in October 2013, and COP 19 in Warsaw in November 2013. Although it is not possible to directly attribute impact, the sequence of events indicate that these publications have helped in fostering the compromise that led to the outcome.

6.1.5. THE UNFCCC WORK PROGRAMME ON LONG TERM FINANCE

An ecbi-supported Finance Circle collaboration with the LTF influenced a COP decision.

The ecbi has developed a relationship over time with the negotiators working on the UNFCCC Work Programme on Long-Term Finance (LTF). Yeb Sano, a negotiator from the Philippines and developing country Co-Chair of the LTF, attended the 2013 Fellowships and gave a presentation to the Fellows and the Oxford Seminar.

At COP 19 in Warsaw, in December 2013, the ecbi held a Finance Circle meeting in the first week of the session, in which Mark Storey, a negotiator from Sweden and developed country LTF Co-Chair, gave a brief overview of the LTF, which informed a discussion on how the work should be taken forward. There was a convergence of views at this meeting that the (technical) work of the LTF should be continued under the aegis of the SCF. Subsequently, this view was cemented in Decision -/CP.19.[8] As the ecbi-hosted Finance Circle meeting took place directly before Decision -/CP.19 was adopted, it is possible to infer that this meeting had a direct influence the outcome.

6.2. PARTICIPATING DEVELOPING COUNTRY NEGOTIATORS DEMONSTRATE INCREASED NEGOTIATION SKILLS

It was not within the scope of this evaluation to measure this outcome. The Training and Support Programme has however collected data against this indicator for Phase III of the programme, which is discussed in the output section (6) in this report.

6.3. LEVELS OF TRUST AND UNDERSTANDING OF NEGOTIATING POSITIONS BETWEEN PARTICIPATING NEGOTIATORS INCREASE

The evaluation found that this outcome was **achieved**

[8] See para 11 in the LTF Decision

78% of respondents to the 2012 and 2013 Oxford Fellowships and Seminar feedback forms responded positively to the question 'do you feel you have a better understanding of the climate change priorities of other countries?'. Many of the interviewees (and most of the Fellows interviewed) stated that participating in the Fellowships and Seminar allowed them to enter negotiations 'understanding others' perspectives'.

Trust-building was not explicitly measured by the Oxford Fellowships and Seminar feedback forms. Some developing country interviewees did directly reference trust building, however – and all who did so agreed that it was taking place. There are also further positive outcomes referenced by participants that could be seen as relating to trust building. It is through these that we can begin to measure how trust building is being manifest.[9]

In answer to the question 'what is the most important component of the Fellowships and Seminar', the highest number of responses related to 'informal and open personal interaction, building relationships with other negotiators, fostering friendships' in all of the feedback forms reviewed. As one interviewee put it, 'It makes a huge difference to strike a view with friends! I listen in a different way if I'm talking with friends, rather than just a negotiator. It's great value added'.

Many interviewees referred to speaking from a personal, rather than national, viewpoint as a benefit of the programme. Some Fellows specifically referenced engaging with a range of countries (not just other developing ones) as a positive outcome, indicating that North-South trust building is also occurring.

All of the above responses could be used as indicators that trust building is taking place.

The Oxford college venue was often cited as key to the success of this outcome. Most interviewees were able to state the advantages of the location, with some mentioning that it provided an academic and neutral slant to discussions, with others stating that 'it takes us away from the negotiating context', and 'it provides a setting where ideas are more important'. A few stated that the venue was not important, but that the venue would have to allow social interaction. A southern venue was also suggested as a possible alternative.

6.4. PARTICIPATING DEVELOPING COUNTRY NEGOTIATORS ARE BETTER INFORMED ON KEY CLIMATE CHANGE NEGOTIATION ISSUES

The evaluation found that this outcome was **achieved.**

On the feedback forms completed by all participants of the 2013 Oxford Fellowships and Seminar, 85% respondents reported gaining useful insights that would be useful for them in negotiations, with 59% also reporting gaining useful information.[10]

[9] Trust building can be a difficult goal to measure, as it is a relatively intangible and subjective term. However it is possible to develop a set of indicators using the above responses from the participants themselves, and indeed the ecbi could utilise these terms in measuring this outcome in future evaluations.

[10] Feedback forms were also available from the Oxford Fellowships and Seminar 2012, and the Bonn Seminar 2013. However they did not pose this question for participants.

In the key informant interviews, many interviewees made positive comments regarding the information gained as part of the ecbi programme. Of these, some referred to the broad range of topics being valuable in terms of gaining useful information, with others stating that participating in the ecbi programme meant the interviewee was able to enter negotiations better informed. In the words of one interviewee, 'the discussions that we are having today puts me up to speed for jumping into the negotiations well informed'.

Of the Fellowship interviewees who referred to the ecbi's publications, all stated that they found them useful and informative. European interviewees were spilt, with some saying that they did not read them – 'Managing information flow, I feel I have sufficient information. There is a sense that they are more useful for countries with less access, fewer resources. I am from a country where there's a lot [of information] on offer'. Other European interviewees found the publications useful.

Two European interviewees thought that some of the topics covered in the discussions and publications can be 'farfetched', which can 'radicalise that group [developing countries] away from a reasonable common ground'.[11] However these interviewees were positive overall in their assessment of the ecbi's activities.

6.5. ADDITIONAL RESULTS AT OUTCOME LEVEL

The stated aims of the ecbi do not explicitly reference impact on the negotiations. However, as we can see from the results above, there are impact examples that can be attributed. Other results were also identified in the evaluation period where ecbi activities impacted on the negotiation process and wider thinking in the climate change community.

6.5.1. CDM SUPPORT FUND

In 2008, the ecbi published a paper co-authored by the ecbi Director and an ecbi Fellow entitled '*Implementing the Bali Action Plan: What Role for the CDM?*' The paper proposed that developed countries take on obligations to obtain a certain number of Clean Development Mechanism (CDM) credits, which are then retired, rather than used to offset developed country mitigation commitments. From this was developed the idea of a CDM support fund.

Following discussion between the Indian delegation and the ecbi, India put forward the idea of the CDM support fund at COP 18 in Doha, in 2012. The concept was then endorsed by the High Level Panel on the CDM Policy Dialogue, which put forward recommendations to a Ministerial Dialogue held later that day concerning the role of market mechanisms under the UNFCCC.[12] This is likely to be a significant step in furthering the concept in the negotiation process.

[11] Although the interviewees did not specify, the context suggests this comment refers to the LDC paper series, where LDC participants themselves generate the discussion topics, as outlined in section 4 above.
[12] 'Quantity Performance Payments by Results: Operationalizing enhanced direct access for mitigation at the Green Climate Fund', Müller, Fankhauser and Forstater July 2013.

6.5.2. CROWDFUNDING FOR CLIMATE CHANGE

In 2013, the ecbi invited one of their Fellows to produce a joint Policy Brief with an external climate change specialist on utilising 'crowdfunding' for climate finance at the local level. Following this paper, the two authors produced a proposal based on the concepts it covered. This proposal won the prestigious MIT Climate Co-Lab Popular Choice Award.[13] The impact of this process is not easy to verify within evaluation period, but is possible that we will see a longer-term effect of these concepts being popularised.

6.6. RESULTS FROM PHASE I AND II

The Terms of Reference of this evaluation are to include longer term results of the initiative. Therefore, these examples of results from Phase I and II, are also included (except results from the Training and Support Programme). They are taken from the ecbi report '*Accomplishments: Testimonials by ecbi participants on Phase I & II Outcomes and Impacts, January 2011*'.

6.6.1. The International Air Passenger Adaptation Levy (IAPAL) was discussed in the 2006 Fellowships and was subsequently submitted to the COP by the LDC Group.

6.6.2. The governance and architecture of the Adaptation Fund were discussed in the Fellowships of 2006 and 2007, leading to two Policy Briefs by Fellows (2006 and 2007) which were instrumental in forging the compromise that led to the adoption of the Adaptation Fund at CMP 7 in Bali, in 2007.

6.6.3. There were two meetings of the ecbi Finance Circle in November 2010 during COP 16 in Cancun. The discussion was mainly about how to establish the GCF, focussing on the idea of a "Transitional Expert Panel" (as put forward in an ecbi Policy Brief[14]), to be convened by the UNFCCC Secretariat. In the outcome of the COP, the Cancun Agreements, the Secretariat was requested to convene a *Transitional Committee* for designing the GCF.

7. PERFORMANCE AGAINST OUTPUTS

7.1. Data for performance against output indicators for the Sida-funded element of this programme are available in the ecbi Annual Reports for financial years 2011/12 and 2012/13. These Reports have already been submitted to the donor so will not be detailed here.

According to the Annual Progress Reports, the ecbi has **met** these indicators for the evaluation period.

7.2. The Training and Support Programme is not currently funded by Sida and is therefore not within the scope of this evaluation. However, for completeness this evaluation has also examined data provided by IIED on performance against indicators for the Training and Support Programme. The indicators are as follows:

[13] http://climatecolab.org/community/-/blogs/2012-2013-climate-colab-contest-winners?_33
[14] http://www.oxfordclimatepolicy.org/publications/documents/FinanceAfterTianjin.pdf

- At least 150 negotiators, at least 25-30 line ministry representatives attend
- At least 15-20 parliamentarians are trained over three years
- Average feedback score at least 'useful'

During the evaluation period, 204 negotiators attended ecbi workshops. Information was not available on the profile of these attendees. All participants scored the overall workshop as 'adequate' or above. (The option of 'useful' was not provided on feedback forms). Therefore with the data available, the Training and Support Programme is found to have **met** its output indicators.

8. ADDITIONAL EVALUATION CRITERIA

This evaluation also assessed the Sida-funded elements of the ecbi programme against the additional OECD DAC criteria of relevance, effectiveness, efficiency and sustainability as per Sida evaluation requirements, which are discussed below. The evaluation also assessed gender, as the ecbi has a specific indicator relating to gender. Finally, following a concern raised by Sida, the evaluation also considered the selection of participants at the Fellowships and Seminars.

8.1. RELEVANCE

The evaluation found that the ecbi is meeting a need not met by other climate change initiatives.

Most interviewees were able to give a positive example relating to relevance. No interviewees felt that the ecbi programme duplicated other efforts in the sector – other initiatives were discussed, but none were felt to address the needs met by the ecbi.

Various reasons were given as to why the ecbi occupied a unique position amongst climate change initiatives. Some of the interviewees felt that other initiatives pushed a specific agenda, whereas the ecbi did not. As one Fellowship interviewee stated, 'Other groups try to get involved… [and] if we try to set boundaries it's difficult. I think the ecbi and Benito have already set their own boundaries on how they want to work. You don't feel he's in your space as a delegate'.

A similar amount of interviewees mentioned that the ecbi's policy of open discussion as a key part of its unique position. Some also stated that they chose to participate in the ecbi over other initiatives because they trusted in the ecbi's accuracy and integrity. When unpacking this accuracy and integrity, commonly given examples were 'they do not cross the line', 'open discussion, reflected in documents produced', and 'they have been in the negotiations since the beginning'.

8.2. EFFECTIVENESS

The effectiveness of the ecbi has been discussed in the achievement of outcomes above. As effectiveness is hard to measure in this kind of initiative, perception of effectiveness could be used as a proxy indicator.

Many interviewees thought that the ecbi meetings and publications moved ideas forward in the climate change negotiation process. A few stated explicitly that they thought the ecbi had direct impact on negotiations, particularly on finance decisions. Only one interviewee felt that the programme did not 'move the substance of the negotiations along', but that 'the primary added value is spending time together, engaging informally, the discussion in the seminars and accompanying events together'.

8.3. EFFICIENCY

The ecbi was praised for its efficiency by many stakeholders in the course of the evaluation. In the 2012 and 2013 Oxford Fellowships and Seminar feedback forms, 70% respondents rated logistics as being 'excellent/perfect' or 'good/great'.[15]

In comments on process, many interviewees made positive comments about the organisation and structure of the Fellowships and Seminars. Good quality of content was mentioned second most frequently in comments about process. One interviewee summarised this with their succinct statement 'I must say, I'm impressed with the organisation'.

No negative comments were made regarding efficiency, although a few interviewees thought the moderation of the Seminar discussion should have been stronger, despite the addition of a facilitator.

8.4. SUSTAINABILITY

Sustainability looks at the extent to which benefits from an intervention will be maintained at an appropriate level after the end of the project. From interview responses, it seems likely that relationships developed as part of the ecbi programme will continue to benefit participants after the end of the intervention (see section 6.3 on trust building in Outcomes).

However the context for the work of the ecbi is time bound, therefore conventional sustainability considerations don't always apply. The rapidly evolving environment means that new discussion topics constantly arise, and negotiator turnover requires that Fellowships and Seminars need to be held on at least an annual basis.

Respondents who referred to the issue of sustainability strongly stated the need for the initiative to continue till at least 2015. In the words of one, 'It's crucial for an organisation like this to help up to 2015'.

8.5. GENDER

The ecbi's stated objectives on gender are:

- 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

[15] The 2013 Bonn Seminar feedback form did not contain a question on logistics/organisation.

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; and
- 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 ecbi has initiated collaboration with the Women's Environment and Development Organisation (WEDO). A representative from the organisation made a presentation on gender issues at the 2013 Oxford Fellowship. The gender element is also highlighted in policy discussions at the Fellowships and as part of the LDC Paper Series. One of the members of the LDC Series Editorial Board is a member of WEDO.

In addition, the ecbi reports on gender in its ecbi Annual Reports. For the purpose of these reports, the ecbi has developed the following indicator for women's representation in its programme:

- ecbi activities have a greater percentage of representation by women than the current 12-15% of the Heads of Delegation at the COP

As outlined in the 2013 Annual Report, the proportion of women elected to attend the Fellowship in 2012 far exceeded the current proportion of all Party delegates, by more than 100%. Representation by women in both the Oxford Seminar and the Finance Circle also surpassed this.

For the purpose of this evaluation, more detailed data was provided by the ecbi for the Oxford Fellowship Colloquiums in Phase III.[16]

[16] The Administrator states: 'Gender data has not been a reporting requirement, and so has not historically collected. However, six months ago I requested that a new field be added to our database, so that this information is now being collected.
The database numbers well over a thousand, and it is not always possible to ascertain members' gender from their names, given that the database comprises an international network. Where possible, gender is being assigned to members, currently on an ad-hoc basis, and gender data is being incorporated into the monitoring system going forward. It is difficult for me to provide accurate gender data for the Bonn Seminars, as the participant list did not record gender. This information will be collected in future. As I was present at the past three ecbi Oxford Colloquiums, it is, however possible to analyse the attendance with confidence'.

	Male participants	Female participants	Total participants	% Male participants	% Female participants
2013 Fellowship	13	3	16	81	19
2013 Oxford Seminar	24	7	31	77	23
2012 Fellowship	9	2	11	82	18
2012 Oxford Seminar	20	4	24	83	17
2011 Fellowship	3	7	10	30	70
2011 Oxford Seminar	10	8	18	56	44

As is evident from the table above, the gender balance at these events fluctuates, although women's participation always exceeds the 12-15% benchmark. This fluctuation is likely due to the range of considerations in terms of selection and logistics that influence attendance at ecbi events. This is discussed further in the Recommendations Section 10.3.

This evaluation also identified some unintended impacts related to gender in the ecbi programme, which are detailed here. These impacts were noted by two different interviewees.

The ecbi model allows women to participate on a level playing field to men – provides briefing and support that is not accessible due to time commitments in the home. A Fellowship participant commented that 'For female negotiators it's more difficult. I get home, I'm with the kids. Then I get on the plane again, now I'm reading the documents. For a female negotiator, the playing field is even less level… it's hard for them to prepare for something like this'. [So the ecbi fulfils that for you?] 'Yes it does. It really does'

The Seminar helps build relationships with male negotiators that might otherwise be difficult due to perceived cultural barriers. A European Seminar participant noted that 'Between a younger woman, (if I may call myself), and older men from a more patriarchal society, it [attending the Seminar] makes it easier, to approach each other.'

8.5. SELECTION OF PARTICIPANTS

The ecbi has the following procedure for selecting participants for its Fellowships and Seminars:

Fellowships

In order to maximise the impact of the Fellowships (designated for senior developing country negotiators), the aim is to attract (i) chairs of UNFCCC bodies, such as subsidiary bodies, regional and interest groups, and (ii) senior representatives of the BASIC countries. For this reason, the Head of the Fellowship Programme will select Fellows based on nominations/recommendations from

- BASIC (up to two Fellows): relevant governments
- Africa, LDC, SIDS (two Fellows each): respective Group Chairs

- Others: Executive Committee

Seminars

European participants in the Seminars are not refunded for travel expenses or provided with a daily subsistence allowance. Participation can therefore be open-ended, within the specified target group (for instance, all members of the Finance Circle can attend the Finance Circle seminars, and the Oxford Seminar is open to all senior European negotiators). If there are more expressions of interest than spaces, then the Head of the Fellowship Programme selects the participants with the guidance of the Executive Committee.

In addition to the above, the ecbi also states it has a policy not to try to invite the same participants too often.

From the ecbi database, it is possible to make the following analysis. The figures refer to attendance at all the ecbi Bonn Seminars, and all the Oxford Fellowships and Oxford Seminars from Phase III of the initiative (*n*=126). Where Fellows attended both the Oxford Fellowship and Seminar in the same year, this was classed as a single attendance, as the Seminar immediately follows the Fellowship.

Number of events attended	1	2	3	4	5	6	7
Percentage of participants	70%	19%	5%	5%	0%	1%	1%

When asked about the composition of attendees ('were the right people in the room'), interviewees were positive. All stated that the composition was good, except one who stated 'it's not optimal but it's the second best you can find'. A few interviewees suggested countries that it might have been useful to have attend (particularly Brazil and the US), but none mentioned any issues relating to first time or repeat attendance.

When asked for general recommendations in the interviews and on feedback forms, two participants suggested that more 'fresh faces' should be brought in. However other than this, the issue was not raised by respondents as a concern – having senior figures and good representation of key groups seemed to be more significant.

The balance of participants is discussed further in Section 10, on recommendations.

9. ENABLERS AND CHALLENGES

To assess the enablers and challenges that impact on the ecbi's delivery of their programme, the evaluator asked key ecbi members/ stakeholders to undertake a strengths, weaknesses, opportunities and threats (SWOT) analysis, and checked this against other findings.

9.1. ENABLERS

Internal enablers cited mostly related to the principles of the organisation. Impartiality, and the participants-led approach were mentioned, which stakeholders felt had led to participants developing trust in the organisation (echoed by interviewees in Section 8.1).

In terms of processes, a rapid sign-off process was credited with allowing the ecbi to position itself ahead of the crowd on the hot topics of the negotiations. 'Compared with large organisations, we try to keep the process nimble. We do follow due process but we are quick'.

The ecbi has now been operating for eight years, and some stakeholders referred to the capital that has been built over this time. This is seen to have has led to both increased trust in, and credibility of, the ecbi by external stakeholders, but also the increased influencing ability of the participating groups. As one interviewee explained, 'The ecbi has evolved over time. They were initially helping a vulnerable group of countries. It's now less about capacity building, more about capacity utilising… the LDC Group has become a major player'.

9.2. CHALLENGES

The most commonly cited challenge was the funding environment. The ecbi is addressing this by researching funding opportunities and developing proposals.

Negotiator turnover was also mentioned by some key stakeholders – the organisation invests in developing capacity of participants, and building relationships, only to find that they are moved to different positions either within or externally to their governments. There is little that can be done about this other than acknowledging it as a risk in programme planning.

The ecbi Director as an individual was frequently cited as a strength of the organisation. This, however, could be seen as a potential risk to sustainability. Of the six interviewees questioned in more detail, four thought that though the Director was valuable, the organisation could continue without him. Two thought they 'couldn't see anyone else doing it'. This issue is addressed further in Section 10, on recommendations.

10. RECOMMENDATIONS

The ecbi often works in an intuitive, relationship-focused manner, and this has been successful in creating a unique environment in which trust building can thrive. However, the evaluator believes it is possible and indeed necessary to document the framework of its approach, and its successes and failures. The evaluator believes this would be possible without losing the unique approach of the programme. Better documentation of the approach taken will enable the organisation to demonstrate its impact to its donors and supporters, and capture the key elements of its operational model to ensure sustainability and replication where necessary.

10.1. OPERATIONAL MODEL

Bring together all the documentation on the operating model (particularly for the Fellowships and Seminar model) to outline what framework of principles and approaches underpin the ecbi activities to make them unique. This report has already attempted to begin this process with the principles listed in the Operating Model section (4), but could also include points such as:

- How participants are selected;
- What is considered the ideal composition of participants to succeed;
- How ground rules are agreed and implemented;
- Participatory, Fellow-led facilitation approaches;
- The structure by which Fellows chose discussion topics then present to developing and developed country stakeholders at the Seminar; and
- Other components considered essential to the success of the programme.

This could be developed in the form of a case study, or similar learning resource. This then serves as a learning tool both internally, in the event of staff turnover, and externally to demonstrate the ecbi's unique approach to donors and other stakeholders.

Particular attention should also be paid to succession planning, in the event that the ecbi Director leaves his post. The ecbi should consider what specific skills and approaches he brings to the role that enable the organisation's success, how these might be replicated, and how to mitigate the possible risks adherent to operations should he leave.

10.2. MONITORING AND EVALUATION

The ecbi's monitoring approach focuses on the proxy indicator of attendance at Fellowships and Seminars, output indicators of attendance, and examples of impact on negotiations. To complete the picture, the ecbi also needs to gather data on trust building, and efficiency – asking the question, is the current model the only way to achieve success.

In terms of impact examples, the organisation should continue to collect examples as it already does, concentrating on timelines, and what the specific contribution of ecbi is, particularly whether this is the contribution of Fellows or ecbi staff. The ecbi should also consider re-drafting its aims to include impact on negotiations and thinking in the climate change community, so results against this can be better measured and demonstrated.

The ecbi should also consider developing its monitoring tools to be more closely aligned to the outcomes suggested by this evaluation – particularly in feedback forms at events. It would also be useful to develop indicators for the outcomes defined in the Theory of Change in this document.

Stringent collection and storage of data is already beginning to happen, and should continue, using databases that are usable and accessible in the event of staff turnover.

10.3. COMPOSITION OF FELLOWSHIPS AND SEMINARS

Achieving a balance of participants at events is always a challenge. The ecbi should consider the percentage balance for optimum participation of new and repeat attendees. This obviously needs to be balanced against other considerations such as participation of essential stakeholders and groups, indicators that have already been committed to, and particularly gender balance – overlaid by the complex issue of who actually responds to invites, whether respondents can then gain visas, and other practical issues.

10.4. PARTICIPANT FEEDBACK

ecbi programme participants were invited to share recommendations both in the feedback forms, and through the key informant interviews. There were no strong trends observable in the recommendations. The most frequently made recommendation (made by ten interviewees and feedback form respondents, of a total of 53) was to go a little deeper into subjects in the fellowships – being more selective in choosing the topics to discuss, favouring depth over breadth.

Other recommendations that were made by a few respondents included bringing in non-European developed country participants (Canada, US, Australia[17] and Brazil were all mentioned), and involving developing countries more; for example trying to meet in a developing country, or bringing in scholars/presenters from African Universities.

[17] NB. These three countries are not included in the ecbi's mandate.

11. ANNEXES

ANNEX 11.1. TERMS OF REFERENCE FOR THE EVALUATION

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 ***Workshop 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 for a duration of 4 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.

An In-Depth Evaluation shall be carried out during the third year of ecbi Phase III (1 April 2013 to March 2014). The Evaluation shall summarise obtained and expected results in relation to the relevant Results Based Matrix (Annex II of the ecbi Phase III Proposal), 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. 7 of the Sida Agreement with Oxford Climate Policy (No. 5404015501).

The external evaluation has several objectives:

- to capture demonstrable results to date against ecbi's stated aims and objectives;
- to critically assess the enablers and challenges 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;
- to identify indicators for assessing trust building, and measure ecbi's achievements in this area

SCOPE OF THE EVALUATION

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 III 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:

- Evaluating the revised plan of work of the ecbi Workshop Programme proposed by the ecbi Executive Committee.
- 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 consultant will be expected to outline the key achievements of the different activities and to highlight reasons for success, and analyze and explain possible failings.
- Assessing the range of activities undertaken by ecbi – including common activities such as website management -- 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 III Project Proposal.
- Drawing lessons learned by ecbi in Phase III 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; and
- Any other individuals/organisations with relevant information.

EVALUATION APPROACH AND METHODOLOGY

The consultant 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 the ecbi Bonn Seminar during the next meeting of the UNFCCC Subsidiary Bodies in Bonn (beginning of June 2013) and the Oxford Fellowships and Seminar (beginning of August 2013).
- **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 Appendix II.B. Monitoring: Indicators and Criteria of the Phase III Proposal.
- **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

May 2013: Inception meeting with ecbi management team (OCP office, date t.b.c.).

9 June 2013: ecbi Bonn Seminar, (Bonn, Germany).

30 June 2013: Interim Report (max. 5pp.) on Workshop Programme proposal. 8 August 2013: ecbi Oxford Seminar (Oxford, UK).

October 2013: submission of draft Report (date t.b.c.).

December 2013: 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 2014: Presentation of results (date and venue t.b.c.).

BUDGET

Time: A time budget will be part of the application (it is not expected that the task will require more than 20 days of work).

Expenses: Agreed expenses will be paid against receipts. An expenses budget will be part of the application.

ANNEX 11.2. PROFILE OF EVALUATOR

Lucy Heaven Taylor is a senior humanitarian and development specialist with fifteen years' experience in the sector, working for the leading NGOs Oxfam, Save the Children and Merlin at country, regional and headquarters level. She has experience of qualitative research and evaluation, derived most recently from her role in Oxfam GB's Programme Performance team, responsible for delivering programme effectiveness and accountability to a results-based agenda.

She has extensive experience of evaluation and programme review, starting from evaluating humanitarian programming in several high-profile responses, such as northern Uganda and Darfur. More recently, she was part of Oxfam's Programme Performance Team, where she specialised in capturing beneficiary voices in evaluating programme effectiveness. As a consultant, she has conducted strategic reviews for international organisations such as World Vision.

Recent evaluation experience specific to this sector comprises evaluating the DfID-funded Legal Response Initiative's provision of legal advice to developing country negotiators at the COP17 climate change conference in Durban 2012.

ANNEX 11.3. NUMBER AND PROFILE OF INTERVIEWEES

Interviewee	New to ecbi	Repeat attendee	Male	Female
Fellow	4	8	10	2
European	2	3	3	2
ecbi stakeholder	n/a	n/a	2	2
TOTAL	6	11	15	6

ANNEX 11.4. BREAKDOWN OF ACTIVITIES IN EVALUATION PERIOD[18]

2011 (11)	Number of attendees	Location	Profile of attendees
Bonn Seminar	25	Bonn, Germany	
Oxford Seminar	26	Oxford, UK	10 Fellows, 8 EU participants, 8 experts
Oxford Fellowships	10	Oxford, UK	
Regional ecbi Workshop for West Africa	37	Dakar, Senegal	
Regional Workshop for East-Southern African & South Asian Negotiators	30	Dar es Salaam, Tanzania	
Finance Circle (November)	10	Durban, South Africa	
Pre-COP Meeting of LDC Coordinators, Core Team Members and Advisors	30	Durban, South Africa	
Finance Circle (April)	21	Bangkok, Thailand	
Finance Circle and Transitional Committee Members (April)	26	Mexico City, Mexico	
Finance Circle and Transitional Committee Members July)	22	Tokyo, Japan	
Finance Circle and Transitional Committee Members (Sept)	24	Geneva, Switzerland	
2012 (7)			
ecbi Strategy Seminar for Africa Group Representatives: Durban Outcomes and the Way Forward (March)	25	Paris, France	
Finance Circle (May)	20	Bonn, Germany	
Bonn Seminar (May)	31	Bonn, Germany	
Oxford Fellowships	14	Oxford, UK	
Oxford Seminar	30	Oxford, UK	
LDC/ecbi Finance Circle Reception for	16	Geneva, Switzerland	Two Meetings

[18] Figures provided by ecbi. Historically there has been no systematic gender disaggregation of participant data – this has now been put in place. See section 8.5.

the Green Climate Fund Board			
ecbi Finance Circle Reception for the Standing Committee	14	Bangkok, Thailand	
2013 (6)			
Finance Circle (March)	12	Berlin, Germany	
Bonn Seminar (June)	35	Bonn, Germany	
Oxford Seminar	30	Oxford, UK	
Oxford Fellowships	17	Oxford, UK	17 Fellows
Training workshop for Asian LDC climate change negotiators (Sept)	48	Dhaka, Bangladesh	35 Developing, 5 EU
GCF Caucus Meeting (Oct)	15	Paris, France	
Total Participants	1784		

Publications

2010

Policy Briefs	10
ecbi Annual Report	1
Meeting Reports	7
Background Papers	1
2011	
Policy Briefs	3
LDC Paper Series	5
Meeting Reports	8
ecbi Annual Report	1
2012	
Policy Briefs	1
Background Papers	3
Meeting Reports	6
ecbi Annual Report	1
2013	
Policy Briefs	4
LDC Paper Series	8
Background Paper	1
Meetings Reports	5
ecbi Annual Report	1

During 2011-2012 the ecbi Workshop Programme granted 3 **bursaries**.

ANNEX 11.5. EVIDENCE TO SUPPORT IMPACT EXAMPLES

11.5.1. TEXT FROM DECISION TO SUPPORT EVINDENCE IN SECTION 6.1.1. OF REPORT

european capacity building initiative
ecbi

Reforming the Financial Mechanism
Some thoughts put together by the 2010 ecbi Fellowship

FINANCE COMMITTEE OF THE COP

1. Functions

A standing committee ('Finance Committee') of the COP is created.

The role of the Finance Committee is to provide support to the COP in exercising its functions with respect to the Financial Mechanism (FM)of the UNFCCC, and to carry out any other task related to climate finance the COP chooses to assign.

Standing Functions of the Finance Committee

The Finance Committee is, in particular, charged with supporting the COP in

- providing guidance to the operating entities of the FM and recommendations to other actors;
- assuring the accountability of the operating entities of the FM;
- rationalizing the FM;
- assessing the adequacy of climate change finance for developing countries, incl. MRV of support;
- verifying the fulfilment of assessed contributions;
- reviewing the scale of assessed contributions.

Decision 1/CP.16

The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention

IV. Finance, technology and capacity-building

A. Finance

112. *Decides* to establish a Standing Committee under the Conference of the Parties to assist the Conference of the Parties in exercising its functions with respect to the financial mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the financial mechanism, mobilization of financial resources and measurement, reporting and verification of support provided to developing country Parties; Parties agree to further define the roles and functions of this Standing Committee;

5. draft recommendations/guidance to all actors involved in climate finance, with a view to improving coherence in delivery of finance and complementarity in their approaches, including comparable standards, guidelines, and rules of allocation.

From 'What Functions? What Form? Operationalising the Standing Committee' ecbi August 2011

(c) Providing to the Conference of the Parties draft guidance for the operating entities of the financial mechanism of the Convention, with a view to improving the consistency and practicality of such guidance, taking into account the annual reports of the operating entities as well as submissions from Parties;

(d) Making recommendations on how to improve the coherence, effectiveness and efficiency of the operating entities of the financial mechanism;

From Decision 2/CP.17 March 2012

6. draft recommendations/guidance with regard to overcoming thematic and geographical imbalances in the international flows of climate finance.

'What Functions? What Form? Operationalising the Standing Committee' ecbi August 2011

(f) Preparing a biennial assessment, overview of climate finance flows, to include information on the geographical and thematic balance of such flows, drawing on available sources of information, including national communications and biennial reports of both developed and developing country Parties, information provided in the registry, information provided by Parties on assessments of their needs, reports prepared by the operating entities of the financial mechanism, and information available from other entities providing climate change finance;

Decision 2/CP.17 March 2012.