

## End of Year 5 Independent Evaluation of CDKN Management Response

### 1. Introduction

The following document is the Climate and Development Knowledge Network's (CDKN) Management Response to the final report from the external End of Year 5 Evaluation (EYE5) conducted by ITAD.

In the first instance, CDKN would like to thank the evaluators for the way in which they approached the task, given the level of analysis undertaken particularly at the level of the country programmes, and for having produced a comprehensive, lucid and thought-provoking report. It is also important to thank all of the CDKN staff who worked extremely hard to support ITAD in the organization of the country visits, the access to existing information, and in the coordination of stakeholder interviews with key CDKN partners.

The scope and design of the evaluation was agreed following a series of methodological workshops involving evaluation experts from Department for International Development (DFID), CDKN, INTRAC and ITAD. This collaborative effort helped to clarify expectations, roles and governance of the evaluation itself, ensuring the independence of its findings whilst at the same time providing CDKN with lessons that could strengthen its programme going forward. In line with the Terms of Reference (ToR) the evaluation report provided analysis on the extent to which CDKN is performing against its original objectives and logical framework; CDKN's progress to overarching impact up to Year 5 and likely trajectory in Years 6 and 7; progress towards impact within Outcome & Research theories of change (ToCs); the value added of CDKN's institutional model up to Year 5, including its niche and role as a global Climate Compatible Development (CCD) knowledge network, and the value for money offered by its management model. ITAD designed a simple yet robust approach and method combining purposive and random sampling techniques, applied through a triangulated mixed-method involving over 180 stakeholder interviews, desk-based research and country visits to India, Nepal, Colombia, Kenya and Rwanda. Case studies were used to test the Theories of Change at the country programme and Outcome level, with some level of contribution analysis to help identify the contribution of CDKN in complex policy environments in which other interventions are also taking place.

This management response addresses how CDKN is following up on the observations and recommendations of the evaluation as it strives to strengthen the impact of the work accomplished so far in the remainder of the current programme. CDKN strongly appreciates the support provided by DFID and the discussions to date on the findings of the evaluation with the Management Oversight Committee (MOC).

### 2. Key Findings

CDKN appreciates the external perspective on progress provided by the independent evaluation which, in general, is both encouraging in terms of impact whilst being fair in terms of challenge. In particular, CDKN is pleased by the finding that CDKN has made a credible contribution to its

overarching impact objective, namely that developing countries' policies and programmes are resilient and responsive to climate change implications by 2020.

CDKN welcomes the general recognition that we are on track against our likely contribution to outcomes and progress towards impact within our Outcome & Research theories of change. The evaluation has also facilitated an assessment of the value-added of CDKN along a spectrum from where it is demand-led and carefully co-designs high quality technical assistance, to one where CDKN punches above its weight and provides significant added value through its role as trusted knowledge broker, its global network and partnerships, synergies across Outcome areas and cross-regional learning - above and beyond other development partners operating in the same space. There is "strong evidence" that CDKN has been able to add some value in every deep engagement country (visited) by responding to government demand and contracting and managing suppliers effectively. In particular, CDKN welcomes the conclusion that it has "added significant value and demonstrated a clear niche in Colombia and India through its country engagement approach, facilitating the effective uptake of evidence to practice and greater progress than other donors in the same space". CDKN is, therefore, taking action to apply these lessons to strengthen the added value in all deep engagement country programmes, where appropriate and possible.

At the higher Outcome level, CDKN welcomes the findings that demonstrate where value is added through global networking and partnerships - and the identification of the areas where more still needs to be done. The report concludes that both CDKN Negotiation Support and Disaster Risk Management (DRM) areas have a niche as leaders in their global areas. The Negotiation Support Outcome has achieved (and very likely exceeded) progress towards changes in the influence that the poorest and most climate vulnerable countries have over international climate change negotiations. The DRM Outcome has been very successful in increasing and improving the accessibility of information on climate-related disaster risk to policy-makers and practitioners. The report verifies that there is "strong evidence" that the Policies and Practices (P&P) Outcome has contributed to CCD policies and practices in 28 countries to date, as reported by CDKN's semi-independent Monitoring and Evaluation (M&E) function. However, there is little evidence of the role that global networks and partnerships have played in achieving this change. Meanwhile, progress towards achieving sustainable impact in the area of Climate Finance is still "work in progress," albeit with considerable promise to contribute to outcomes on its impact trajectory in Years 6 and 7. With regards to Research, an output which cuts across the outcomes, outputs and global, regional and national programmes, the report finds that CDKN's strength lies in contributing flexible, catalytic research funding to accelerate and extend the policy and practice outreach of its programmes. Nevertheless, the report also signals the need to improve the cross-regional synthesis and production of global public goods in order to increase programme gains from the research portfolio.

When assessing CDKN's institutional model up to Year 5, the evaluation identified CDKN's strategic niche as: knowledge manager and knowledge broker; convener of CCD stakeholders and donors; and a strategic partner and funder. The evaluation also acknowledges the challenges inherent in the programme's design – notably balancing the requirement to be both responsive to Government 'demand' whilst retaining a strategic and coherent focus to the overall programme and thereby ensuring a holistic approach and synergies enhancing value added. A challenge CDKN will grapple with as we design the future of the programme.

In sum, we were encouraged by the findings of the EYE5, which resonate with our own analysis of progress since changes that have been made as a result of recommendations from the Mid-Term Review.

### 3. Action Plan for Implementation of the Recommendations

#### Understanding paths to Impact:

In the last two years of the current programme it will be important to increasingly focus on delivery of outcomes, drawing on lessons learnt over the last 5 years of operations and the two independent reviews, the MTR and EYE5. As part of this process, the programme outcome indicators should be critically reviewed (EYE5 noted that some were ambitious or unrealistic as currently formulated and in addition would benefit from greater clarity, especially around the issue of attribution and contribution). Learning from this and from operations over the lifetime of the programme should inform and drive the consideration and design of any future initiative in this area.

Ref.	Recommendation	Accept/Partially Accept/Reject	Action already taken	Action to be taken	Target Date
1.	<b>Match logframe ambition to resources</b>	<b>Accept</b>	<p>Internally agreed text for the Outcome indicator changes that were requested, approved by Management Team. Currently reviewing the proposed changes to the indicators based on DFID's response.</p> <p>Climate finance indicators have been adjusted to remove any that are too 'high' and to make clearer the extent of CDKN contribution. P&amp;P indicators have been refined slightly to read 'with a verifiable contribution' rather than 'with a significant contribution' to reduce prospects for disagreement, together with a slight reduction in the number of case studies demonstrating transformational change.</p>	A reporting system will be introduced to make clear the range of actual contributions to diverse changes, from peripheral to substantial.	March 2016
2.	<b>Strengthen reporting that allows easier aggregation of impacts on ultimate beneficiaries.</b>	<b>Partially Accept</b>		CDKN will design and implement a new 'graphic' reporting system that will enable it to demonstrate how it has influenced a range of different policies and practices at different levels with different degrees of influence. At present, however, this system will not extend to aggregated impacts on ultimate beneficiaries.	March 2016

3.	<i>CDKN should undertake indicative cost-benefit analysis by Outcome area.</i>	<b>Accept</b>	CDKN is conducting a Strategic Review of the Outcomes and exploring whether we will be able to structure financial and Outcome tagging to be able to provide this information during Yrs 6&7.	Clarification is needed on the methodology, which needs to be discussed with DFID.	TBC with owner and DFID counterpart
4.	<i>Increase Strategic Focus CDKN should work with fewer DEC and ensure coherent programmes and country teams that have the required capacity and investment and situate projects in Outcome and Country theories of change.</i>	<b>Accept</b>	<p>During Yr 6, Country Support Team (CST) worked with Regional Directors and Country Programme Managers through the Country Impact Monitoring process to ensure projects are situated within impact pathways and Outcome and Country theories of Change. Outcome Leads to act as critical friends to country impact monitoring workshops.</p> <p>During new funding opportunities, CST to agree with senior management and RDs, the most appropriate distribution of resources to ensure levels of investment and capacity for country programmes.</p>	As part of Strategic Review process, CDKN will decide on the number of countries, the country team approach and level of investment.	Year 7 country plans to be finalised in Year 7 business plan
5.	<i>Safeguard the CCD focus. A more systematic focus on CCD is likely to improve the ultimate impact on the poor and vulnerable.</i>	<b>Accept</b>	In PPF and PAG process, CDKN will ensure that Sam Bickersteth is responsible for safeguarding the CCD focus of projects	As part of Strategic Review process, the extent to which CCD is niche will be assessed, also how to best ensure systematic focus.	Discussions ongoing

### Application of strategic lessons:

CDKN to review its overall learning and knowledge management findings so as to maximise support provided to country teams and ensuring added value by the global whole.

Ref.	Recommendation	Accept/Partially Accept/Reject	Action already taken	Action to be taken	Target Date
6.	<i>Strengthen Learning. Set out where general results can be expected. These can be seen as “learning questions.”</i>	<b>Accept</b>	The Learning Team has shared a first draft reflection of the learning programme with DFID and on CDKN website. Using the 10 Learning for Change principles a review of MTR, EYE5 and annual reviews is underway. Additionally, reflection on south-south learning exchange as a tool for harvesting, synthesising and packaging learning, ready for uptake.	Through the Outcomes and Research programme CDKN has identified 11 learning questions which are currently being implemented in Y6.	March 2016
7.	<i>CDKN should build on existing plans for reflective learning and ensure there is sufficient institutional support to implement this at outcome and deep engagement country level.</i>	<b>Accept</b>	Strengthened collaboration between MEL and CST to ensure that the theory of change is evolving and used as framework for learning in the CP impact monitoring, country impact studies and commissioning of new projects. CDKNs areas of focus have been resourced and are now driven by dedicated learning champions. Team members at the regional level and suppliers are contributing to these working groups and senior management are providing the mandate for thought leadership.		Completed
8.	<i>CDKN should discuss with the DFID ICF team how CDKN can package learning so it is most useful to them.</i>	<b>Accept</b>	Previously, there have been several rounds of discussions between CDKN and different members of the DFID ICF team.	CDKN will schedule another meeting following on from EYE5 results.	TBC with owner and DFID counterpart

## Gender:

Since the design of CDKN the legislative framework for gender and development has significantly changed (International Development Equality Act 2014). Gender mainstreaming continues to be a challenge although good progress is being made publicising the importance of gender (through films and papers. However, CDKN should make a systematic effort to identify systems and processes across the business model to incentivise and mainstream gender. Including, but not limited to procurement, TORs, disaggregation of data collected to identify key points at which impactful action on gender can be taken. CDKN has the potential to be an example of gender and climate and in turn the potential to build capability of others.

Ref.	Recommendation	Accept/Partially Accept/Reject	Action already taken	Action to be taken	Target Date
9.	<i>Develop a gender and social inclusion framework.</i>	<b>Accept</b>	The gender team has drafted a gender and social inclusion framework for CDKN – with recommendations for institutional change and resources required for mainstreaming.	The draft gender and social inclusion framework is currently being updated based on discussions during the gender trainings in the regions as we want the framework to result from a participatory process of consultations.	TBC with owner and DFID counterpart
10.	<i>Invest systematically in internal capacity building on gender and social inclusion for all staff involved in designing and commissioning projects.</i>	<b>Accept</b>	One of these priorities was to conduct internal capacity building trainings on gender/ social equality. The first one was held in London in July for all staff based in London and Belfast (27 participants over two days). Further training sessions were completed in the LAC, Africa and Asia regions. The training aimed to develop capacities of staff on gender equality but also to identify priorities of action to mainstream gender /social inclusion in CDKN processes and outcomes.		Completed
11.	<i>Provide a higher level of technical training to CDKN staff responsible for gender as well as clear guidance on applying the gender framework.</i>	<b>Accept</b>	Technical training was being delivered as part of the gender workshops. We have monthly calls during which we update each other on our mainstreaming activities.	Guidance on applying the framework will be developed during and after trainings based on all gender champions sharing best practices.	TBC with owner and DFID counterpart

### Partnerships:

The Year 5 Independent Review noted that CDKN could further help developing country climate negotiators to convene and partner to build capacity and scale. It also noted that more partnering with the private sector is needed across a number of CDKN activities and on CCD planning and climate finance readiness work. It highlighted that this may be best done through Civil Society Organisations in some countries who can then reach out to the Private Sector. CDKN are encouraged to learn from broader DFID private sector development programmes and consider if this is a priority for them given lessons learned and increasing need to focus.

CDKN's knowledge function needs to be strengthened to ensure it can offer more in country in addition to the collection of individual projects and country team. Strengthened focus and matching resource to ambition in focus countries – the global knowledge and 'thought leadership' function is critical in providing the right support to country teams and developing country partners.

Ref.	Recommendation	Accept/Partially Accept/Reject	Action already taken	Action to be taken	Target Date
12.	<i><b>CDKN should discuss with DFID how both organisations can play a more involved, informed and mutually supportive role when it comes to catalysing headline CCD partnerships.</b></i>	<b>Accept</b>		CDKN agree with this recommendation building on recent sharing on CCD learning and knowledge brokering and will discuss with DFID.	TBC with owner and DFID counterpart
13.	<i><b>Convene and partner to build capacity and scale.</b></i>	<b>Partially Accept</b>	Addressing this recommendation completely will require more funds and programming in a slightly different way with slightly different focus. Within the present portfolio we will continue to look for opportunities to partner with donors to build scale and access to more sustainable funding for partner governments and will keep this at the forefront when we plan our future strategies at country level.	The question of whether CDKN should more explicitly support capacity building is part of the strategy review process for CDKN2 and we do not propose to answer this at this time pending the results of that review and ongoing discussions with DFID.	TBC with owner and DFID counterpart



14.	<i>CDKN should prioritise working with national Ministries and other funders to take successful projects to scale.</i>	<b>Partially Accept</b>	Continue to focus on working with national level governments where we have demand to do so and where this is our niche. However we strongly believe that in some countries the best scale for CDKN to concentrate is at the subnational level and this will continue and expand in future as we focus more on implementation.	More does need to be done to think about how projects can be taken to scale at different levels of Government. This will be addressed in the short term via our current portfolio and enhanced resourcing of CELs. A more strategic look at this will require new certainty and security of funding.	TBC with owner and DFID counterpart
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### Value for Money:

Ref.	Recommendation	Accept/Partially Accept/Reject	Action already taken	Action to be taken	Target Date
15.	<i>CDKN should produce its own conflict of interest guidance. This should include a minimum time gap (of at least 6 months) for consortium member staff leaving CDKN and going back into consortium organisations in a closely related area.</i>	<b>Partially Accept</b>	Even though we questioned this in our CDKN response to the EYE5 report, it continues to be included. This is about recruitment opportunities within the Alliance. CDKN responded that this in fact should be encouraged as opportunities for professional development and south-south exchange within the Consortium.	There may need to be some Col guidance developed for CDKN II as part of the suite of policies that would be required for a new entity.	To be developed following CDKN II proposal



## 4. Conclusion

A considerable amount of effort was expended by both ITAD, the external evaluator, and CDKN staff centrally and at regional and country level, to ensure that the EYE5 was conducted successfully. CDKN believes that the evaluation benefitted from the early investment in collaborative scoping and methodological design that was achieved through the participation of evaluation experts in DFID, CDKN, INTRAC and ITAD, as well as the assignment of time and responsibilities to regional M&E leads to support ITAD in the organization of the field visits and the access to key CDKN stakeholders. Independence of the evaluation and its results was ensured through the oversight by DFID, the conducting of additional interviews by ITAD and the formal quality assurance process (SEQAS) undertaken by DFID. CDKN would like to show its appreciation for the openness of both ITAD and DFID to allow for early engagement with the preliminary results in such a way that these could feed into CDKN's strategic planning process – without undermining the independence of the final conclusions of the report.

CDKN welcomes the overall conclusion of the evaluation that there has been a credible contribution to its overarching impact objective, namely that developing countries' policies and programmes are resilient and responsive to climate change implications by 2020. The evaluation recognizes CDKN as a global leader in the areas of Negotiation Support and DRM, with a niche as a knowledge broker, convenor of CCD stakeholders and strategic donor. The report also recognizes the growing potential for CDKN as a strategic convenor around Climate Finance. CDKN is gratified to see that there is "strong evidence" of change in CCD policies and practice in 28 countries, as reported by its own M&E function, whilst accepting the need to leverage its global networks and partnerships in support of its country work. The evaluation has facilitated an assessment of the added value that CDKN brings in relation to other development partners operating in the same complex and crowded landscape. The criteria selected have shown that there is strong evidence of "significant added value" in certain deep engagement countries, whilst in others there is evidence of "some added value". CDKN agrees with the majority of the challenges identified and is now applying the lessons learned in order to strengthen its ability to contribute to significant change at country and Outcome level. Many of these lessons are particularly relevant in the development of CDKN's future model.

## DFID Response:

DFID welcomes this report and would like to thank both the evaluation team and CDKN staff for both the manner and spirit in which the evaluation was planned and undertaken, and the extremely constructive approach in which the evaluator's findings were presented and received. As noted in CDKN's management response, the evaluation was designed in discussion with CDKN and DFID and has helped significantly in the consideration of future options for CDKN post the current funding arrangement with DFID. This evaluation approach and findings were subject to DFID's formal quality assurance process (SEQAS). DFID broadly agrees with and accepts the main findings and 'key lessons' of the EYE5 report on CDKN's overarching impact, its institutional model and theory of change, value for money and gender mainstreaming. DFID is also broadly content with the responses set out in the CDKN management response paper and will work closely with CDKN management to ensure appropriate follow up to the recommendations. DFID agrees with the EYE5 findings in that CDKN should increase its strategic focus in future whilst simultaneously balancing the demand led needs of developing countries. DFID also expects CDKN to clearly identify its comparative advantage in a crowded market which will help build the case for any future investment from DFID. Although there remains over a year to run on the current financing arrangements, the management response is in part set against a context of some uncertainty relating to the future structure and funding of CDKN, which in turn makes it difficult to respond fully to some of the EYE5 recommendations that are relevant to the longer term future.

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