

Final Report

Evaluation of Oxfam Novib's Global Programme 2005-2008 for Aim 1 and 4 GloPro's Strategic Positioning and Counterparts' Outcomes

Juliette Majot, Wolfgang Richert and Ricardo Wilson-Grau

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Evaluation of Oxfam Novib's Global Programme 2005-2008

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How to read this evaluation report

This evaluation focuses primarily on Oxfam Novib Global Programme's effectiveness as measured in terms of up to ten outcomes that 38 counterparts in its Sustainable Livelihoods and Social and Political Participation portfolios considered amongst their most significant in 2005-2009. For more information on the Global Programme and the counterparts involved in this evaluation see annex 2 Terms of Reference and annex 1 Profiles of 38 counterparts who participated in the evaluation.

We present the information in degrees of data-intensity – from full, detailed information in the annexes to more general and synthetic information in the body of the report.

Here are some suggestions for how to navigate through the report, endnotes and annexes in order to mine the wealth of information as required by your uses. We highlight in **bold** the more important pieces.

1. Annexes: This is where you will find extensive, specific data. The annexes are in separate documents. When you click on an annex reference in the body of the report, you will be taken to the list of annexes right before the endnotes, where you will find special instructions.
2. **Annex 7 in Word: This is the complete list of all significant outcomes reported by Oxfam Novib Global Programme Counterparts for 2005-2009. We consider this the heart of the report, rich in detail and nuance. It forms the basis of the answers to most of the evaluation questions. It contains the full write-ups of each outcome as prepared in a lengthy process with counterparts themselves, as well as attributed substantiations of a randomly selected third of the outcomes. Its table of contents works the same as in the main body of the report. If on screen, click on any line and you will go directly to that place in the text. We have highlighted in yellow the outcomes that are policy and practice changes.**
3. Annex 8, Annex 9 and Annex 10 in an Excel file: The Excel file that contains Annexes 7, 8 and 9 is another particularly rich one. These excel sheets provide you with a full tabulation of outcomes identified according to counterpart and outcome number. Furthermore, in the first "Overall" sheet you can see, counterpart by counterpart, how each outcome corresponds to:
 - The levels (local, national, regional, multi-national and global) on which the change occurred and on which the counterpart co-ordinated with other social actors.
 - With whom the counterpart co-ordinated – Oxfam Novib team Lobby and Advocacy or other OI team
 - The nature of the co-ordination (exchange of information, joint research and evaluations, task division and specialization, development of strategies or other)
 - One or more of the eight items on the Oxfam Campaigning and Lobby agenda
 - The Aim 1, Aim 4 and Gender Justice Theory of Change assumptions and results.

Each annex has an interactive feature so that you can readily see the title of each outcome by clicking on its underlined number at the top of each table. Here too we have highlighted in yellow the outcomes that are policy and practice changes. If you wish to print these large sheets, we formatted them for you in size A3.

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4. Executive summary: We have written the executive as a stand-alone document that presents the general findings and conclusions.
5. **Body of the report**: **If you read the main body of the report on screen in Word format, we have inserted hyperlinks so you can go back and forth between the table of contents and the chapter and sections, from the text to the footnotes and especially to the endnotes. Of course, if you prefer you can print it out and refer manually. For printing, use the PDF version.**
6. Table of contents: The three evaluation questions are relatively independent of each other, as are the sub-questions. Therefore, going back and forth to the table of contents enables you to move around to find answers to the questions that most interest you. If viewing the report on screen, click on any line and you will go directly to that part of the report.
7. **Conclusions and recommended points for discussion**: **Because many of the evaluation questions and sub-questions are self-standing in nature, we have included conclusions and recommended questions for Oxfam Novib's further consideration at the end of chapters IV-IX, as well as in the last chapter of general conclusions and recommended points for discussion.**
8. Footnotes: Here you have information at a glance to compliment your understanding of the text. If viewing the report on screen, place your cursor over the superscript number to see the footnote in a window or click on it to go to the footnote. Clicking on the superscript number in the footnote will take you back to where it was cited in the text.
9. Endnotes: You will find endnotes at the end of the main body of the report (pages 96 onwards). We refer to them throughout the report. They should add detail and depth to your understanding. They are particularly valuable in providing you with specific reference to outcomes themselves. If viewing the report on screen, place your cursor over the Roman numeral superscript to see the endnote in a window or click on it to go to the endnote. Clicking on the superscript Roman numeral in the endnote will take you back to where it was cited in the text.

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Introduction

The purpose of the evaluation was twofold:

- Report in an independent and impartial way on the achievements of the Global Programme, providing a basis for accountability;
- Improve the Global Programme (GloPro), providing input for Oxfam Novib’s policy-making as well as for organisational learning of Oxfam Novib and GloPro counterparts.

More specifically, the objective was to assess the outcomes achieved by the 38 GloPro counterparts in the Aim 1 Sustainable Livelihoods and Aim 4 Right to be Heard portfolios who received funding in 2005-2008 and continue to have a funding relationship with ON (i.e., have not been “phased-out”). Together these counterparts received in grants €22,548,000, which represented 54% of the investments of GloPro in 2005-2008.

The evaluation questions were:

1. To what extent have counterparts achieved outcomes and contributed to PPC’s (policy and practice changes) on aims 1 and 4?
2. To what extent did GloPro respond effectively to the changing global context and shifts in the ON/OI focus under aims 1 and 4?¹
3. To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?
4. How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4?

The second proved impossible to answer and so the evaluation has findings for three. The first has seven sub-evaluation questions and the other two, 2 and 3, respectively.

Juliette Majot, Wolfgang Richert and Ricardo Wilson-Grau made up the evaluation team. Each evaluator assumed specific responsibilities in the team. Ricardo was team leader. Juliette was responsible for bringing to bear expertise in social and political participation –

¹ Although we attempted to answer this evaluation question, due to faulty information beyond the control of the evaluators, it was not possible to do so.

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where Ricardo also has expertise – and in gender justice. Wolfgang was responsible for bringing expertise to bear in the areas of sustainable livelihoods. Ricardo’s responsibility as team leader was to ensure that the data that is gathered is credible, the criteria or standards used to analyse the evidence is rigorous, and the methods of synthesis and interpretation are solid. He provided his co-evaluators with the methodological advice and support they required to carry out their responsibilities. He organised the final report.

The evaluation began in May 2009 with a pre-phase in which one evaluator examined the GloPro strategy and outcomes reported in formal counterpart evaluations 2005-2008. This informed the Approach Paper that outlined the conceptual framework and evaluation design, approved by the evaluation’s Steering Group on 9 July 2009. In November, a Preliminary Report focused on the first of the four evaluation questions. In January 2010, we presented a preliminary final report for two days of discussion at Oxfam Novib and the draft of the final report we submitted and approved in March 2010.

Most significant outcomes achieved 2005-2009

General Findings: Overall outcomes achieved, their significance and their local to global connections

In the end, the 38 counterparts identified and formulated between 1 and 10 outcomes each for a total of 196 outcomes that they considered were amongst the most significant that they had influenced in 2005-2009. We identified amongst them 62 changes in policies and practices.²

We randomly attempted to substantiate over half of the 196 outcomes. We were able to substantiate 66. Ninety-five independent people who had knowledge of the outcome went on the record with their opinion about the veracity of the changes described by the counterpart, their significance and the counterpart’s contribution. Of the outcomes for which we obtained an opinion from one or two substantiators, 30 were fully substantiated and 33 partially substantiated. Only in the case of three outcomes did a substantiator disagree with the description, significance or the counterpart’s contribution.

Counterparts in both Aim 1 and Aim 4 portfolios were equally prolific in contributing outcomes to Sustainable Livelihoods, Social and Political Participation and Gender Justice,³ reporting a little over 5 outcomes each, a third of which are PPCs.

In sum, the 38 GloPro counterparts have contributed significant outcomes, including PPCs, to the overall results that GloPro desires in Aim 1, Aim 4 and Gender Justice.

One of the evaluation sub-questions concerns the potential significance of counterparts’ outcomes. Individually, the answer is in the formulation of each outcome, in which one section addresses significance. Their individual importance is impressive. We found, however, that the GloPro theories of change did not enable us to identify patterns or processes amongst clusters of outcomes and thus interpret the collective changes, their significance or counterparts’ contributions to them. (When examining the outcomes for Aim 1, Aim 4 and Gender Justice we do exemplify using other conceptual frameworks.)

² We and not the counterparts agreed which outcomes were policy and practice changes and which were not, based on our interpretation of the definition. This is fundamentally a judgement and others may interpret some of the outcomes differently.

³ We did the analysis based on the classification of the 196 outcomes correspondence to the results categories of the three theories of change done by us – i.e. and not on the assumptions classification done by counterparts.

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Therefore, the most that can be said about the outcomes’ collective significance concerns the level at which the change occurred and at which level it has had or may have impact.

GloPro counterparts are having an effect through these outcomes on five levels – local, national, multi-national, regional and global.

Expectedly for a global programme, the largest portion – about a third – of social actors that GloPro counterparts influence are global, but the remaining two thirds are fairly evenly grouped on the local, national, multi-national and regional levels. The potential impact of the changes that GloPro counterparts have influenced also spread across the different levels in a similar pattern, except that the potential of the outcomes to have an effect on the local level is considerably greater. Said another way, you do not have to operate locally to have impact locally. Here there is an interesting tendency for there to be more policy and practice changes as the incidence moves from the local to the national to the global level.

We also explored to what extent did counterparts maximise results, using the criteria agreed with GloPro that when describing how they contributed to their outcomes, counterparts explicitly mention how they i) connected their own work and ii) worked with others, to influence social actors operating at the community, national, regional or global levels. GloPro counterparts report working on multiple levels – an average of 2.5 or of the 5 levels per outcome – when generating outcomes and policy and practice changes in the same pattern of work increasing from the local to the national to the global. While their work at the national and global levels is more frequent, by no means does it dominate important work also carried out at the local, regional and multi-national levels.

Equally significant, virtually all counterparts reported co-ordinating with other social actors and also on the five levels of intervention to achieve their outcomes and PPCs. The pattern of cooperation was somewhat different, with regional cooperation being greater than that at the local level.

Getting results in social and political participation

The theory of change that we constructed for Aim 4 is quite similar to the overall GloPro theory of change, particularly in its focus on building civil society and promoting democratic principles and practices in public and private sector governance arrangements. This indicates a dominance of Aim 4 in GloPro’s thinking.

Viewed from the perspective of the Aim1 and Aim 4 portfolio counterpart outcomes, a picture emerges of counterparts nearly equally contributing outcomes to Aim 4. That is, over 90% of the 38 counterparts’ outcomes correspond to strengthening the voice of marginalized people through promoting democratic principles and practices in global governance arrangements.

The counterparts classified their outcomes according to the assumptions in the Aim 4 ToC and we classified them according to the results in the ToC. Interestingly, both the counterparts in GloPro’s Aim 1 portfolio classify almost as many of their outcomes, including PPCs, in these Aim 4 categories as do the Aim 4 portfolio counterparts. We consider that even more outcomes indicate progress towards the results envisioned in the Aim 4 ToC.

The breadth of outcomes that counterparts identified with the underlying assumptions and the results of the Global Program’s Aim 4 ToC suggest that the rationale behind the ToC is solid.

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Getting results in sustainable livelihoods

The Aim 1 theory of change was problematic. We found mission inconsistencies, overblown assumptions, strategies so wide ranging and ambitious that we could not arrive at a draft set, confusing categories of target groups and results categories so broad that almost any outcome related to natural resources, sustainable rural livelihoods and economic justice would be acceptable.

Counterparts classified 85% of their total 196 outcomes as corresponding to the assumptions of the Aim 1 ToC. Interestingly, counterparts in the Aim 4 portfolio consider that they contributed almost as many outcomes to these Aim 1 assumptions as the counterparts in the Aim 1 portfolio. We used a conservative methodology for classifying the outcomes according to results. We only took into account direct contributions – not the potential – of an outcome to a result. Since the GloPro results categories overlap and some outcomes are multi-faceted, one outcome can correspond to two or perhaps three of the result classifications in Aim 1. Nonetheless, we identified less than 60% of all the counterparts’ outcomes, still a formidable number. By applying this results lens to counterparts’ outcomes we are able to distinguish the contributions of Aim 1 portfolio counterparts from those of Aim 4. In contrast to the classification according to assumptions, from a results perspective, Aim 1 portfolio counterparts contributed twice as many outcomes as did the Aim 4 Portfolio counterparts to Sustainable Livelihoods results.

As with Aim 4 outcomes, we found ample evidence that counterparts have achieved changes relevant for both the assumptions and the results in the Aim 1 theory of change. That said, the assumptions and to some extent the categories of results in the Aim 1 ToC are clearly not conceptually parallel as some are more specific than others. Nor are they all sharply distinct. Because outcomes are spread over a large number of issues and achieved through a wide variety of strategies, the extent of synergy among them cannot be identified and the relationship between the individual achievements within an issue is often unclear. This by no means is to say that the outcomes in themselves are insignificant. Rather, the question is whether GloPro has a solid, coherent Aim 1 ToC.

Getting results in Gender Justice

Prior to this evaluation process, GloPro had not developed an explicit theory of change regarding women’s rights and women’s equality, though Oxfam Novib has a long history of commitment to gender justice. We focused on the extent to which women’s rights and gender equality were mainstreamed and therefore part of the GloPro’s Aim 1 and Aim 4 theories of change. Our measure of “mainstreamed” was the extent to which outcomes identified with Aim 1 and Aim 4 ToC assumptions are also identified with gender justice assumptions and results.

Counterparts classified 124 of their outcomes as corresponding to *assumptions* in the Gender Justice ToC. The proportion between Aim 1 and Aim 4 portfolio counterparts is roughly the same, with the Aim 1 cohort registering a slightly higher numbered of gendered outcomes. This demonstrates that they consider the changes they are influencing to be compatible with GloPro’s rationale for effecting change that will empower women.

We classified 101 outcomes as corresponding to *results*, although the title of each outcome itself often does not immediately suggest a gender dimension in the result, evidence provided in the outcome description, significance, or contribution sections makes the connection clear. Nonetheless, clearly in three categories of results gender justice is mainstreamed by both Aim 1 and Aim 4 portfolio counterparts.

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There are, however, another three areas of results where very few outcomes were reported by counterparts as amongst their 5-10 most significant. The one outcome concerning increased public denunciation of violence against women is not surprising because the strategy to combat gender-based violence is defined by Oxfam Novib as a stand-alone strategy and comes under ON’s Aim 5. That is, counterparts doing this work were not in the portfolios selected for this evaluation. Three outcomes regard promoting women in organizational management. This relatively low number is likely because we asked specifically for outcomes that represented changes in social actors other than the counterparts. Lastly, four outcomes are about the introduction of legislation or enforcing existing legislation to protect and guarantee women’s rights. In this case, we can conclude that GloPro has been relatively unsuccessful in supporting counterparts who achieve significant outcomes in legislation to protect women’s rights.

Conclusions – Evaluation question #1

1. To what extent have counterparts achieved outcomes and contributed to PPC’s in 2005-2009?

Three dozen counterparts identified almost two hundred outcomes including dozens of policy and practice changes contributing to sustainable livelihoods, social and political participation and gender justice.

1.b Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 4?

Virtually all GloPro counterparts have contributed to outcomes and policy and practice changes that correspond to multiple assumptions and diverse results envisioned in the Global Programme’s Theory of Change. Viewed from the perspective of the Aim 1 and Aim 4 portfolio counterpart outcomes, a picture emerges of both portfolios nearly equally contributing outcomes to Aim 4 ToC results. The changes range from contributing to an enabling environment for global civil society to influencing greater democracy in especially public sector global governance arrangements. A fourth of the outcomes contribute to developing new organizations and governance, including multi-stakeholder associational models that include private sector, public sector and civil society actors.

1.a Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 1?

Almost all Aim 1 portfolio counterparts and many Aim 4 portfolio counterparts have contributed outcomes that represent significant changes and contributions to food security and sustainable livelihoods, especially in the area of confronting unsustainable practices of large-scale agriculture, the abuse of power by agri-business and challenging governments to change the neo-liberal trade model into one that is more economically just. Also, significant results were achieved regarding rights of local communities, such as indigenous people, and in the agri-business and forestry sector, for example regarding bio-fuels, illegal timber, genetic modification and other unsustainable practices.

The impressive outcomes reported by counterparts form some clusters in which they are more than the sum of parts. Nonetheless, when the Aim 1 outcomes are viewed together as the results of the GloPro Programme, they reflect little synergy.

1.c Which of the Aim 1 and Aim 4 outcomes addressed gender justice issues?

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Half of the outcomes present explicit evidence of contributing to Gender Justice, roughly equally between the outcomes of Aim 1 and Aim 4 portfolio counterparts. As a result, three areas of the results in the Gender Justice ToC are mainstreamed: Strengthening women’s access and control over food production and distribution, enhancing their right to employment based livelihoods and to fair labour conditions, and increasing women’s participation in public and political discourse and democratic processes.

1.d What is the (potential) significance of these achievements at different levels: local, national, regional, multi-national, global?

GloPro counterparts are influencing change in social actors and are having impact from the local to the global levels. Nevertheless, and perhaps most importantly, while a third of the incidence of GloPro is concentrated at the global level, two thirds of the social change achieved is spread over regional, multi-national, national and the local levels.

1.e Which theories of change were behind Oxfam Novib’s strategic positioning on Aim 1 and 4?

The theory of change for Aim 4 closely mirrors aspects of the theory of change for the overall global programme, particularly in its focus on building civil society and promoting democratic principles and practices in public and private sector governance arrangements. The different elements in both the overall ToC and the Aim 4 ToC, especially the assumptions and strategies, were not mutually agreed upon, or consistently applied during the period 2005-2009. Thus, these ToCs reflect the practice in GloPro of different people customising and developing their individual intervention logics, based on their own individual experiences. The result, however, is that the outcomes reflect strong correspondence with an Aim 4 ToC that is coherent and solid, albeit broad. .

For the Aim 1 ToC, the intervention logic developed in a similar ad hoc manner but the product is much less satisfactory. The ToC mission statement contains inconsistencies, which creates space for misunderstanding or multi-interpretations, the assumptions are conceptually too broad and conceptually flabby. There is not agreement on who are GloPro’s Aim 1 target groups. The results categories overlap. Consequently, the Aim 1 theory of change does not serve to perceive patterns and processes of change or synergies between outcomes achieved by GloPro counterparts and is so broad and ambitious that it very difficult to understand what GloPro does and has achieved in its Aim 1 programme.

1.f Were the issues of women’s rights and gender equality part of the theories of change?

Yes, they are incorporated into the overall and Aim and Aim 4 ToCs. In addition, from the perspective of a separate ToC for mainstreaming gender justice a full half of all outcomes further gender justice. Both Aim 1 and Aim 4 portfolio counterparts have been successful in generating outcomes, including policy and practice changes, that represent mainstreaming women’s participation in public political discourse and democratic processes, access and control over food production and distribution, and women’s right to employment based livelihoods and to fair labour conditions.

1.g To what extent have counterparts been able to maximize results by connecting their work at different levels: local, national, regional, multi-national, global?

Yes, a majority of GloPro’s counterparts report that they have worked individually and with other social actors, including the Oxfams, at the local, national, regional, multi-national and global levels to generate outcomes. Furthermore, a majority of counterparts report that they co-ordinated this work at the five different levels but also report successfully working alone on those levels. That is, there are outcomes, including PPCs, at all five levels.

Counterparts’ added value for ON/OI campaigning and lobby

In this chapter, we address the third evaluation question: To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby? One evaluation sub-question addressed the extent to which counterparts outcomes contribute to the eight items on the ON/OI Campaigning and Lobbying agenda. A second asks to what extent have synergies been achieved and co-ordination been established between the lobby and campaigning strategies of GloPro counterparts, of the ON team Lobby and Advocacy, and of relevant OI teams.

Thirty-eight counterparts told us which of their most significant outcomes contributed to one or more of the eight aspects of the ON/OI Campaigning and Lobby agenda. Then, seven members of the ON Campaigning and Lobby team pointed out which of the 196 outcomes they consider contributed to the agenda.

The Significance of Counterparts’ Outcomes for the ON/OI Agenda

According both to counterparts and to the ON team members, the majority of outcomes either from Aim 1 or Aim 4 portfolio counterparts contribute to multiple agenda items. They both agree that 64 outcomes do not contribute to any aspect the international lobby agenda.

Nonetheless, there are significant differences of opinion.

- ON staff identified 70 outcomes whereas counterparts identified 118 that they consider contribute to one or more items of ON/OI’s international lobby agenda.
- ON staff and counterparts agree on only 57 outcomes that contribute to one or more of the eight items on the OI campaigning and lobby agenda.
- The ON staff find that for all the agenda items except developing countries’ access to essential medicines, Aim 1 counterparts made a greater contribution in number of outcomes. In contrast, counterparts consider that Aim 1 and Aim 4 portfolio counterparts each contributed more than the other to four ON/OI agenda items.

Has There Been Synergy? – Did Co-ordination Lead to Outcomes?

ON staff reported that strong co-ordination (i.e., three or more instances of co-ordination) took place with 9 counterparts, each of whom generated on average almost 3 outcomes that contributed to the ON/OI campaigning and lobby agenda. The 19 counterparts with whom there was no or little co-ordination, however, each averaged only 1 outcome that contributed to this agenda.

This means that a clear correlation exists between strong co-ordination with counterparts and those counterparts having an added value for ON/OI’s agenda. Thus, we can conclude that synergy has been achieved because co-ordination led to outcomes that contributed to the ON/OI Campaigning and Lobby agenda.

To complement that finding, we analysed which type of co-ordination was most effective in leading to outcomes. The exchange of information had the relatively highest contribution to counterparts’ achievements followed by the joint development of strategies. Joint research and evaluation and task division and specialization had relatively smaller roles. Although Aim 4 Portfolio counterparts had a slightly higher absolute numbers of outcomes achieved when they co-ordinated with the Oxfams, the pattern is largely similar for both.

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Conclusions – Evaluation question #3⁴

In summary, to what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?

To what extent do the achievements of counterparts contribute to the agenda of ON/OI Campaigning and Lobbying, even when they are not a formal ally of an ON/OI campaign?

1. ON staff identify a third of all outcomes as contributing to one or more items of their own ON/OI international lobby agenda. Counterparts identify approximately twice as many.
2. There is very little agreement between ON staff and counterparts about which outcomes contributed to which of the eight items of the ON/OI agenda.
3. ON/OI staff consider that Aim 1 portfolio counterparts’ outcomes contributed somewhat more to ON/OI’s Campaigning and Lobby agenda than did Aim 4 portfolio counterparts.

To what extent have synergies been achieved and has co-ordination been established between the lobby and campaigning strategies of GloPro counterparts, of the ON team Lobby and Advocacy, and of relevant OI teams?

4. Co-ordination with GloPro counterparts paid off. The nine counterparts with whom ON advocacy staff co-ordinated strongly contributed three times as many outcomes per counterpart that correspond to the ON/OI Campaigning and Lobby agenda as did those counterparts with whom the advocacy officers had no or little co-ordination.

Counterparts judge GloPro’s contribution very favourably

In this section, we address the fourth evaluation question – How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4? Oxfam Novib’s core funding is not earmarked for the specific activities or outputs that contributed to outcomes. Similarly, funding is not linked to specific outcomes understood as changes in the social actors who are the protagonists of policy and practice changes. That is, there is rarely a linear, simple cause-effect relationship between Novib funding and counterparts’ outcomes.

Consequently, in order to assess GloPro’s contribution to counterparts’ outcomes, we invited counterparts to answer an on-line, confidential survey. Thirty-one of the 38 did so.

The significance of GloPro’s funding to counterparts. In 2005-2009, GloPro counterparts were not heavily dependent on Oxfam Novib for funding – 8 out of 10 counterparts depended on GloPro for 50% or less of their organisation’s total budget, and almost 7 of every 10 depended for less than 25%. More important than the quantitative aspect of Oxfam Novib funding is the qualitative. ON’s unrestricted funding gives counterparts the flexibility to manoeuvre in the changing sands of donor policies and priorities and for many has enabled them to maintain their programmes. A few report it was the key to survival but even more report it permitted them to innovate, including in fundraising.

Counterparts also say that Oxfam Novib funding made a difference in their organisational development – from developing strategic plans to introducing gender, from evaluating their funding to evaluating their impact. Some mention explicitly a link between Oxfam Novib funding and generating results. They explain that results would be affected because of a need to restrict goals and objectives and consequently reduce outputs, outcomes and impact.

⁴As mentioned above, in the end it was not possible to present findings on the second evaluation.

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In sum, from the evidence we have it seems clear that Oxfam Novib is a primary provider of funding to meet key areas of counterpart’s expenditures that other, more project-minded donors will not do.

The significance of Oxfam Novib as an Ally to its GloPro Counterparts. For half the counterparts, GloPro is principally a funder but for another half it is both funder and ally in campaigning and advocacy. When we asked how Oxfam Novib serves them in joint campaigning or advocacy, virtually all said as a source of funding. A third mentioned GloPro as a source of information, and as someone with whom they also formulate or implement advocacy strategy. A handful mentioned the pooling of human and financial resources. In sum, although half of the counterparts do not consider GloPro’s primary role to be that of an ally, virtually all have an opinion about GloPro’s performance as an ally. For the majority the opinion is highly positive but they say there is of course room for improvement.

Improving the Role of Funder and Ally. Mixing the role of funder and ally is difficult and a full majority of the counterparts are highly satisfied with the way GloPro plays its two roles. Nonetheless, well over half the counterparts who answered the survey (18 to be exact) are less than highly satisfied with one or more of specific areas: Respect of counterparts’ autonomy, restraint in the use of power of funding to impose decisions, support of counterparts’ role in their country, transparency as an ally and openness to counterparts’ criticisms .

GloPro counterparts gave 30 suggestions for Oxfam Novib improving its role as a funder: The principal areas for improvement as a funder are, in order of greatest support: reforming grant-making procedures; ensuring more communication and consultation; engaging in collaborative fundraising and adding more and different types of funds; and adapting planning, monitoring and evaluation expectations. The suggestions for improving its role as an ally fall into these areas, also in order to greatest support for the idea: Improving co-operation; facilitating information flow between counterparts by articulating advocacy and campaigning strategies of other Oxfams and thus increasing its role as an ally; and enhancing communication and consultation.

Conclusions – Evaluation question #4

We conclude by answering directly, in the light of the findings, the three sub-evaluation questions.

1. *What has been the significance of GloPro’s funding to counterparts?* Counterparts consider Global Programme funding to be Oxfam Novib’s most significant contribution to their work. Although few depend on GloPro for the majority of their funds, GloPro’s unrestricted, core funding is a special contribution that allows counterparts financial flexibility to change strategies as circumstances demand, innovate, and leverage project funding from other donors.

Nonetheless, GloPro’s role as a funder is not perfect. Counterparts suggest four areas in which GloPro can improve its funding: i) reform grant-making procedures, ii) ensure more communication and consultation, iii) engage in collaborative fundraising and add more and different types of funds, and iv) adapt planning, monitoring and evaluation expectations.

2. *What has been the significance of Oxfam Novib, a member of Oxfam International, as an ally?* Although no counterpart considers GloPro to be principally an ally, most recognise

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and appreciate the Programme’s current and especially potential role in campaigning and advocacy. The areas for improvement of current practice are in supporting – versus actually doing – campaigning and advocacy work: enhancing communication and consultation, facilitating information flow to and from counterparts and the other Oxfams, and being more of an ally. Most importantly, however, counterparts point to the need for GloPro to improve co-operation between its counterparts and with other ON/OI counterparts by articulating campaigning and advocacy strategies with the other Oxfams.

3. *To what extent are the different roles of Oxfam Novib, being both funder and ally, clear and legitimate in the perception of counterparts?* Oxfam Novib’s intention has been to engage in a “substantial dialogue” with counterparts. This evaluation demonstrates that counterparts are willing to engage. Counterparts are certainly able to distinguish clearly between the two roles but a substantial minority suggest that Oxfam Novib must do better in managing them. A fourth to a third of counterparts are less than satisfied with GloPro’s transparency, openness to criticism and support for their role in their countries. This, plus the scarce recognition of GloPro staff or the department itself as a campaigner and an advocate, suggests that GloPro’s legitimacy as an ally is tarnished in the eyes of some counterparts.

General conclusions

Therefore, here we draw overall conclusions and recommend topics for discussion regarding the three evaluation questions we were able to answer and their relationship to each other.

1. *To what extent have counterparts achieved outcomes and contributed to PPC’s on aims 1 and 4?*

- Comprehensive theories of change were not mutually agreed upon, or consistently applied during the period 2005-2009. Rather, different people in GloPro custom-designed and evolved their individual intervention logics, based on their own experience and knowledge.
- The 38 GloPro counterparts have generated a substantial number of significant outcomes in 2005-2009. Furthermore, there is considerable contribution of outcomes from the two portfolios of counterparts to the other’s area of endeavour. The Aim 1 portfolio of counterparts accounted for one half of the Aim 4 outcomes, and the Aim 4 portfolio contributed one third of the outcomes that correspond to the Aim 1.

On the one hand, this finding can be read to show that there is consistency in the overarching ToC of GloPro, and that this consistency is evident in the shared results of Aim 1 and Aim 4 portfolio counterparts. The lack of distinction can also be read, however, as the Aim 1 and 4 ToCs being too broad to be useful as intervention logics to guide decision-making.

- To a large extent the goal of mainstreaming gender justice into Aim 1 and Aim 4 ToCs has been successful.

It is important to reiterate that the evaluation is limited to 196 sample outcomes that counterparts considered to be the most significant changes in social actors to which they contributed. An outcome that may seem insignificant for a time, can, in fact, become very significant in a chain of events that has not yet reached its zenith.

Finally, because this evaluation did not include in depth contextual analysis, it does not offer an analysis of the added-value of these 196 outcomes to outcomes achieved by

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others, which may indeed be highly significant and at least partially brought about through GloPro outcomes.

2. To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?

Both Aim 1 and Aim 4 GloPro counterparts make a substantial contribution with at least one third of their most significant outcomes corresponding to one or more of the ON/OI Campaigning and Lobby agenda. Furthermore, ON/OI co-ordination with counterparts pays off in a trend for these counterparts to contribute three times as many outcomes to the agenda as counterparts with whom ON/OI does not co-ordinate.

3. How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4?

GloPro’s most important contribution to the outcomes of its 38 counterparts has been the flexible, unrestricted and respectful core funding of their activities. Not one of the counterparts considers GloPro to be principally an ally in joint campaigning or advocacy although half say GloPro plays both funding and ally roles.

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II. Introduction

In 2001, Oxfam Novib created the Global Programme Department. It was managed by the person also in charge of the Central American Department. In 2006, the Global Programme (GloPro) merged with the Oxfam Novib lobby department into MSS (*Mondiale Strategieën en Samenwerking* or Global Strategies and Co-ordination) Department. In 2008, the decision was taken to dismantle MSS again and GloPro became a separate department.

Through all of these management changes, Oxfam Novib's mission has been to build a critical mass of countervailing power based on realities on the ground, through campaigning and mobilisation, through alliance building and advocacy, in addition to the regular poverty reduction programmes, education and capacity building work. This critical mass is indispensable for putting pressure on existing power holders to work towards a more equitable and sustainable global economic order. Oxfam Novib's global funding portfolio was developed precisely to support global civil society actors to more effectively challenge the existing global power relations.

The overall strategy is to strengthen the capacity of Global Civil Society – with an emphasis on Southern civil society - to change the policies and practices in relation to all the five Oxfam Aims, supporting global networks, movements, think-tanks, NGOs and others spaces or interaction and collective action.

The objectives of the evaluation and the evaluation questions

The purpose of the evaluation is twofold:

- Report in an independent and impartial way on the achievements of the Global Programme, providing a basis for accountability;
- Improve the Global Programme (GloPro), providing input for Oxfam Novib's policy-making as well as for organisational learning of Oxfam Novib and GloPro counterparts.

The objectives are to assess the outcomes (intended and unintended) achieved by the 38 GloPro counterparts in the Aim 1 Sustainable Livelihoods and Aim 4 Right to be Heard portfolios who received funding in 2005-2008 and continue to have a funding relationship with ON (i.e., have not been "phased-out").¹ (See Annex 1.) Together these counterparts received €€22,375,000, which represented 54% of the investments of GloPro in 2005-2008.

The focus² of the evaluation is on:

¹ In the course of the evaluation the portfolio shifted slightly. Initially there were to be 38 counterparts. Then, GloPro realised that two counterparts did not meet the criteria. Another did not engage with us. This reduced the number to 35. Then we realised that PANOS for this evaluation was in effect 5 counterparts: PANOS Caribbean, PANOS East Africa, PANOS South Asia, PANOS Southern Africa, and PANOS West Africa. All but PANOS Caribbean responded. Result: 38 counterparts of 40, albeit that we only requested up to 3 and not 10 outcomes each from the five PANOS counterparts.

² Amongst the most difficult decisions that the Steering Group made when agreeing with us the scope of this programme evaluation was what to exclude. Thus, it is important to be clear about what Oxfam Novib agreed that this evaluation would not cover. First, the GloPro counterparts for other Aims are excluded. Second, the

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- Identifying outcomes achieved, including Policy and Practice Changes (PPC's), of these 38 Aim 1 and Aim 4 portfolio counterparts at local, national, regional, multi-national, and global levels.
- Assessing the extent to which counterparts have been able to maximize outcomes by connecting their work at those different levels.
- Assessing the contribution of these outcomes to the goals of GloPro.
- Providing input for assessing the extent to which the GloPro has an added value for ON/OI alliance building and campaigning.
- Providing input for developing the future strategy of the GloPro business plan 2011-2015, based on an analysis of its current strategies, the Aim 1 and Aim 4 outcomes and their added value for ON and OI.

The evaluation questions are:

1 – To what extent have counterparts achieved outcomes and contributed to PPC's on aims 1 and 4?

1.a Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 1?³

1.b Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 4?⁴

1.c Which of these outcomes addressed gender justice issues?

1.d What is the (potential) significance of these achievements at different levels: local, national, regional, multi-national, global ?

1.e Which theories of change were behind Oxfam Novib's strategic positioning on Aims 1 and 4?

1.f Were the issues of women's rights and gender equality part of the theories of change?

1.g To what extent have counterparts been able to maximize results by connecting their work at different levels: local, national, regional, multi-national, global?

2 – To what extent did GloPro respond effectively to the changing global context and shifts in the ON/OI focus under aims 1 and 4?

3 – To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?

funding of small projects other than those of Aim 1 and Aim 4 counterparts are also excluded. Third, while GloPro's support of advocacy through funding and alliances with counterparts will be addressed, GloPro's (more precisely, MSS's) other direct advocacy efforts are not. These three areas are potential subjects of one or more different evaluations.

³ The sub-question in the terms of reference is "Which intended and unintended outcomes and (contribution to) PPCs have been achieved by the GloPro counterparts working on Aim 4?" This is misleading because we agreed in the Approach paper that we would not make a comparison between planned outcomes and the outcomes actually achieved, whether intended or unintended, positive or negative. Therefore, we have corrected the wording of the sub-question.

⁴ The same thing applies as in the previous footnote.

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- 3.a To what extent have synergies been achieved and has co-ordination been established between the lobby and campaigning strategies of GloPro counterparts, of the ON team Lobby and Advocacy, and of relevant OI teams?
 - 3.b To what extent do the achievements of counterparts contribute to the agenda of ON/OI Campaigning and Lobbying, even when they are not a formal ally of an ON/OI campaign
- # 4 – How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4?
- 4.a What has been the significance of GloPro's funding to counterparts?
 - 4.b What has been the significance of Oxfam Novib, a member of Oxfam International, as an ally?
 - 4.c To what extent are the different roles of Oxfam Novib, being both funder and ally, clear and legitimate in the perception of counterparts?

The full evaluation design is presented in Annex 3.

Conventionally, an evaluation would make a comparison between planned outcomes and the outcomes actually achieved, whether intended or unintended, positive or negative. The experience to date, however, of programme and core country evaluations in Oxfam Novib shows that it does not make sense to compare planned and achieved outcomes because different categories of outcomes were used in the plans for 2005 and 2006 compared to 2007 and 2008. Furthermore, neither Oxfam Novib nor counterparts report against plans consistently year after year. Consequently, in this GloPro Evaluation Oxfam Novib decided not to attempt to compare achieved outcomes with planned ones and instead to reconstruct the assumptions underlying the theories of change that prevailed in 2005-2008 and assess the most significant outcomes against them.

The evaluation began in May 2009 with a pre-phase in which the GloPro strategy and outcomes reported in formal counterpart evaluations 2005-2008 were examined (Annex 2). They informed the Approach Paper (Annex 3) that outlined the conceptual framework and evaluation design, which was approved by the evaluation's Steering Group⁵ on 9 July 2009. In November, a Preliminary Report focused on the first of the four evaluation questions. In January 2010, a preliminary final report was discussed at Oxfam Novib and the draft of the final report submitted and approved in March 2010.

Methodology and its challenges

We approached the four evaluation questions in substantially the same way: review of documentation; engagement with informants via questionnaires, surveys, email, telephone and infrequently personal interviews; analysis, interpretation and synthesis. We divided the responsibility for distinct pieces of the work amongst ourselves. Our process involved initial consultation between Ricardo as team leader and the designated evaluator, and then moved to further consultation involving the whole team. Thus, while the primary responsibility for data

⁵ Oxfam Novib Aim 1 and 5 change goal managers Duncan Pruett and Carmen Reynoso, Research and Development officer Gine Zwart, the interim head of MSS/Global Programmes Hans van den Hoogen, GloPro programme officer Liesbeth van der Hoogte and the Quality and Control Bureau officer Yvonne Es. During the course of the evaluation Duncan Pruett was replaced by Marita Hutjes, Programme Manager - Private Sector and Hans van den Hoogen by Imad Sabi, Co-ordinator - Global Programmes.

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collection, analysis and interpretation resides in one evaluator, all three of us agree with the reasoning, the conclusions and the points for discussion, chapter by chapter.

The evaluation presented numerous methodological challenges, most of which we successfully handled.

Time and timing

The methodology demanded considerable time from informants, especially of counterparts, that added to their heavy workloads. Mentally going back over five years of history is demanding. Ideally, documentation should be reviewed and other people consulted as well. This is time-consuming. Also, the sequencing of data collection was not simple. Our approach was to set what we considered to be reasonable deadlines over the five-month period and be flexible with those who could not meet them. Thus, we were able to achieve a high rate of response: 95% (38 of 40) in the formulation of outcomes by counterparts, 78% (7 of 9) in answering the survey of counterparts outcomes and the ON/OI campaigning and lobby agenda, and 82% (31 of 38) counterparts in answering the survey about their opinion of GloPro as a funder and ally. There were two areas of weakness. One area where we were relatively unsuccessful was in obtaining responses from substantiators. Here, the rate of response was 58% (63 of 109 outcomes that we attempted to verify). The second was in obtaining timely responses. In spite of our approach, in the end we had to negotiate a one-month extension of the deadline foreseen at the time the Approach Paper was approved.

Concept of outcomes and complexity

GloPro requests annually that counterparts report on “outcomes/policy and practice changes” broadly defined as “your results”. Therefore, the notion of outcomes as changes in other social actors that have been influenced by a counterpart was new to GloPro and to her counterparts. This was complicated by the reality that the environment in which counterparts operate, and often they themselves, are highly complex, open and dynamic. When a counterpart contributes to an outcome, the effect tends to be indirect, partial, and even unintentional. It generally occurs some time after the counterpart's activity, which is usually in concert with other initiatives of the counterpart or of other social actors. In many cases, counterparts may not even be aware of changes in other actors, or if they are aware, may not know details of the change. Thus, there is rarely a linear, cause-effect relationship between Novib funding and a counterpart's outcome. Causality is messy, multi-level and multi-directional, as well as unpredictable.

Influencing a social actor not to take action – avoiding something undesirable from happening – can be a significant outcome but is often awkward to formulate as a change. In addition, there may be outcomes that could be considered as negative changes to which a counterpart inadvertently contributed and which significantly detract from, undermine or obstructs a desirable result.

In sum, identifying and formulating outcomes for this evaluation was a new and difficult task for counterparts. Therefore, we planned to engage intensely with counterparts in a process of formulation and re-formulation of their outcomes and we budgeted an average of 11.5 hours per counterpart for the process. We were able to keep to this budget although we felt that we could not have asked more of counterparts, some of whom spent two, three, four times as much time as did we in formulating their outcomes.

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Formulating concise and precise outcomes

Identifying outcomes is not a process of scientific research “undertaken to discover new knowledge, test theories, establish truth, and generalize across time and space. Outcome evaluation is undertaken to inform decisions, clarify options, identify improvements, and provide information about programs and policies within contextual boundaries of time, place, values, and politics... Research aims to produce knowledge and truth. Useful evaluation supports action.”⁶ The formulation of the quantitative and qualitative aspects of outcomes (and of the activities and outputs that contributed to them), should be specific and concrete so that third parties without the contextual knowledge will be able to appreciate and eventually to verify what has been achieved. At the same time, to be useful to the reader of the evaluation report, the formulation of an outcome must be brief – one paragraph per section (description, significance, contribution) or maximum one side of an A4 per outcome. This is a big challenge for busy people whose work is not principally writing and often working in English as their second language. It is culturally challenging too, a process more familiar and accessible in some cultures than in others. We foresaw that a sizeable portion of our time engaging with them would be devoted to editing and re-editing, respecting of course their final decision on the content because the outcomes are theirs. This we did. Nonetheless, the average size of each outcome is two pages. And, as we analysed and interpreted them, we realised that they can still be better formulated.

Validity, credibility and substantiation

The outcomes have validity because they were identified and formulated by the social actor – the counterpart – who contributed to them through a process in which we as evaluators rigorously examined each outcome for a plausible rationale between was reported as the change, its significance and how the counterpart contributed. Also, with a handful of exceptions because of issues of confidentiality, the counterparts formally and publically went on record with us as external evaluators who could be expected to verify the outcomes. Furthermore, they were informed that the evaluation would be publicly available on Oxfam Novib's website.

Identifying and formulating outcomes has a strong element of subjectivity. The issue is not only if there has been a change, if it is significant and the degree to which the change can in some measure be attributed to a counterpart's actions. Equally important is who makes that judgement. The quality of the outcome formulation requires skill in crafting the outcome, which can vary greatly from one respondent to another. In addition, there has to be an “honest” relationship between what changed and the person describing the change, who often was not the same person who influenced the change. And, when the writing of the outcome is a shared responsibility, necessarily two or more perspectives and interests come into play. Then, consensus over what actually happened, how, when and where, its significance and how the counterpart contributed is very difficult to achieve.⁷ Lastly, most outcomes did only have one source – the counterpart.

For these reasons, we proposed the “substantiation” of the outcomes in a way that would be credible. For every other outcome, we asked each counterpart to recommend two independent people with a working knowledge of the outcome. Thus, for example, for the outcome “In 2009, the World Bank revises its information disclosure policy that significantly expands

⁶ Michael Quinn Patton, *Developmental Evaluation*, Guilford Press, forthcoming 2010.

⁷ Chris Roche, *Impact Assessment for Development Agencies*, Oxfam, 1999, page 267.

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civil society access to development information and Bank decision-making. [21]”, BIC referred us to 1) Peter Harrold, Director, World Bank Group, Operations Policy and Country Services and 2) Valeria Enriquez, Researcher, Fundar, Mexico (part of Global Transparency Initiative). Depending on the reader, she or he will find the opinion of the referee more or less credible.

Confidentiality

In the process of identifying, formulating and then substantiating outcomes the issue of confidentiality was presented to us by a small number of counterparts and substantiators. Since we had not offered confidentiality to counterparts or to substantiators, and thought we had made clear that outcomes and substantiations would be on the record, this was a surprise. Nonetheless, as evaluators we accept a responsibility for propriety. (See endnote I for an explanation of the standards that guide the evaluation. In the section on the design of the evaluation in Annex 3 – Approach Paper for Evaluation of Oxfam Novib's Global Programme 2005-2008 for Aim 1 and 4, pages 11-17 you will find the standards we followed for each evaluation question.)

We recognise that because of the advocacy nature of GloPro counterparts' work, in some cases making public the specific ways and means by which counterparts influenced individual outcomes could endanger or compromise future work and in some cases people's lives.

Thus, while taking care not to scare our informants into withholding information unnecessarily, and to ensure that were investing our time reasonably by not undermining the accuracy of the information we finally collected, we directly addressed the issue of confidentiality. We informed each counterpart and each substantiator about how the findings would be used.¹¹ After consultation, only seven counterparts had a concern with their outcomes being made public. An equally small number of substantiators did as well. Therefore, we worked with the counterparts to re-craft those outcomes and in the end we had to withhold only four outcomes (2% of the total) for reasons of confidentiality. With the substantiators, we simply accepted their refusal to have their opinion be made public.

Evaluators

Juliette Majot, Wolfgang Richert and Ricardo Wilson-Grau made up the evaluation team. Each evaluator assumed specific responsibilities in the team. Juliette was responsible for bringing to bear expertise in social and political participation – where Ricardo also has expertise – and in gender justice. She took the lead in chapters IV and VI. Wolfgang was responsible for bring expertise to bear in the areas of food and income security and employment based livelihoods, trade and markets. He took the lead in Chapters V and VII. Ricardo's responsibility as team leader was to ensure that the data that is gathered is credible, the criteria or standards used to analyse the evidence is rigorous, and the methods of synthesis and interpretation are solid. He provided his co-evaluators with the methodological advice and support they required to carry out their responsibilities. He also served as liaison between the evaluation and Oxfam Novib and supply regular feedback regarding progress. He wrote the and chapters I, II, III, VII, VII and X. He also took full responsibility for producing the electronic publication of the report, including the tables, excel sheets and Word annexes. (See Annex 4 – Evaluators' CVs.)

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Limitations of the evaluation design

Some limitations of the evaluation have been mentioned above and others that are more specific will be addressed in the chapters below. Here we want to mention the difficult decisions made when agreeing on the scope of an evaluation because we want to be clear about what Oxfam Novib and we agreed this evaluation would not cover. Some of these points are potential subjects of one or more different evaluations.

- The evaluation was designed to focus on the achievements of GloPro through its counterparts and not on GloPro's performance.
- The evaluation also focuses on only a portion of the GloPro portfolio of counterparts; the GloPro counterparts for Aims 2, 3 and 5 are excluded.
- Because information had not been systematically collected over the five-year period, the outcomes are not exhaustive. They are a sampling of what the 38 counterparts consider to be amongst their ten most significant outcomes in 2005-2009.
- The outcomes are limited to up to ten of those counterparts consider to be their most significant outcomes in 2005-2009.
- The funding of small projects was excluded.
- While GloPro's support of advocacy through funding and alliances with counterparts was addressed, GloPro's – or better said the then MSS's – other direct advocacy efforts are not.

In addition, there are two important limitations of the evaluation as an instrument for GloPro to account for what it has and has not achieved.

The nature of the evaluation questions related to theories of change and outcomes – the core of this evaluation – that Oxfam Novib required be answered, means that the findings of the evaluation are necessarily descriptive. In the first and foremost evaluation question, Oxfam Novib simply wanted to know which outcomes and PPCs had been achieved by the GloPro counterparts working on Aim 1, 4 and gender justice, which theories of change (ToC) were behind them, and were gender issues part of the theories of change. Consequently, the most important findings – a wealth of formulated outcomes – are presented in a 450-page annex and in the bulk of the report are presented in different ways in tables and charts and the theories of change in diagrams. Furthermore, the other two evaluation questions are so broad that they could have been separate evaluations.

The potential for interpretation of the findings was in the reconstruction of the theories of change. Unfortunately, in reconstructing the overall GloPro ToC and the individual theories of change for Aims 1 and 4 and Gender Justice, we found that the assumptions, strategies, target groups and results that are used in GloPro are so broad and general that, as more than one Oxfam Novib staff admitted, “anything is possible; whatever I want to do, it does fit somewhere”. Indeed, not only was the tendency for each one of the Aim 1 and Aim 4 outcomes to correspond to multiple assumption and result categories, but Aim 1 and Aim 4 portfolio counterparts contributed outcomes that were considered to correspond heavily to each other's assumptions and results categories. When everything relates to everything else, identification of distinct, meaningful trends and patterns or specific, concrete processes of change becomes very difficult indeed.

We rush to add that the outcomes that were registered are in themselves valuable and many can and do contribute to very important processes of change. We are only saying that a

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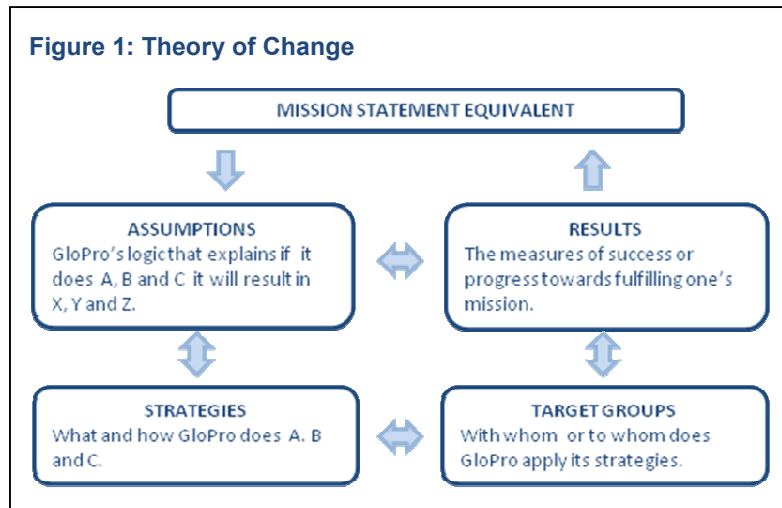
deeper understanding and analysis of the unique contribution of these contributions was beyond the scope of the evaluation.

Please see the Addendum in the **Annex 3 – Approach Paper for Evaluation of Oxfam Novib's Global Programme 2005-2008 for Aim 1 and 4** for an explanation of the changes⁸ to the original evaluation design made in the course of the evaluation.

In the next chapter, we explain what we found to be GloPro's overall strategy for change in 2005-2009.

GloPro's strategic positioning 2005-2009⁹

Oxfam Novib requested that the evaluators uncover the theory or theories of change that were behind Oxfam Novib's strategic positioning in 2005-2008. There was not a common agreement within Oxfam Novib or GloPro about what constituted a theory of change and so in the evaluation design we suggested a definition based on work done by the Ford Foundation.¹⁰ The next challenge was to construct the theories of change (ToC) presenting the intervention logic of GloPro's grant-making (Figure 1).



The purpose was not to assess whether the outcomes had been achieved through GloPro's implementation of its theory of change. Rather, it was simply to consider the theories of change as a lens through which to look at the outcomes.

Oxfam Novib recognised that it would be impossible to reconstruct theories of change that would be applicable for the entire 2005-2008 period. There has been considerable diversity in the reasoning behind what GloPro staff and management do and aim to achieve and this led to the commitment in 2009 to make theories of change explicit in future strategic plans. In order to construct the overall ToC for GloPro and the individual ToCs for Aim 1, Aim 4 and Gender Justice as they all appear to be in mid- to late 2009, we reviewed the documentation, consulted with GloPro staff and counterparts, and took into account the nature of the 196

⁸ These include changes in the responsibilities of the evaluators, the portfolio of counterparts, small projects, Theory of Change results, evaluation question #2, travel, deadlines, number of consultancy days.

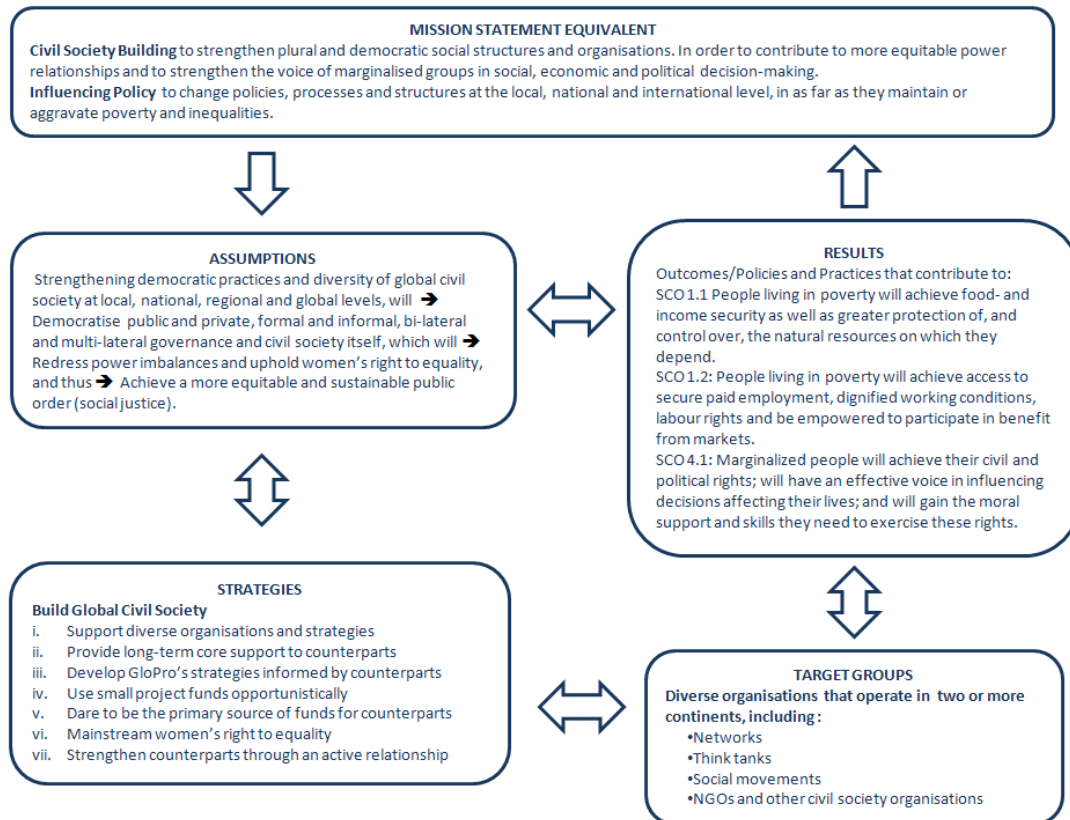
⁹ In the evaluation design we agreed that for reasons of practicality we would accept outcomes that emerged in the course of 2009. Why? First, we foresaw that when we requested the most significant outcomes from counterparts there would be an interest in mentioning outcomes that have emerged in the course of 2009. This is because they tend to be the freshest in respondents' minds. Second, outcomes generally build on each other and the more significant ones tend to be the most recent. Third, outcomes in 2009 will tend to have been gestated in previous years.

¹⁰ Anne Mackinnon and Natasha Amott, with assistance from Craig McGarvey, *Mapping Change: Using a Theory of Change to Guide Planning and Evaluation*, 2006, www.grantcraft.org.

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outcomes identified for 2005-2009. Through this process, we were successful in fleshing out what this evidence suggests are the current GloPro theories of change. (Figure 2 presents the overall GLOPRO ToC.)

Figure 2: GloPro Overall Theory of Change and Strategic Positioning, 2005-2009



Although GloPro has never explicitly used the language “theory of change”, implicit in the decision-making by programme, financial and advocacy staff and managers in 2005-2008 is concrete reasoning that does outline a process of the desired social change, including unspoken assumptions behind each step in a long and complex process leading to desired results. Only recently has Oxfam Novib and GloPro begun a conscious process of thinking through all the steps along a path toward a desired change, identifying the preconditions that will enable (and possibly inhibit) each step, listing the activities that will produce those conditions, and explaining why those activities are likely to work. In her preliminary study, through a review of documentation and interviews with a wide range of informants, Juliette Majot was able to flesh out the content of what we now tentatively present as GloPro's overall theory of change in 2005-2008.

GloPro uses Civil Society Building and Influencing Policy, two of Oxfam Novib's three “intervention strategies” in pursuit of its goal to “strengthen global civil society as an indispensable player in the international arena”. These make up the equivalent of a mission statement for GloPro.

Within this mission, GloPro has a set of underlying assumptions and building global civil society strategies that describe why and how the programme engaged in 2005 – 2008 with counterparts and in alliances with others, within the confederation of Oxfam International,

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and as part of Oxfam Novib. The strategies were applied to four categories of target groups with the aim of generating results and specifically outcomes, including policy and practice changes that would contribute to three of the eight Oxfam International Strategic Change Objectives. These programme strategies are different from those that describe how and why counterparts themselves engage with the greater field of social actors to achieve their objectives.

Although the mission, strategies, target groups and results of the overall GloPro theory of change are fairly well defined, the missing link was assumptions – or rationale that if A, B and C happens it will result in X, Y and Z. They are a key element of a coherent ToC and so we had to construct them.

Within this umbrella GloPro ToC, we developed in the course of the evaluation specific ToCs for Aim 1, Aim 4 and Gender Justice. Furthermore, as we worked with the categories of assumptions and results of the three ToCs in the light of the outcomes, we modified the ToCs too. Therefore, in this report in the respective chapters on outcome findings we present them as they appear to be in early 2010 at the end of the evaluation process that included documentation review, consultation with programme officers and working with the 196 most significant outcomes reported by the 36 counterparts.

Outcomes and Policy and Practice Changes

In Oxfam Novib there are three categories of results:¹¹

Strategic Change Objectives (SCOs) are “long-term, universal end-goals to achieve Oxfam Novib’s vision of society.” This evaluation focuses on three of the eight SCOs and the cross-cutting dimension of gender justice:

SCO 1.1 Food and income security. People living in poverty will achieve food and income security as well as greater protection of, and control over, the natural resources on which they depend.

SCO 1.2 Employment based livelihoods, trade and markets. People living in poverty will achieve access to secure paid employment, dignified working conditions, labour rights and be empowered to participate in benefit from markets.

SCO 4.1 Social and political participation. Marginalized people will achieve their civil and political rights; will have an effective voice in influencing decisions affecting their lives; and will gain the moral support and skills they need to exercise these rights.

Gender Justice. The power relationships between men and women will change and women will enjoy equal rights and equal status with men.¹²

Policy or practice changes: Policy changes are more than changes in laws and regulations. They are modifications of the formal or informal, written or unwritten political, economic, cultural, social or religious norms that guide the actions of individuals, organisations or institutions in the sphere of the state, the market or in civil society. Changes in practice represent a modification of what happens in society. Thus, a practice change is when a norm

¹¹ All quotes in this section are from *The Guidelines for Core Country Evaluations*, 2009.

¹² The notion of gender justice “overarches and includes the achievement of women’s rights, gender equality and equity, gender mainstreaming, masculinities and respect for diversity.” *Oxfam Novib’s Position on Gender Justice – The Right to an Identity: Gender and Diversity*, no date.

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is applied or a pattern of behavioural change suggests an emerging norm. Thus, both practice change and policy change is required in order to achieve significant, structural, sustained and positive improvement in the lives of people suffering from poverty, injustice, insecurity and exclusion.

Outcomes: Oxfam Novib defines these as “the likely or achieved short to medium-term effects of an intervention’s outputs. Usually they coincide with a counterpart’s one, two or three year objectives.”

In order to understand the relationship between PPCs and Oxfam Novib’s counterparts’ outcomes, in this evaluation we use a functional definition of “outcome”: *the changes in the social actors who are protagonists of policy and practice changes that have contributed, or potentially may contribute, to the three SCOs and to gender justice.*

Outcomes so defined¹³ are a bridge between what GloPro and her counterparts do and control – that is, their outputs, their activities and the processes, goods and services they produce – and the policy and practice changes to which their interventions eventually contribute. That is, PPCs are generated by individuals, groups, or organisations that change their behaviour, their relationships or their activities. GloPro, through funding her counterparts, persuades, supports, facilitates, inspires or in some other way influences counterparts’ contribution to these outcomes. Counterparts’ activities and outputs that contribute to outcomes and PPCs are usually done in concert with others and rarely wholly alone. Generally, the outcomes are generated intentionally but sometimes unintentionally, and often indirectly. That is, these changes may be expected or unexpected, as well as positive or negative.

Conceptually, PPCs are also outcomes, but major ones, the culmination of a process of outcomes generated by a variety of social actors (Figure 2). PPCs will lead to the **impact** envisioned in the SCOs.

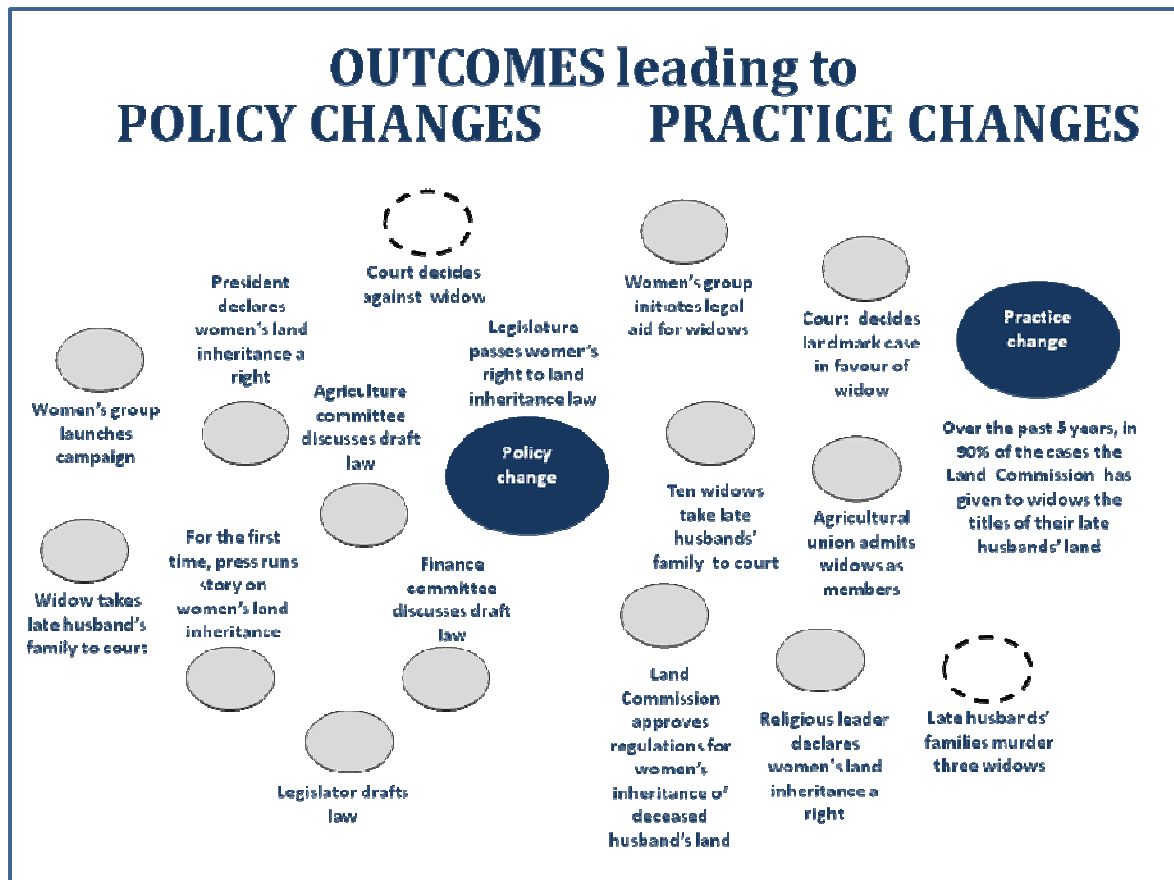
One of the values of outcomes is that they reveal a process of change. Thus, some changes in other social actors generated by GloPro counterparts are relatively minor or preliminary compared to others, as exemplified in

Figure 3. Thus, we were especially interested in identifying emergent patterns of change that lead to SCOs, which represent the impact that GloPro seeks.¹⁴

¹³ This definition of outcomes was developed by the Canadian International Development Research Centre (IDRC) about ten years ago. Subsequently it has become widely used by development and social change programmes. See http://www.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html and the Outcome Mapping Learning Community website at www.outcomemapping.ca.

¹⁴ Definitions for “impact” in international development are quite general and vary little. They range from the World Bank’s “long-term, widespread improvement in society” and the OECD’s “longer term or ultimate result attributable to a development intervention” to the UNDP’s “long-term and national-level development change”. For GloPro, in the light of its three SCOs, the definition would be along the lines of “long-term, durable changes in the relations and exercise of power in society that structurally reduce poverty, improve human well-being and protect and conserve natural resources.”

Figure 3 - Outcomes and PPCs in the case of women inheriting land



III. General Findings: Overall outcomes achieved, their significance and their local to global connections¹⁵

Introduction

In this chapter, first we explain how we “harvested” the outcomes with the 38 counterparts and then present the overall findings regarding the first evaluation question: To what extent have counterparts achieved outcomes and contributed to PPC's on aims 1 and 4? Then we present the findings regarding two sub-evaluation questions:¹⁶

- 4) What is the (potential) significance of these achievements at different levels: local, national, regional, multi-national, global?
- 7) To what extent have counterparts been able to maximize results by connecting their work at different levels: local, national, regional, multi-national, global?

Outcomes Identification and Formulation

The GloPro counterpart portfolio in 2005-2009 for the Aims 1) Sustainable Livelihoods and 2) a Right To Be Heard covered a diverse portfolio of think-tanks, networks, social movements, international NGO's, membership organisations, grassroots organisations, temporary alliances. In order to reflect this diversity, the evaluation harvested the 5-10 most significant outcomes of the 38 counterparts who received funding in 2005-2008 and who continue to have a funding relationship with GloPro.¹⁷

As indicated above, the definition of “outcome” used in this evaluation was different than what is customarily used by ON in its contacts with counterparts. Therefore, the evaluation employed a highly participatory and interactive approach to engage with the 38 counterparts. (See Annex 5 – Outcomes instructions and formats A and B

Annex 6 – Most Significant Outcomes Reported by Oxfam Novib Global Programme Counterparts for 2005-2009.) Over August, September and into October we worked with the counterparts to identify and formulate up to ten¹⁸ of what they consider their most significant

¹⁵ Ricardo Wilson-Grau took the lead in interpreting and synthesizing the findings in this chapter.

¹⁶ In the next three chapters the specific findings for Aim 1, Aim 4 and Gender Justice will be presented, answering these sub-evaluation questions:

- 1) Which intended and unintended outcomes and (contribution to) PPCs have been achieved by the GloPro counterparts working on Aim 1?
- 2) Which intended and unintended outcomes and (contribution to) PPCs have been achieved by the GloPro counterparts working on Aim 4?
- 3) Which of these outcomes addressed gender justice issues?
- 5) Which theories of change were behind Oxfam Novib's strategic positioning on Aim 1 and 4?
- 6) Were the issues of women's rights and gender equality part of the theories of change?

¹⁷ In the course of the evaluation the portfolio shifted slightly. GloPro realised that two counterparts did not meet the criteria and one who did not engage with us. This reduced the number to 35 but then we realised that one counterpart PANOS was in effect 5: PANOS Caribbean, PANOS East Africa, PANOS South Asia, PANOS Southern Africa, and PANOS West Africa. All but PANOS Caribbean responded. Result: 38 counterparts, albeit that we only requested up to 3 and not 10 outcomes each from the four PANOS counterparts.

¹⁸ The PANOS counterpart had four regional offices reporting up to three outcomes each.

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outcomes, including PPCs in 2005-2009. (See Annex 6.) This was the procedure we used to “harvest” the 196 outcomes:

In June 2009, Wolfgang Richert did a pre-evaluation review of the evaluations that had been done for 16 GloPro counterparts, of which 13 are amongst the 38 chosen for this evaluation. He found that in most cases there was only sufficient information to formulate a one sentence title of a change in a social actor. . Therefore, in the evaluation design we did not propose to review documentation exhaustively for outcomes but instead to extract for each counterpart 1-2 sample potential outcomes, including a full description their significance and the counterpart's contribution. To do this, we used these documents in English supplied by GloPro:

- Evaluation reports
- Toolbox documents Product I and II (appraisal of the project by programme officer, includes info on track record).
- Progress reports - Narrative only
- PRS list (performance registration system) (info on results as registered by programme officer)

We sent the counterpart an invitation to participate that included instructions, the sample outcome(s) and a format to complete up to 10 of what the counterpart considers are its most significant outcomes in the period. (See Annex 5 – Outcomes instructions and formats A and B.) The initial deadline was mid-September.

We then reviewed each outcome proposed by counterparts and engaged with them about missing information and our suggested changes until we agreed on a solid title and description – what changed in each social actor, when and where. We also reached consensus on a logically clear and plausible relationship between the change described and its significance and the counterpart's direct or indirect, small or large, intended or unintended contribution to it. In many cases, we corresponded about the outcomes two or three times until there was agreement on the formulations; in some cases the communication was more intense.

By mid-October, we had almost all of the 196 outcomes in their final formulations. We organised the data in two different ways to make it more comprehensible. The two principal products are:

- A Word file of the 196 outcomes formulated and classified by the counterparts, including for a little over 50% of the outcomes on-the-record substantiation by one or two independent people with a working knowledge of the outcome. (Annex 7)
- An Excel file with a tabulation of all 196 outcomes as classified by the counterparts according to Theory of Change assumptions and by we evaluators according to categories of results (Annex 8, Annex 9 and Annex 10).

Beginning in mid-September, as we agreed final outcome formulations with the counterparts, we initiated the substantiation process¹⁹ through email or telephone communication for half of the outcomes. We requested that each counterpart refer us to two independent individuals with a working knowledge of their 1st, 3rd, 5th, 7th and 9th outcomes. We then contacted these

¹⁹ Instead of the term “verify” we prefer substantiate because we mean more than to establish the truth or accuracy of the outcome. We also want to obtain a deeper understanding and give a richer substance or form to the outcome, its significance and the contribution to the change.

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referees and asked them to go on record with her or his degree of agreement with the outcome, its significance and the counterpart's contribution. When necessary, two attempts were made to obtain the opinion of each referee.

In the first half of November, we wrote an interim report on outcomes. In this and other boxes throughout the report we present sample outcomes for the results categories of the respective theories of change, such as this one presenting the European Parliament's action to investigate and remedy the abuse of power by large supermarkets operating in the European Union. Due to the space limitations, in all the samples we only include the one sentence descriptive title, the section describing the significance of the outcome and another with the counterpart's contribution.²⁰

SAMPLE OUTCOME IN RESULTS CATEGORIES:

TOC AIM 4 – 1. STRENGTHENING GLOBAL CIVIL SOCIETY AND 3. DEMOCRATISING PUBLIC AND PRIVATE GLOBAL GOVERNANCE ARRANGEMENTS

TOC AIM 1 – 5. CSR AND REGULATION OF INTERNATIONAL CORPORATE ACTIVITIES

TOC GENDER JUSTICE – 2. STRENGTHENING WOMEN'S RIGHT TO EMPLOYMENT BASED LIVELIHOODS AND TO FAIR LABOUR CONDITIONS.

In 2007, more than half of the members European Parliament sign a written declaration calling for investigating and remedying the abuse of power by large supermarkets operating in the European Union. [2]

Significance: This concentrated power and control raises concerns for the people who supply food (farmers, ranchers, workers, and processors) and for the consumers of food. Their market decisions have far reaching implications for purchasing practices and supermarket worker wages, benefits and working conditions, which often include a high percentage of women.

Few Declarations achieve this number of signatories, and the European Commission was obliged to respond to the Declaration. In May 2008, the AAI EU supermarkets group organized a seminar at the Parliament and invited market competition experts to present possible remedies. In July 2008, initial MEP co-sponsors met with the Director General of Competition, Philip Lowe. He indicated his office would be willing to undertake an EU-wide investigation if further evidence of the negative impacts of supermarket power could be supplied. In March 2009 the AAI group published a 40-page preliminary survey of evidence of abuse of buyer power in Europe. The AAI working group is currently establishing an informal MEP working group, working with MEPs to organise a parliamentary hearing and commissioning new research on potential regulatory remedies.

Without new behavioural and structural regulations to abuses of supermarket buyer power will continue to impact on suppliers, primary producers and workers. Without such regulations, there is no redress of grievances or leverage over supermarket power.

Contribution of the counterpart: The AAI Secretariat serves a function of co-ordinated, supporting, and linking a variety of independent organizations who work on various aspects of challenging the corporate power of the agri-food industry. These organizations are then considered part of the "AAI network", and many of them join working groups who have strategies and targets agreed to by the network.

²⁰ The number in brackets identifies the outcome. The reader can find the outcome in Annex 7 and there see the full description of the change, the record of substantiation (for every other outcome) and the counterpart's classification of the outcome. The classification is also to be seen in the Excel file with Annex 8, Annex 9 and Annex 10.

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The initial Supermarket working group was formed in 2004 following the AAI European Forum in Brussels in January. AAI Europe had primary responsibility for the focussed work of the group. AAI Steering Committee members for Europe include representatives from Institute for Agriculture and Trade Policy, Banana Link, SOMO, ActionAid and Oxfam Germany.

Working group members include ATTAC Hungary, ActionAid (UK and Italy), SOMO (Dutch-based Centre for Research on Multinational Corporations), Traidcraft, Peoples Solidaire, Clean Clothes Campaign, Oxfam Germany, COAG, Consumers International and others.

The AAI EU supermarkets group raised awareness of the issue of supermarket buyer power and the need for regulatory remedies in the European Parliament and Commission by producing MEP briefings, writing and promoting a Written Declaration, organising parliamentary seminars, meetings with Commission officials and conducting a survey of evidence of abuse of buyer power. In 2008-2009 the Commission launched various inquiries into supermarket buyer power and recommendations to remedy buyer power were included in the High Level Group on the Competitiveness of the Agri-Food Industry.

The validity of the outcomes hinges on these factors:

- ✓ The person or people who carried out the activity or produced the outputs that influenced the change in another social actor identified and formulated the outcomes.
- ✓ As evaluators, we rigorously insisted upon a logically clear and plausible relationship between i) what changed in each social actor, when and where, ii) the significance of the change for the results to which GloPro wishes to contribute, and iii) the counterpart's reasoning of its direct or indirect, small or large, intended or unintended influence on the change.
- ✓ Each counterpart has gone on public record with their outcomes, their significance and their contribution to them and submitted them to external substantiation (see below). That is, the authors of the outcomes are the 38 GloPro counterparts and not us the evaluators.

Of course, there are also limitations to the validity of each outcome.

- ✓ The outcome formulation is from the perspective of one organisation – the counterpart.
- ✓ Furthermore, "...the key questions concern not only what has changed, whether it is significant, and to what degree it can be attributed to a given set of actions, but equally who makes the judgment."²¹ Although with notable exceptions, often only one person from the counterpart organization was able to participate in the exercise but outcomes are the result of the contributions of a team of people or institutions whose interests and perspectives vary. Thus, it is difficult (even when more than one person is involved) to arrive at a true consensus of what has changed, its significance and how the counterpart contributed.
- ✓ A further complication is time. Not only was it time consuming to review in mental or physical archives a period of five years, but then when they are identified and the necessary information gathered, crafting the outcomes for an audience who does not have subject or context knowledge also takes time.

In sum, the outcomes are not perfect.

The substantiation of course gives an additional dimension of credibility to the outcomes.

²¹ Chris Roche, op.cit.

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The validity of the substantiation resides in:

- ✓ The person being independent of the counterpart,
- ✓ Who the person is (the position they hold) and
- ✓ Their going on record publicly with their agreement or disagreement with the outcome as formulated.

In many cases, the substantiator also took the opportunity to give comments. With these comments the reader can obtain a deeper understanding of the outcome, its significance and the contribution that counterpart made to the change.

We asked counterparts to classify their outcomes according to tentative assumptions in the three draft theories of change that we had constructed. In addition, we classified them according to the results in those ToCs.

Overall findings on outcomes

In the end, the 38 counterparts identified and formulated between 1 and 10 outcomes each for a total of 196 outcomes that they considered were amongst the most significant that they had influenced in 2005-2009. We identified amongst them 62 changes in policies and practices.²² (See Table 1.)^{23, 24}

Table 1: Outcomes reported by 38 Aim 1 and Aim 4 Portfolio counterparts, by GloPro Aims 1, 4 and Gender Justice (Total does not equal outcomes per Aim because some correspond to more than one Aim)

Counterpart	Total		Sustainable Livelihoods		Social and Political Participation		Gender Justice	
	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs
AIM 1 PORTFOLIO	98	30	77	24	93	30	52	18
1. AAI (Agribusiness Accountability Initiative, National Catholic Rural Life Conference)	5	1	5	1	5	1	1	0
2. ARM (Alliance for Responsible Mining)	1	0	1	0	1	0	1	0
3. December 18	3	0	0	0	3	0	0	0
4. E&Co (Energy & Co)	1	0	1	0	1	0	1	0
5. FERN	9	5	6	2	9	5	2	1
6. FoEI (Friends of the Earth)	10	3	9	3	10	3	4	1

²² We and not the counterparts agreed which outcomes were policy and practice changes and which were not, based on our interpretation of the definition. This is fundamentally a judgement and others may interpret some of the outcomes differently.

²³ The title of each outcome is in Annex 6. This 18-page annex contains the one sentence description of each one of 196 outcomes classified by counterpart. The Word file with the complete formulation – Annex 7 – is over 400 pages. There, the 18-page summary is linked to the full presentation of each outcome so that the reader can readily go back and forth. Thus, to see the full description, the significance, the counterparts' contribution, the status of substantiation for half of the outcomes, and how the counterparts classified each outcome, it is recommended not to print Annex 7 but use the Word document.

²⁴ See also, Annex 5 – Outcomes instructions and formats A and B.

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Counterpart	Total		Sustainable Livelihoods		Social and Political Participation		Gender Justice	
	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs
International)								
7. FPP (Forest Peoples Programme)	10	7	10	7	10	7	4	3
8. GRAIN (Genetic Resources Action International)	2	0	2	0	2	0	0	0
9. IATP (Institute for Agriculture and Trade Policy)	7	1	4	1	7	1	3	0
10. ICTSD (International Centre for Trade and Sustainable Development)	3	0	3	0	3	0	1	0
11. IIED (International Institute for Environment and Development)	2	0	1	0	2	0	1	0
12. ImpAct Consortium	4	1	3	1	4	1	1	1
13. INAFI (International Foundation)	7	0	7	0	3	0	2	0
14. LVC (La Via Campesina)	8	4	8	4	8	4	8	4
15. MSN (Maquila Solidarity Network)	8	1	8	1	7	1	7	1
16. WEDO (Women's Environment & Development)	7	3	0	0	7	3	6	3
17. WIEGO (Women in Informal Employment)	4	1	4	1	4	1	3	1
18. WIDE (Network Women in Development Europe)	2	0	0	0	2	0	2	0
19. WRM (World Rainforest Movement)	5	3	5	3	5	3	5	3
AIM 4 PORTFOLIO	98	32	35	12	95	32	49	13
1. AMARC (World Association of Community Radio Broadcasters)	6	2	2	0	6	2	6	2
2. BankTrack	8	2	7	2	8	2	0	0
3. BIC (Bank Information Center)	9	3	1	0	9	3	0	0
4. CIVICUS	5	1	0	0	3	1	2	0
5. Dignity International	4	0	0	0	4	0	3	0
6. FOCUS (Focus on the Global South)	7	0	4	0	7	0	5	0
7. GCAP	10	7	1	1	10	7	5	3
8. Global March (against Child Labour)	4	2	2	1	4	2	1	0
9. GTI (Global Transparency Initiative, Article 19)	6	3	0	0	6	3	2	1
10. IPS (Inter Press Service International Association)	6	1	0	0	6	1	4	1
11. PANOS EAf (East Africa)	3	0	1	0	3	0	2	0
12. PANOS SAS (South Asia)	1	0	1	0	1	0	0	0
13. PANOS SAf (Southern Africa)	1	0	1	0	1	0	1	0
14. PANOS WAf (West Africa)	3	0	1	0	3	0	2	0

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Counterpart	Total		Sustainable Livelihoods		Social and Political Participation		Gender Justice	
	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs
15. Social Watch (Instituto del Tercer Mundo)	5	2	3	1	5	2	3	0
16. TNI (Transnational Institute)	5	1	4	1	5	1	2	0
17. TVE (Television Trust for the Environment)	3	1	2	1	3	1	1	1
18. TWN (Third World Network)	7	7	5	5	7	7	5	5
19. World Social Forum	5	0	0	0	4	0	5	0
GRAND TOTAL	196	62	112	36	188	62	101	31

Of the total outcomes, we agreed to substantiate every other one. In the end, we attempted to substantiate 112.²⁵ Ninety-five independent people who had knowledge of the outcome went on the record with their opinion about the veracity of the changes described by the counterpart, their significance and the counterpart's contribution. (See Annex 7 and Annex 11.) Of the 66 outcomes for which we obtained an opinion from one or two substantiators, almost half were fully substantiated and a little over half partially substantiated (Table 2). Only in the case of three outcomes did a substantiator disagree with the description, significance or the counterpart's contribution.

Table 2: Substantiation of randomly selected counterpart outcomes

Degree of substantiation	Number of outcomes
Fully Substantiated – The person "fully agrees" with the description significance and contribution of the counterpart.	30
Fully and Partially – For fourteen outcomes, two substantiators responded. In two cases, both substantiators fully agreed with the description, significance and contribution of the counterpart. In the other twelve one agreed fully and one partially with the description, significance or contribution.	12
Partially Substantiated – The person "partially agrees" with the description significance or contribution of the counterpart but "fully agrees" with the others.	21
Not Substantiated – The person "disagrees" with the description, significance or contribution of the counterpart.	3
Unsubstantiated – For one reason or another the evaluators could not communicate with the person recommended by the counterpart.	46
Total	112

While understandably there were significant differences from one counterpart to another, together the 38 Aim 1 portfolio and Aim 4 portfolio counterparts who continue to have a funding relationship with GloPro report that their outcomes correspond to virtually all the essential *assumptions* behind the draft theories of change. Furthermore, we clearly see that largely counterparts have generated outcomes and policy and practice changes in all the principal categories of *results*. (See the Excel file with Annex 8, Annex 9 and Annex 10).²⁶

²⁵ It was not exactly half of the 196 total because not all counterparts had an even number of outcomes and in a few cases outcomes were withdrawn because of the issue of confidentiality.

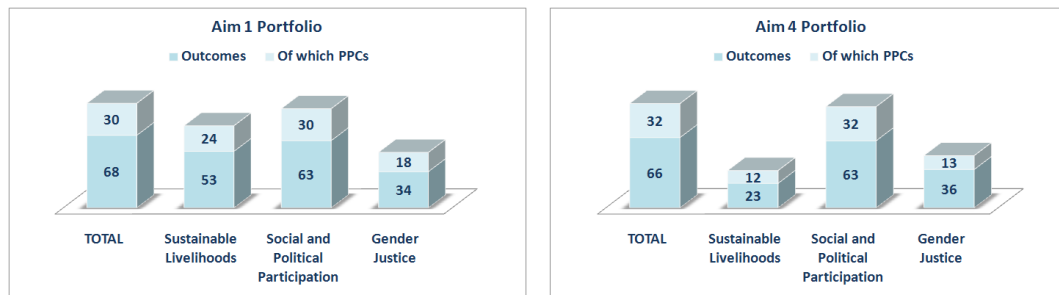
²⁶ **N.B.** The Excel file that contains these three tables plus an overall tabulation of all findings from counterparts has an interactive feature. By clicking on the outcome numbers you can go back and forth to the titles of the outcomes.

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In the following sections we examine separately the findings for Aim 1, Aim 4 and Gender Justice. Here we look at the overall patterns.

We analysed the 196 outcomes and policy and practice changes from the perspective of whether GloPro considers the counterparts who contributed to them to be a part of its Aim 1 Portfolio or the Aim 4 portfolio of counterparts (Figure 4). Counterparts in both portfolios were equally prolific in contributing outcomes to Sustainable Livelihoods, Social and Political Participation and Gender Justice,²⁷ reporting a little over 5 outcomes each, a third of which are PPCs (Annex 7). In sum, the 38 GloPro counterparts have contributed significant outcomes, including PPCs, to the overall results that GloPro desires in Aim 1, Aim 4 and Gender Justice.

Figure 4: Summary of outcomes, including PPCs, achieved by Aim 1 portfolio and Aim 4 portfolio counterparts



Significance of counterparts’ outcomes at different levels

In this section, we answer the fourth evaluation sub-question: What is the (potential) significance of these achievements at different levels: local, national, multi-national, regional, global?²⁸

Each one of the 196 outcomes includes an explanation of their significance to potentially play a role in a) food and income security, b) employment based livelihoods, trade and markets, c) social and political participation or d) gender justice (Annex 7). Their individual importance is impressive. We found, however, that the GloPro theories of

Table 3: Significance of GloPro counterparts’ outcomes at different levels

Levels of incidence	Levels on which the social actors protagonists of the 196 outcomes operate		Level on which the change had or will have an effect	
	Outcomes	Of which PPCs	Outcomes	Of which PPCs
Local	31	2	55	12
National	52	15	53	19
Multi-National	38	10	29	11
Regional	33	10	32	10
Global	69	28	79	30

N.B. The total is more than 196 outcomes because some have social actors operating on more than one level or with effects on multiple levels or both.

²⁷ We did the analysis based on the classification of the 196 outcomes correspondence to the results categories of the three theories of change done by us – i.e. and not on the assumptions classification done by counterparts.

²⁸ “Local” is understood as community or provincial. “National” is within the nation-state. “Regional” is two or more nation-states that are in geographical region, “Multi-national” involves two or more national states in different regions. “Global” is the level at which governance arrangements are multi-lateral and multi-regional.

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change did not enable us to identify patterns or processes amongst clusters of outcomes and thus interpret the collective changes, their significance or counterparts' contributions.

Therefore, the most that can be said about the outcomes' collective significance concerns the level at which the change occurred and at which level it has had or may have impact. In the following chapters on the findings for the Aim 1, Aim 4 and Gender Justice, we exemplify using other conceptual frameworks. Here we analyse the significance of the 196 outcomes, including the PPCs, from the angle of where did the change occur and who stands to benefit (Table 3).

First, we identified the level on which the social actor protagonist (or antagonist) of the change works or operates (Figure 5). For example, take outcome # 2: "In 2007, more than half of the members of the European Parliament sign a written declaration calling for investigating and remedying the abuse of power by large supermarkets operating in the European Union." Here the social actor – the European Parliament – is a regional actor.

Second, we made a judgement about the level at which the change had or would have an effect (Figure 6). We strove to be conservative and focus on the primary, immediate effect and not on the intention or the potential. Thus, in this same example, the effect of the European parliamentarians' call for an investigation and action on the abuse of power was explicitly regional although potentially it could have repercussions in other regions – that is globally – as well because the measure could effect extra-regional operations of the transnational supermarkets and other governments may be inspired to follow suit.

Expectedly, some outcomes were more difficult to categorise. For example, outcome #1: "In 2005 members of civil society organizations (CSOs) from Asia, Africa, Latin America, North America and Europe agree to form a co-ordinated response to agribusiness corporate power in major regions of the world." Here the social actors – the CSOs – were national actors but we considered the effect of their agreement on a co-ordinated response to agribusiness corporate power in major regions of the world to be not only national but multinational, regional and global as well.

Figure 5 shows more graphically the spread of social actors that GloPro counterparts have influenced, from the local to the global level. In sum, the categorization is our best judgement.

Figure 5: Social actors influenced to change by GloPro counterparts

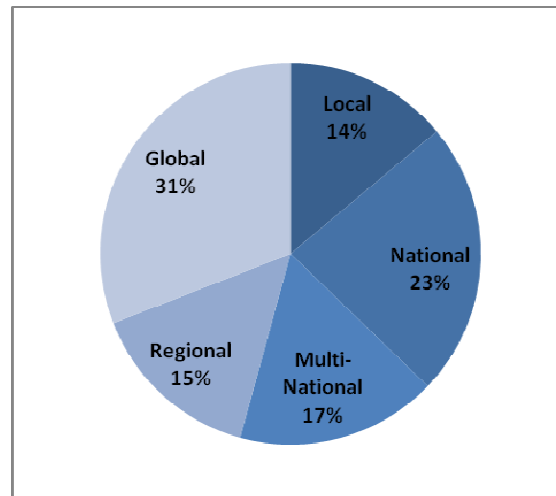
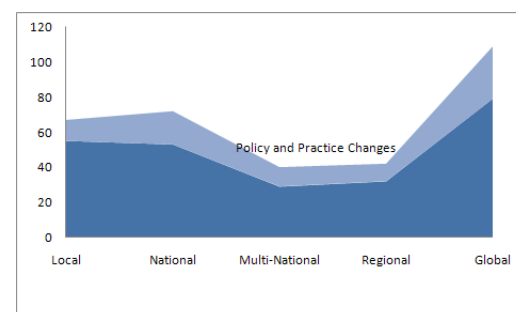


Figure 6: Incidence of outcomes by level of effect



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What we find is that the GloPro counterparts are having an effect through outcomes on all five levels. Expectedly, the largest portion – about a third – of social actors that GloPro counterparts influence are global, but the remaining two thirds are fairly evenly grouped on the local, national, multi-national and regional levels. We suggest there is a heavier incidence on the national level than the local because GloPro counterparts do not tend to operate locally. Also, the greater incidence on the national compared to the other extra national levels is probably due to the greater number of national social actors compared to the multi-national or regional.

The potential effect of the changes that GloPro counterparts have influenced also spread across the different levels, except that the potential of the outcomes to have an effect on the local level is considerably higher. Said another way, you do not have to operate locally to have impact locally. Here there is an interesting tendency for there to be more policy and practice changes as the incidence moves from the local to the global level (Figure 6). When the incidence is at the local level, PPCs comprise 22% of the outcomes. This rises at the national and multi-national levels, dips at the regional and then rises again to 38% of total outcomes at the global level.

Counterparts connecting their work at different levels

In this section we answer the seventh evaluation sub-question: To what extent have counterparts been able to maximize results by connecting their work at different levels: local, national, multi-national, regional, global? The agreed criteria in the evaluation design (Annex 3) for “maximising results” is that counterparts explicitly mention that they a) connected their own work or b) worked with others to influence social actors operating at the community, national, regional or global levels.²⁹ Therefore, here we examine two sets of findings. One regards the levels that counterparts reported that they themselves worked to achieve outcomes. A second refers to the levels on which counterparts worked with other social actors in order to achieve outcomes.³⁰

Regarding the first, GloPro Aim 1 and Aim 4 portfolio counterparts report working on multiple levels – an average of 2.5 or of the 5 levels per outcome – when generating outcomes and policy and practice changes. The Aim 1 portfolio counterparts report more outcomes on all levels except the local, where the Aim 4 portfolio counterparts achieved a few more outcomes working on that level. In both cases, their work spreads from the local to the global. Also, their work at the national and global levels is more frequent but by no means dominates important work also carried out at the local, regional and multi-national levels.

Equally significant, virtually all counterparts reported co-ordinating with other social actors and also on the five levels of intervention to achieve their outcomes and PPCs. (See Table 4.) In one aspect the pattern of cooperation was different from that in which they carry out their own work: regional cooperation was greater than collaboration at the local level.

²⁹ This is an admittedly soft measure of “maximising results”. Nonetheless, Oxfam Novib and the evaluators agreed that there was neither time nor resources to compare the results achieved through working on the one, two, three, four or five levels and make a judgement on whether or not by connecting their work at different levels they achieved the most and best results.

³⁰ A third set of findings concerns more specifically to what extent counterparts co-ordinated with Oxfam Novib or the other Oxfams. This will be covered in the Chapter on Evaluation Question # 3 – To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?

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Table 4: Significance and connections of outcomes

Levels	SIGNIFICANCE				CONNECTIONS			
	A. Social actors who are protagonists of the 196 outcomes operate		B. Level on which the outcome had or will have impact		C. Levels at which counterparts report they themselves worked to achieve outcomes		D. Levels at which counterparts report working with other social actors to achieve outcomes	
	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs	Outcomes	Of which PPCs
Local – understood as community or provincial.	31	2	55	12	82	23	104	30
National – within a nation-state	52	15	53	19	122	40	153	49
Multi-national – two or more national states in different regions.	38	10	29	11	96	34	92	36
Regional – involves two or more national states in the same region	33	10	32	10	67	28	117	41
Global – multi-lateral and/or multi-regional	69	28	79	30	134	48	133	53

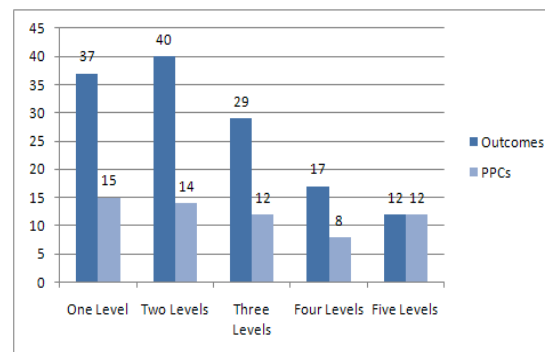
These findings about the co-ordination of counterparts with other social actors do correspond to GloPro's theories of change in which two strategies aim at supporting counterparts who work with other organisations:

- The Aim 1 ToC directly refers to 'support direct campaigning allies of Oxfam'.
- Aim 4 is broader: 'support a diversity of counterparts who work in alliance with others', which of course includes the Oxfams.

In any case, we suggest that a measure of maximising results can also be to compare the outcomes with the PPCs that counterparts worked on at the different levels. First, all counterparts except one report they worked at more than one level to achieve their most significant outcomes and PPCs. This does not mean, however, that each counterpart always worked on multiple levels or on the same levels.

One quarter of the 196 outcomes were influenced by the counterpart working on only one level (Figure 7). Nonetheless, there is an interesting correlation between the greater the number the levels at which the work is connected, the greater the number of PPCs relative

Figure 7: Outcomes and PPCs by number of levels at which work was done



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to outcomes. Thus, when working on only one or two levels, counterparts report roughly 2 PPCs per 5 outcomes, whereas when they work on four levels there is 1 PPC for every 2 outcomes and when working at five levels, the ratio is 1:1. This suggests that the more levels a counterpart works on there will tend to be more PPCs achieved relative to outcomes, or that after having achieved several outcomes, in order to achieve a PPC, a counterpart needs to connect its work on other levels.

Conclusions

Here we draw general conclusions regarding the evaluation question 1 and its fourth and seventh sub-evaluation questions.

1. *To what extent have counterparts achieved outcomes and contributed to PPC's in 2005-2009?* Three dozen counterparts identified almost two hundred outcomes including dozens of policy and practice changes contributing to sustainable livelihoods, social and political participation and gender justice. .
2. *What is the (potential) significance of these achievements at different levels: local, national, regional, multi-national, global?* In the process, GloPro counterparts are influencing change in social actors from the local to the global levels. The effects of the changes to which GloPro partners contribute also range from the local to the global, but with relatively more at the global level, especially in the proportion of PPCs to total outcomes. Nevertheless, and perhaps most importantly, while a third of the incidence of GloPro is concentrated at the global level, two thirds of the social change achieved is spread over regional, multi-national, national and the local levels.
3. *To what extent have counterparts been able to maximize results by connecting their work at different levels: local, national, regional, multi-national, global?* A majority of GloPro's counterparts report that they have worked individually and with other social actors, including the Oxfams, at the local, national, regional, multi-national and global levels to generate outcomes. Furthermore, a majority of counterparts report that they coordinated this work at the five different levels but also report successfully working alone on those levels. That is, there are outcomes, including PPCs, at all five levels. Lastly, there is evidence that the more levels a counterpart works on, the higher the proportion of PPCs in the outcomes achieved.

In this chapter on general findings regarding outcomes we do not have any recommended points for discussion. In the next three chapters we look individually at findings for outcomes and theories of change for Social and Political Participation, Sustainable Livelihoods and Gender Justice. We begin with Aim 4 because in GloPro this Aim corresponds closely to the overall ToC explained above.

IV. Getting Results: Strengthening the voice of marginalized people through promoting democratic principles and practices in global governance arrangements³¹

Introduction

In this section, we answer two sub-evaluation questions:

- Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 4?
- Which theory of change was behind Oxfam Novib's strategic positioning on Aim 4?

The section first presents the Aim 4 Theory of Change as we reconstructed it. This is followed by analysis and interpretation of outcomes using two separate, but linked, lenses. The section "Driving Outcomes: The Validity of GloPro's Aim 4 ToC Assumption" offers insights and analysis viewed through counterparts' classifications according to the *assumptions* of the ToC. In "Making Progress: Understanding Outcomes from the Perspective of Results" we look at outcomes according to how we classified them according to the *results* described in the ToC. To better illustrate the narrative, sample outcomes are included in both sections. Example outcomes are also often contained in endnotes. In "Looking Deeper: Two examples of analysis and interpretation of outcomes and PPCs", we exemplify the depth and breadth of outcomes, exploring the relationship between them and their influence on global governance arrangements. This is followed by "Conclusions and Recommended Points for Discussion".

Aim 4 theory of change

As mentioned above, the rationale about how to bring about change is implied in documentation of GloPro's aims and objectives from 2003 - 2009.³² While this documentation provides some evidence of mutually agreed upon theories, our consultation with GloPro staff led us to realise that comprehensive theories of change were not mutually agreed upon, or consistently applied during the period 2005-2009. Rather, in practice, different people in GloPro custom-designed and evolved their individual intervention logics, based on their own experience. Therefore, the draft Aim 4 but also the Aim 1 and Gender Justice ToCs, were reviewed and revised as we collected and interpreted the outcomes corresponding to the assumptions and results in each ToC.

Aim 4's SCO 4.1 on Social and Political Participation sets forth a three-part social change objective of "marginalized people achieving their civil and political rights; having an effective voice in influencing decisions affecting their lives; and gaining the moral support and skills they need to exercise these rights".³³ The theory of change for SCO 4.1 closely

³¹ Juliette Majot took the lead in interpreting and synthesizing the findings in this chapter.

³² See Documents Related to Overall Strategy in the Annex 12 – Bibliography.

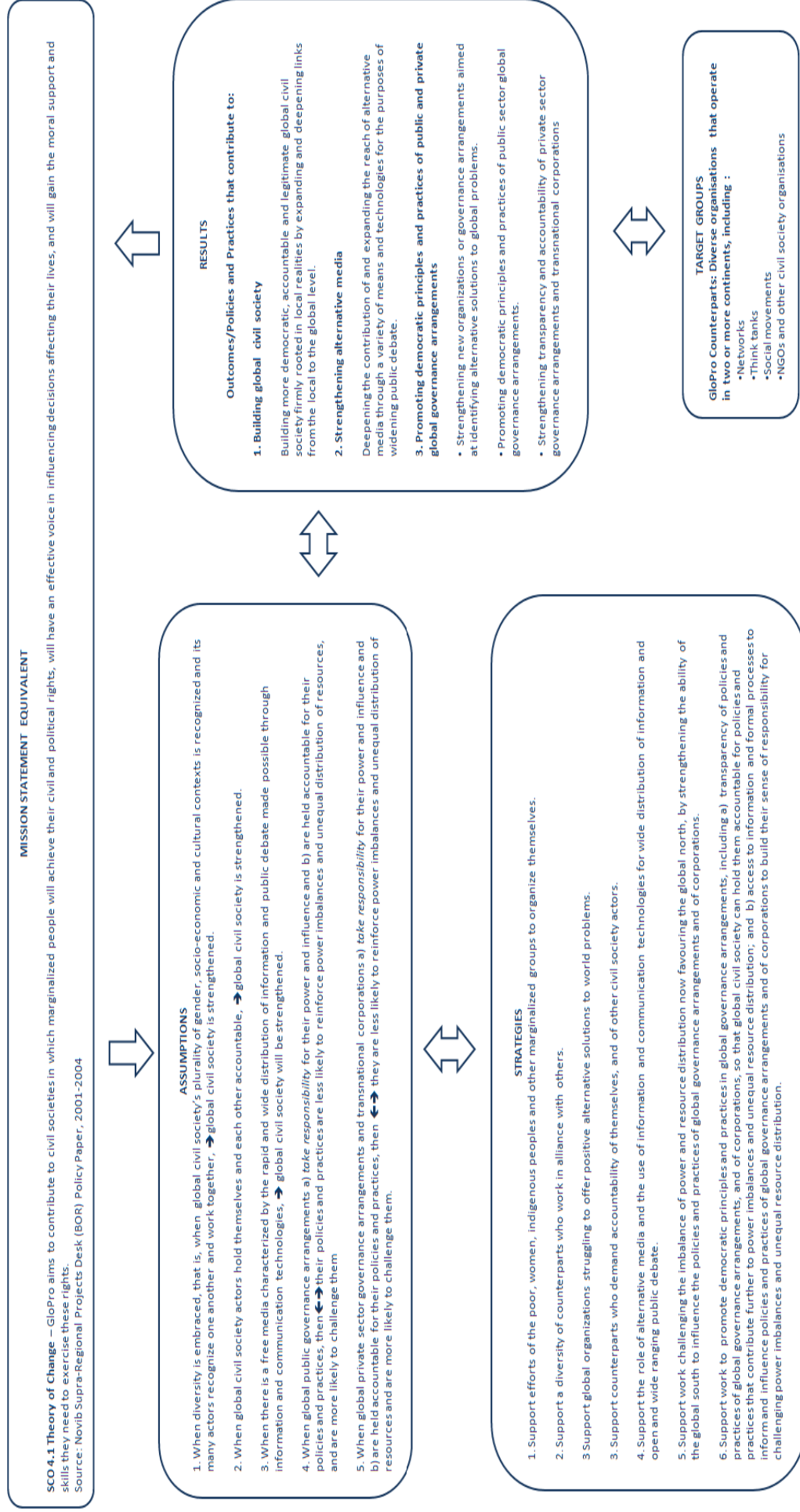
³³ Oxfam Novib's "mainstreaming" gender justice objective establishes women's right to equality as a cross cutting dimension of all Strategic Change Objectives, including that of Aim 4. Accordingly, the Gender Justice Theory of Change explains that "GloPro aims to contribute to a global civil society in which the power relationships between men and women will change and women will enjoy equal rights and equal status with men." Information relevant to gender justice in Aim 4 is in the next chapter presenting a quantitative and qualitative interpretation of Gender Justice outcomes.

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mirrors aspects of the theory of change for the overall global programme, particularly in its focus on building civil society and promoting democratic principles and practices in public and private sector governance arrangements. Consequently, many of the 196 outcomes reported by counterparts correspond to one or another aspect of the Aim 4 Theory of Change (Figure 8).

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Figure 8: GloPro's Aim 4 Theory of Change



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Driving outcomes: the validity of GloPro's aim 4 ToC assumptions

Counterparts were asked to classify each of their outcomes according to five assumptions underlying the Aim 4 ToC. (See Table 5 and Annex 9.) Ninety-two percent of GloPro counterparts' most significant outcomes in 2005-2009, correspond to social and political participation. Interestingly, with one exception – assumption 3 on a free media – the counterparts in GloPro's Aim 1 portfolio classify almost as many of their outcomes, including PPCs, in these Aim 4 categories as do the Aim 4 portfolio counterparts.

The first assumption concerns the value of diversity in strengthening civil society. This assumption is shared widely among GloPro counterparts, and half of their outcomes were reported as reflecting it. Just under a third of these are PPCs.^{III} Outcomes of GloPro counterparts demonstrate progress in strengthening civil society's exercise of civil and political rights including broadening and strengthening alliances between diverse actors; development of new strategic approaches and adoption of shared strategies; and in co-ordinated activities on multiple levels, from local to global. These outcomes contribute directly to civil society exercising its civil and political rights in a global political arena and to strengthening civil society itself.

Table 5: Outcomes classified by counterparts according to theory of change assumptions for Social and Political Participation

ASSUMPTIONS Envisioned in the GloPro Social and Political Participation Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Social and Political Participation	180	56	84	25	96	31
1. When diversity is embraced, that is, when global civil society's plurality of gender, socio-economic and cultural contexts is recognized and its many actors recognize one another and work together, global civil society is strengthened.	94	27	43	15	51	12
2. When global civil society actors hold themselves and each other accountable, global civil society is strengthened.	80	27	39	13	41	14
3. When there is a free media characterized by the rapid and wide distribution of information and public debate made possible through information and communication technologies, global civil society will be strengthened.	62	18	17	6	45	12
4. When global governance arrangements (see note) and transnational corporations take responsibility for their power and influence, then their policies and practices are less likely to reinforce power imbalances and unequal distribution of resources, and are more likely to challenge them	73	23	37	10	36	13
5. When global governance arrangements are held accountable for their policies and practices, then they are less likely to reinforce power imbalances and unequal distribution of resources and are more likely to challenge them.	90	35	42	14	48	21

Note: "Global governance arrangements" are not formally defined but refer to the mechanisms for managing global processes in the absence of a formal democratic supra-national state.^{IV}

Assumption 2 states that when global civil society actors hold themselves and each other accountable, global civil society is strengthened. These 80 outcomes and the processes leading to them are characterized by a high level of network and alliance building and by the

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importance placed on goals and strategies derived from mutually informed cooperation from the local to the global level. Outcomes include those that are highly focused on accountability within civil society itself, and some that refer to accountability to civil society by other actors.^v

Assumption 3 concerns itself with the role of free media in strengthening civil society. The free media assumption has the lowest percentage of the total outcomes, and the lowest number of PPCs, identified by counterparts as corresponding to any Aim 4 ToC assumption. Caution should be taken, however, in making quantitative comparisons and contrasts between outcomes and outcomes that are PPCs. Fewer simple outcomes and more PPCs is not necessarily positive. Often, a web of outcomes is necessary in order to generate a PPC outcome. For an example of the interconnectedness between PPC's and outcomes, see endnote VI.

RESULTS CATEGORIES:

1. STRENGTHENING GLOBAL CIVIL SOCIETY

2. STRENGTHENING ALTERNATIVE MEDIA

In 2007, the International Network of Street Papers (INSP) decides to globalise the editorial content of their local publications with international material that reflects their focus on poverty and marginalisation, and how to escape them. [124]

Significance: INSP's decision to globalize its publications is significant because of the unique nature and reach of INSP, and because the agreement meant that two communication agencies, INSP and IPS were able to provide a new information bridge between poor and marginalised peoples globally and locally by providing stories from around the world that raise the voices of the marginalised.

Through the training, both organisations have the chance to strengthen their professional journalistic expertise and deepen their direct contact with marginalised peoples. The links are truly global, sharing experiences of poverty and its alleviation South-South as well as South-North, reflecting another joint orientation of IPS and INSP.

INSP readers' surveys show a slight predominance of female readers. IPS stories are gender mainstreamed, and INSP readers benefit then from this perspective.

Contribution of counterpart: IPS first approached INSP after seeing it as a neighboring entry in a "best practice" UN poverty and MDG (Millennium Development Goals) database. IPS saw the potential of the link between the two communication agencies, particularly given the extra-ordinary outreach and local focus of INSP. INSP was, in turn, influenced to agree, because of the nature of editorial content offered by IPS, particularly IPS reporting on poverty and MDGs. Both IPS and INSP were also interested in the potential for each partner to learn from the other, and to work together to develop new editorial content, and increase overall impact.

Nine outcomes identified with this assumption include evidence of marginalized people speaking for themselves through direct participation in writing, producing, and broadcast of community radio programs or as subjects of documentary and investigative journalism.³⁸ Outcomes associated with this assumption also include those that demonstrate expansion of

³⁸ Outcomes 6, 7, 8, 35, 129, 150, 153, 164, 166.

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the role of civil society in influencing mainstream media and government decisions intended to expand media freedom.

Assumptions 4 and 5 concern public sector, private sector, and multi-sector global governance arrangements.. Advances in democratic practices of public governance arrangements are demonstrated in outcomes that describe changes in multilateral institutions such as the United Nations, International Finance Institutions such as the World Bank and the Regional Development Banks, and in regional political and economic institutions such as the European Union. In addition, changes in local and national government actors also contribute to the ability of civil society to influence effectively decisions in the global political arena. For sample outcomes, see endnote VII.

SAMPLE OUTCOME IN RESULTS CATEGORIES:

1. STRENGTHENING GLOBAL CIVIL SOCIETY

3. DEMOCRATISING PUBLIC AND PRIVATE GLOBAL GOVERNANCE ARRANGEMENTS – Promoting democratic principles and practices of public sector global governance arrangements

In 2006, the European Investment Bank (EIB) adopts a far more progressive information policy. [96]

Description: In March 2006, the EIB Board adopted a new and more progressive information disclosure policy. Like the ADB, the new policy represents a significant improvement over the previous policy, and it incorporates quite a few of the specific GTI comments and suggestions. The information disclosure policy sets out the main rules by which the public may gain access to the information held by the EIB. The new policy is far more progressive than the previous version. In particular, the new policy rests on a true presumption of disclosure, albeit still with some weaknesses.

Significance: The new policy is resulting in a greater flow of information to NGOs and other civil society organizations working on a variety of social issues, including such things as indigenous rights, human rights, women's rights, environmental protection and poverty alleviation (among others), so that they can hold the bank to account more effectively and better pursue their social goals.

Contribution of counterpart: The EIB review of its information policy ran from May 2005 to March 2006. The Global Transparency Initiative advocacy mission included several lobbying events in two parts, at the beginning of June 2005 (around the Green Week in Brussels and EIB Annual Meeting in Luxembourg) and at the end of June 2005 (around the roundtable discussion in the European Parliament in Brussels). It also prepared a detailed set of written comments on the draft policy. The roundtable benefited from the support and participation of a number of MEPs, with whom GTI members had cultivated relationships over time. One key result of the early work was that the EIB agreed to hold a second round of consultations after promulgating a new draft policy, released in October 2005. As the initial consultation process envisaged only one set of consultations, this is an important success, which relates directly to GTI advocacy. The GTI prepared a second set of comments and a second advocacy mission took place in November 2005, as part of the second round of consultations. The new EIB policy accommodates quite a few specific GTI comments and suggestions.

Advances in democratic practices of private sector governance arrangements are also evident in outcomes. Some concern improvements in accountability and transparency of transnational corporations, who essentially govern (most often non-transparently and non-democratically) by virtue of their economic power. Others are about progress toward democratic practice of and through new organizations and multi-stakeholder arrangements that include actors from the public sector, the private sector and civil society.

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In summary, the breadth of outcomes that counterparts' identified with the underlying assumptions of the Global Program's Aim 4 ToC suggests that the rationale behind the ToC is solid. The next question is does it effectively lead to results that will contribute to the Aim 4.1 SCO.

Making progress: understanding outcomes from the perspective of results

Aim 4 outcomes and PPCs contributed directly to results as envisioned in the ToC, and can be classified accordingly. As did counterparts when classifying by assumptions, we consider that well over 90% of their outcomes indicate progress towards the results envisioned in the Aim 4 ToC (

Table 6 and Figure 12).

Table 6: Outcomes classified by Juliette Majot according to indicators of progress towards the results envisioned in the GloPro Social and Political Participation ToC

RESULTS Envisioned in the GloPro Social and Political Participation Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Social and Political Participation	188	62	93	30	95	32
1. Strengthening global civil society Building more democratic, accountable and legitimate alliances of diverse actors through shared strategies or linking from the local to the global level, or both.	156	61	82	30	74	31
2. Alternative media Deepening the contribution of and expanding the reach of alternative media through a variety of means and technologies for the purposes of widening public debate.	28	5	5	1	23	4
3. Democratising public and private global governance arrangements Building new organizations or governance arrangements aimed at identifying alternative solutions to global problems.	46	15	27	8	19	7
Promoting democratic principles and practices of public sector global governance arrangements.	98	44	54	21	44	23
Strengthening transparency and accountability of private sector governance arrangements and corporations.	81	29	52	15	29	14

Viewed from the perspective of the Aim1 and Aim 4 portfolio counterpart outcomes, a picture emerges of counterparts nearly equally contributing outcomes to Aim 4 ToC results. The Aim 1 portfolio counterparts' outcomes are consistently slightly higher in number than those of the Aim 4 portfolio outcomes. There are two exceptions: In promoting accountability and transparency of private sector governance arrangements the gap widens, with 52 Aim 1 portfolio outcomes compared to 29 Aim 4 portfolio outcomes. In addition, in strengthening alternative media, Aim 4 portfolio outcomes number 23 compared to only 5 Aim 1 portfolio outcomes.

Strengthening global civil society. The 156 outcomes demonstrate changes occurring through the *practice* of influencing global governance arrangements, as different types of civic actors organize and reorganize themselves, they broadened and strengthened alliances of diverse actors, co-ordinating efforts from local to global levels. In addition to outcomes

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primarily concerned with changes in civil society actors, descriptions of the processes leading to an additional 122 outcomes (primarily concerned with informing public debate through alternative media, and democratizing public and private governance arrangements) make explicit references to one or more aspects of strengthening civil society, including building and expanding alliances of diverse sets of actors, sharing strategies, co-ordinating activities, and strengthening links from local to global levels.

Global civil society, which in one way manifests itself in alliances and social movements of diverse actors, approaches global governance arrangements as a complex system of institutions and associational models. This system is made up of local and national representational governments, inter-governmental institutions, international finance institutions, industry associations and multi-stakeholder mechanisms that include the public sector, private sector, and civil society. That global civil society views and addresses “a system” is demonstrated in the multiple level focuses, and multiple level approaches taken in advocacy. This is demonstrated in outcomes that immediately identify multiple governance arrangements at once concerned with issues in common, such as recognition of indigenous peoples and the importance of adequate benefit sharing within international REDD [Reducing Emissions from Deforestation and Forest Degradation in Developing Countries] mechanisms by the World Bank, UNEP, FAO and UNEP. It is also demonstrated in recognition of influence between and among outcomes at multiple levels, including the most local, to the most global. Thus, GloPro counterparts have, through both practice and their contributions to PPCs, successfully worked in the public interest, thereby strengthening civil society's voice in participatory governance at the global level. They also demonstrate the significance of incremental improvements in recognition of democratic principles and practices won at multiple governance levels. These include changes in policies related to recognition of rights, as well as transparency and accountability in both private and public sector arrangements.

Strengthening alternative media: Twenty-nine outcomes demonstrate informing public debate through media outside mainstream official and commercial radio, television, printed and virtual channels. (While these outcomes usually also contribute to strengthening civil society through the strengthening of an enabling environment, they are distinct enough to be considered on their own.) Many more outcomes make quick reference to or imply the use of mainstream and alternative media in the process leading to a given outcome. However, they do not contain enough evidence to classify them as contributing directly to the strengthening alternative media.

Democratizing public and private global governance arrangements: The outcomes under this broad classification are divided into three sub-categories of governance arrangements. The lines between them are not always absolute, and in fact, a number of arrangements are hybrids (see endnote VIII) that include private and public sector actors.

Building new organisations or governance arrangements aimed at identifying alternative solutions to global problems. These 46 outcomes represent many types of associational models, including new CSO alliances; inter-agency partnerships with a high level of multilateral agency participation plus some civil society participation, such as the Global Task Force on Child Labour and Education;^{IX} independent not-for-profit certification bodies, such as the Forestry Stewardship Council;^X and professional associations with specific policy interests. These arrangements often set out to develop a shared set of standards or goals among multiple stakeholders and to apply rules through self-regulation. Compliance is encouraged through certification processes, market pressure, or the reputational risk associated with non-compliance.^{XI}

SAMPLE OUTCOME IN RESULTS CATEGORIES:

1. STRENGTHENING GLOBAL CIVIL SOCIETY

**3. DEMOCRATISING PUBLIC AND PRIVATE GLOBAL GOVERNANCE ARRANGEMENTS –
Building new organizations or governance arrangements aimed at identifying alternative
solutions to global problems**

In 2007, Wilmar Trading admitted compliance failures to the Roundtable on Sustainable Palm Oil (RSPO) and in 2007-2008 took remedial action. [72]

Significance: RSPO is a not-for-profit association that unites oil palm producers, palm oil processors or traders, consumer goods manufacturers, retailers, banks and investors, environmental or nature conservation NGOs and social or developmental NGOs - to develop and implement global standards for sustainable palm oil. Wilmar's subsidiaries in Indonesia were acting illegally in clearing and burning forests and taking over lands without community consent or due compensation in order to establish oil palm operations. These activities contravene the RSPO standards in which Wilmar is a member. Wilmar is now in the process of reforming its procedures to respect land rights of the communities through removing communities' lands from its concession areas or through compensation.

What is also important is that through this case IFC became more aware of the negative impact of their financing role in this sector. In 2009, the audit of IFC's CAO revealed serious compliance failures by IFC. Sustained pressure via the CAO led to the unprecedented decision of the World Bank Group president to suspend funding for the palm oil sector.

The audit showed that the IFC's due diligence procedures (i.e., application of its Environmental and Social assessment procedures and its 'Performance Standards') must also be applied to the full supply chain of commodities and not just to the activity or facility being funded (i.e., IFC standards apply to the wider implications). This outcome has major implications for the IFC financing of other sectors apart from oil palm.

The suspension of funding by IFC has shaken the palm oil sector around the world and has implications for a large group of private banks which (claim to) adhere to the IFC standard, such as those following the 'Equator Principles'.

These developments have not yet led to any apparent national policy reform although this, together with the outcomes regarding CERD and the RSPO (above), could build up into legal gains and reforms.

Contribution of the counterpart: In 2007, FPP raised concerns with the World Bank's private banking institution, the IFC, regarding its funding of Wilmar Trading. After the IFC failed to provide a meaningful response, FPP and Sawit Watch, supported by 20 Indonesian and international civil society organizations, filed detailed complaints with the IFC's Compliance Advisor and Ombudsman (CAO) calling for remedial action for the negative impacts of this investment. The work involved a major mobilisation of Indonesian indigenous and civil society groups and was carried out as a joint action, albeit led by FPP because of its long experience in international advocacy related to the World Bank Group.

The process led to an intensive series of meetings involving the CAO, local communities, local NGOs, and top officials of the IFC. The case involved the simultaneous use of several conflict resolution tactics and showed the effectiveness of concerted local action, detailed research to validate local complaints, the use of official complaints and accountability procedures, and recourse to the law. This sustained pressure, which led to FPP and partners filing a second complaint to the CAO in 2008, eventually led to IFC getting one of its most damning audits ever, which showed severe compliance failures. The follow up work is ongoing.

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The very “newness” of many arrangements, however, means that in many cases there is not yet sufficient evidence to demonstrate the extent of their embrace of democratic principles and practices, or the extent to which their governing practices contribute to, or detract from strengthening the voices of marginalized people.

Promoting democratic principles and practices of public sector global governance arrangements. Almost one hundred outcomes demonstrate results in this category. One way to look at them is exemplified in the box below.

Strengthening the transparency and accountability of private sector governance arrangements and transnational corporations. Eighty-one outcomes correspond to this category.³⁹ Outcomes marking progress in transparency and accountability in the business community include steps toward codified regulatory practices and increased recognition by transnational corporations⁴⁰ of labour rights.

SAMPLE OUTCOME IN RESULTS CATEGORIES:

1. STRENGTHENING GLOBAL CIVIL SOCIETY

3. DEMOCRATISING PUBLIC AND PRIVATE GLOBAL GOVERNANCE ARRANGEMENTS – Strengthening transparency and accountability of private sector governance arrangements and corporations.

In June 2006, a number of leading commercial banks revise and subsequently adopt an improved version of the Equator Principles. [13]

Significance: The Equator Principles are ‘a financial industry benchmark for determining, assessing and managing social & environmental risk in project financing’. The primary motivation for banks to adopt the EPs is to advance their capacity to assess and manage all risks that are material to the performance of the proposed loan. Such risks can be financial, client related, political, reputational but also related to the social and/or environmental impact of a proposed project. Better risks assessment and management leads to better loan performance. There is therefore a business case for dealing with such effects.

The voice of civil society organizations contributed to improving the EPs in a number of ways; the scope was expanded (all deals above 10 million US\$, also advisory services included), limited reporting requirements established and the establishment of a grievance mechanism was required for all high impact projects. However, the Principles were not strengthened to the extent that CSO's interventions called for. Specifically, changes in the Principles did not include independent accountability mechanisms, or a commitment to full project level transparency.

Contribution of counterpart: BankTrack was instrumental in bringing the Equator Principle Finance Institutions (EPFIs) to agree on the consultation process.⁴¹ This was possible because of previous engagements with EPFIs, which led to a sufficient level of trust between both parties. BankTrack also convened fellow NGOs with specific expertise on the areas covered by each performance standard so they could provide their points of view to the conference calls, wrote the position paper and asked them to endorse the position paper.

³⁹ Transparency refers to the extent to which civil society has access to the information necessary to make informed and effective interventions. Accountability speaks to the level of responsibility for actions taken by private sector governance arrangements and transnational corporations.

⁴⁰ Among them Gap Inc, Levi Strauss, and Wal-Mart.

⁴¹ In cooperation with the NGO co-ordinator (Andrea Durbin) responsible for ensuring civil society input in the IFC process

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Here too, outcomes include changes in relatively new multi-stakeholder processes that create shared goals and call for self-regulation or voluntary compliance to a set of standards or best practices.^{XII} For example, the Equator Principle Financial Institutions are private banks that voluntarily agree to a set of standards for assessing and managing social and environmental risk in project finance.^{XIII}

In sum and in short, here again there is ample evidence that counterparts generously contributed outcomes to the results envisioned in the Aim 4 Theory of Change, this time from the angle of results.

Looking deeper: two examples of analysis and interpretation of outcomes and PPCs

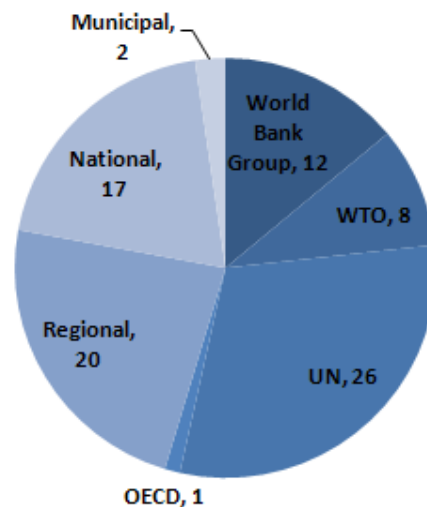
As we did for Aim 1, we now exemplify how the mapping and clustering of outcomes can broaden and deepen analysis and interpretation. This aims to demonstrate how GloPro outcomes, taken together, contribute – partially, indirectly, and even unintentionally – to marginalized people achieving and exercising their civil and political rights. This exemplification is intended to provide guidance for a useful analytical approach to “mining” the veritable wealth of information in the full Annex 6 with the 196 GloPro outcomes in 2005-2009.

We choose the sample outcomes from the 98 outcomes in the category of *promoting democratic principles and practices of public sector global governance arrangements*. We first consider five outcomes (including 2 PPCs) from five counterparts, occurring at different levels.⁴² We then exemplify how these outcomes together suggest a pattern of change showing successful promotion of democratic principles and practices of two global governance arrangements: the United Nations and the World Bank.

The first step in our analysis was to classify the 98 outcomes according to whether the principal actor of the outcome was an actor at the local (municipal), national, regional, or global level (Figure 9).^{XIV}

For our first example (Table 7), we choose the municipal level decision in Mumbai to decline to hand over the city's water supply to private operators. This was the result of a process strongly grounded in local civil society, (particularly women and the poor). The decision by the Mumbai municipality was a result of shared analysis, strategies

Figure 9: GloPro counterparts' Aim 4 government actor outcomes



⁴² The outcomes used for this exemplification were chosen because they illustrate well how decisions at different levels can ultimately promote democratization of public sector global governance arrangements. This analytical approach can usefully be applied to myriad outcomes involving various global public governance arrangements.

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and action between civil society at multiple levels. It also directly addressed practices of the World Bank.

Table 7: Analytical mapping of a sample of GloPro counterparts' outcomes that contribute to promoting democratization of public sector global governance arrangements

OUTCOMES AND PPCS <i>PPCs are in bold italics and [the outcome number is in brackets]</i>	Outcome level	Social actor who changed	Social actors who influenced the change	Other levels of interaction
Since 2007, the Municipal Corporation of Greater Mumbai has declined to hand over Mumbai's water supply and management to a private operator. [58]	Municipal, provincial or state government	Mumbai municipality	Citizens groups and organizations including those of the poor and women	General public in Mumbai
<i>In 2005, Mexico establishes a landmark precedent for the application of national freedom of information laws to the activities of international institutions. [98]</i>	National government	Government of Mexico	National and international environmental NGOs and networks	Similar campaigns in Argentina, Bulgaria, Slovakia and South Africa
<i>In July and September 2008, the Environment and Industry Committees of the European Parliament voted to reduce the proposed 10 per cent target for the use of biofuels in transport and to introduce tougher safeguards and led to an EU law that scaled back the use of biofuels.[61]</i>	Regional governance arrangements	European Union	International environmental network and national parliaments in France, Hungary, the Netherlands, Spain and the UK	International campaign in 35 countries
On September 11, 2009, the United Nations ad-hoc working group on the economic and financial crisis meets for the first time, inaugurating a new era in global governance. [156]	Global governance arrangement	United Nations	International NGO and US social movements	None
In April 2009, a Yemeni organization submitted the first complaint ever from the Middle East and North Africa region to the World Bank's Inspection Panel challenging its government and the World Bank and questioning the World Bank translation policy. [29]	Global governance arrangement	Yemen Observatory for Human Rights [YOHR]	International NGO	None

Processes leading to regional governance outcomes are informed by and often intend to influence policy debates ongoing at the national and global levels. This was the case when the European Parliament reduced its targets for bio-fuels derived from agricultural commodities, called for a mandatory review of its bio-fuels targets in 2014, and instituted sustainability criteria for the assessment of bio-fuels. The outcome signalled the Parliament's recognition of the potential for violations of land rights and the negative impacts on food sovereignty when taking action on the less-than-adequately informed support of bio-fuels production^{xv} this outcome further informed bio-fuels policy debates taking place at the level of some European governments and the World Bank and the United Nations.^{xvi}

The next outcome is an example of a national governmental decision which effectively introduces the concept of accountability of a global institution to the national laws of one of its member states.. In this case, in 2005, the government of Mexico established a landmark precedent for the application of national freedom of information laws to the activities of international institutions.

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The next two outcomes are at the level of a global governance arrangement. The first concerns the first meeting of the UN Ad-hoc Working Group on the Economic and Financial Crisis held in 2009. The working group arose from a consensus document produced at the June 2009 UN High Level Conference on the Financial and Economic Crises. What became known as the "G192" consensus blamed the crisis explicitly on the countries and policies that originated it; called for a debt standstill mechanism for countries in default should it be needed, and created the Ad-Hoc working group as an institutional mechanism to elaborate further an ambitious anti-crisis and economic reform agenda.

The outcome is significant because the UN has been excluded from economic and financial issues since 1982, although among international governance institutions, the UN respects a relatively higher level of democratic principles and practices than do other global governance institutions, including the World Bank, IMF, and G8. Furthermore, the G192 consensus "explicitly legitimized gender analysis, introduced the idea of environmental limits to the economy, and identified the poor in general, the poor in poor countries and women in particular as the most affected by a crisis they had not responsibility in creating. It thus paves the way for their interests not to be further ignored in the shaping of anti-crisis policies."

Second, in April 2009, a Yemeni organization submitted the first complaint ever from the Middle East and North Africa region to the World Bank's inspection panel. The panel is an independent accountability mechanism charged with investigating claims of World Bank policy violations in its practices and projects. The claim, which was brought by the Yemeni organization after hearing of the possible violation through an NGO based in Washington DC, challenged both the Yemeni government and the World Bank regarding violations of translations policies, a crucial component of adequate information disclosure. As the counterpart explains: *"This is the first time a civil society group from the MENA region has challenged its government through World Bank's Inspection Panel, a huge step in a region where holding officials accountable is difficult for many political and historical reasons."*^{xvii}

In sum, this mapping of five sample outcomes, including two PPCs, by five GloPro counterparts suggests how they are intentionally contributing to a broad process of change. Through promoting democratic principles and practices in local, municipal and state governments, national governments and regional governance arrangements, two global governance arrangements were influenced. The principal characteristics of this process are

- Changes in the national Yemeni NGO YOHR, the Mumbai municipality, the government of Mexico and in the European Union on diverse issues brought pressure to bear on the World Bank.
- Changes in actors at the regional level of the European Parliament effectively informed debate at the national governance level of some European countries, and at the global governance level at the UN.
- Creation of a new institutional mechanism at the UN to elaborate on solutions to the financial and economic crisis opened a new area of governance dialogue there, as well as offering potential for greater participation of the poor and women in identifying solutions.
- The processes of change were influenced by different social actors – local citizens groups, national social movements, national parliaments and national and international NGOs – operating locally, nationally and internationally.

Lastly, consider the implications of multiplying these five outcomes by the 86 outcomes involving government actors at the municipal, national, regional and global levels. When that

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calculation is made, the *breadth* of GloPro's contribution to promoting democratic principles and practices of public sector global governance arrangements emerges.

The *depth* of the change demonstrated by the GloPro outcomes can also be exemplified by examining outcomes pertaining to just one government actor – the World Trade Organisation. We shall demonstrate how these outcomes form a web of change that contributed significantly to promoting democratic principles and practices of public sector global governance arrangements (Table 8).

Eight outcomes, including three PPCs, by seven counterparts influenced the policies and practices of the World Trade Organisation. These outcomes consist of changes in behaviour, relationships or actions of the WTO director general, the WTO secretariat and negotiators and ministers from the 148 WTO member countries. They demonstrate how GloPro counterparts over the 2005-2009 period contributed to a pattern of changes with potential positive effects for farmers, peasants and poor producers, including women, in developing countries around the world. It is quite a story.

Beginning in 2005, a GloPro counterpart helps influence the World Trade Organization (WTO) secretariat to increase significantly its transparency in multilateral trade negotiations. This action by the secretariat sets the stage for international NGOs to engage with the 2005 Hong Kong Ministerial Conference and influence a WTO declaration with two key protections for poor countries, which also enhances the negotiating power of developing countries. A year later, three GloPro counterparts influence the suspension of WTO's Doha trade negotiations, towards which a fourth counterpart had also been working. A half a year later, yet another GloPro counterpart facilitates a breakthrough initiative by the WTO director-general. By 2008, the WTO negotiators succumb to the mounting pressure from developing countries, supported by coalitions of civil society organisations from developed and developing countries, including a GloPro international NGO. In sum, the Doha round is indefinitely suspended benefitting developing countries industries and agriculture.

Table 8: Eight outcomes and PPCs from seven GloPro counterparts influencing changes in the WTO

OUTCOMES AND PPCS PPCs are in <i>italics</i> and [the outcome number is in brackets]	Social actor who changed	Social actors who influenced the change	Levels of interaction	Potential effect
Beginning in 2005, the World Trade Organization (WTO) secretariat significantly increases its transparency in multilateral trade negotiations. [101]	WTO secretariat	International NGOs	WTO member country trade ministers, WTO officials and the media	Greater trust between NGO community and both the WTO secretariat and the community of WTO diplomats.
In 2005, in Hong Kong, the Ministerial Conference declaration includes a proposal for two key protections for developing countries; one, the ability to identify special products for shelter from broader tariff reductions, and the other, a special safeguard mechanism to protect economies from import surges. [104]	World Trade Organisation's ministers from 148 countries	International NGOs	Hong Kong meeting and developing countries members of the WTO	Developing countries' negotiating power
In July 2006, the World Trade Organisation (WTO) announced that the WTO negotiations would be indefinitely suspended. [53]	World Trade Organisation's ministers from 148 countries	Civil society coalitions, social movements and NGOs from around the world	Hong Kong meeting and national government members of the WTO, regional blocs of WTO members	Developing countries' economies
In July 2006, the World Trade	World Trade Organisation's	Social movements	Hong Kong meeting and Brazil, European	Biodiversity and millions of the

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OUTCOMES AND PPCS PPCs are in italics and [the outcome number is in brackets]	Social actor who changed	Social actors who influenced the change	Levels of interaction	Potential effect
Organization's Doha trade negotiations were suspended: a failure of the corporate lobby that intended to use the WTO to completely liberalize trade in forest products, fisheries and minerals. [64]	ministers from 148 countries	and environmental networks from all over the world	Union, India, Indonesia, the Philippines, South Africa and the USA	world's poorest people
<i>In July 2006, developing country trade ministers resist pressure from EU and US trade representatives to sign up to a new global trade agreement under WTO Doha Round, which they said would hurt their own economies without further concessions on agricultural subsidies by rich countries.</i> [165]	Trade ministers from developing countries	Media NGO and Oxfam International contact points Brazil, India, Indonesia, Kenya, the Philippines and Zambia	Hong Kong meeting and trade ministers from Brazil, India, Indonesia, Kenya, the Philippines and Zambia	Developing countries indigenous agricultural, dairy and textile producers and the poor employed by them, including women
In February 2007, the WTO Director General, UNEP Executive Director and Environment Ministers call for greater synergy between the trade and environment regimes at UNEP 24 Governing Council. [108]	WTO director general	International NGO	UNEP Executive Director, WTO Director-General, Italian Minister for Environment and Kenyan Minister of Trade; trade and environment communities	Greater co-operation WTO-UNEP
<i>In 2008, the WTO Doha Round that would have negative impacts for developing countries was slowed down and effectively halted.</i> [173]	World Trade Organisation's negotiators from 148 countries	International network	Coalition of CSOs from developing and developed countries.	Sustainable development of millions of farmers and domestic industries of many developing countries
<i>Since 1999, the WTO negotiators are in a deadlock and so far the Doha round cannot be concluded.</i> [130]	World Trade Organisation's negotiators from 148 countries	International networks	Mass organizations, peasants, activists and social movements; FAO, World Social Forum	Stable food production for domestic markets, the rural poor including most vulnerable groups such as women and children.

Conclusions and recommended points for discussion

We conclude by answering directly, in the light of the findings, the two evaluation questions.

Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 4?

1. Virtually all GloPro counterparts have contributed to outcomes and policy and practice changes that correspond to multiple assumptions and diverse results envisioned in the Global Programme's Theory of Change. Said another way, the counterparts have made significant contributions to processes of change that plausibly may contribute to the ability of "marginalized people to achieve their civil and political rights; have an effective voice in influencing decisions affecting their lives; and will gain the moral support and skills they need to exercise these rights". Viewed from the perspective of the Aim 1 and Aim 4 portfolio counterpart outcomes, a picture emerges of both portfolios nearly equally contributing outcomes to Aim 4 ToC results.
2. Outcomes demonstrate the strengthening of global civil society through the actual *practice* of influencing global governance arrangements, and through the incremental

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improvements in recognition of democratic principals and practices won at multiple governance levels. Many of these changes contribute to an enabling environment, and are therefore best considered as necessary interim outcomes on the path to realizing the ultimate objective of marginalized people achieving their civil and political rights.

3. In the public sector, municipal, national, regional, and global level actors are represented in 98 outcomes that contribute to changes at the global governance level. The outcomes demonstrate the breadth of GloPro's contribution to promoting democratic principles and practices of public sector global governance arrangements.
4. At least 46 outcomes demonstrate participation in new organizations and governance arrangements to address global programs, including multi-stakeholder associational models that include private sector, public sector and civil society actors. The very "newness" of many arrangements, however, means that in many cases there is not yet sufficient evidence to demonstrate the extent of their embrace of democratic principles and practices, or the extent to which their governing practices contribute to, or detract from strengthening the voices of marginalized people.

Which theory of change was behind Oxfam Novib's strategic positioning on Aim 4?

5. The theory of change for SCO 4.1 closely mirrors aspects of the theory of change for the overall global programme, particularly in its focus on building civil society and promoting democratic principles and practices in public and private sector governance arrangements. (The theory is presented graphically near the top of this section.) Outcomes reflect strong association with the theory, both in terms of the extent to which they reflect the assumptions and results present in the theory.

We have questions we recommend for further discussion:

- 1) We reconstructed the GloPro Aim 4 Theory of Change with difficulty. The differences between material in the GloPro files and the views of programme officers and the outcomes were not minor. In addition, the content of the ToC changed almost year by year. Therefore, before concluding that the Aim 4 ToC we present here will be adapted or modified, we suggest you consider: ***What will be the concrete use that the ToC will serve? Who will use the ToC and for what?***
- 2) ***In what ways do the governance activities of (or relatively new) organizational models, including multi-stakeholder mechanisms that include public sector, private sector and civil society actors, contribute to an enabling environment strengthening the voices of marginalized people?*** This question requires deep analysis and this has already begun at Oxfam Novib. Relevant outcomes in this evaluation can be further classified in many ways, including by associational model structure, membership, and power analysis, effectiveness in the short term, and risks and benefits in both theory and practice.
- 3) ***What are the global political and economic contextual changes relevant to the Aim 4 theory of change?*** Political and economic changes occurring over the past five years should inform strategies for structural transformation. Placing outcomes reported in this evaluation against such a contextual analysis will provide a clearer picture of past and potential progress in increasing the ability of marginalized people to participate in decisions affecting their lives.
- 4) ***What are the changes in global civil societies' approach to media, communications, and technology over the past five years and what is the potential of these changes to contribute to marginalized people achieving their civil and political rights?*** Changes

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in information and communication technologies have been so fast and so expansive as to be nothing short of revolutionary. This change is not even minimally within the purview of this evaluation. The limitations of this evaluation should not, however, be misconstrued as underestimating the importance of alternative media to the mission of the Oxfam Novib global programme. An outcome evaluation specifically geared to defining changes in global civil society's approach to alternative media, communications, and technology would greatly benefit the Global Programme's strategic development.

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V. Getting results: Striving for sustainable livelihoods⁴³

Introduction

In this section, we address specifically these two sub-questions concerning the issues the outcomes raise concerning Aim 1 and its theory of change:

- *Which outcomes and PPCs have been achieved by the GloPro counterparts working on Aim 1?*
- *Which theory of change was behind Oxfam Novib's strategic positioning on Aim 1?*

As we did in the previous chapter on Aim 4, we will discuss and present the Aim 1 theory of change followed by analysis and interpretation using two separate, but linked, lenses. One lens looks at outcomes through counterparts' classifications according to the *assumptions* of the ToC. The other classifies outcomes according to *results* as described in the ToC. We also exemplify the relationships between outcomes and PPCs before concluding and recommending points for discussion.

How to bring about change: understanding GloPro's theory of change for Aim 1

In July and August, based on a review of Oxfam Novib's policy documents, we constructed a draft version of the Aim 1 theory of change. We identified 17 assumptions and an equal number of strategies that GloPro applied in its grant-making and alliance building with eight types of civil society organizations in order to influence outcomes and policy and practice changes in 14 categories of results. Our immediate impression was that this constituted an unmanageable theory of change. The theory contained numerous inconsistencies and was also too broad and vague to understand.

Nonetheless, we decided to use the 17 assumptions in our consultations with counterparts in an effort to help us identify clearer and more relevant ones. Following the summer holidays, we continued to work on the ToC, consulting with Gigi Manicad and Kees Kodde, the programme officers responsible for the bulk of the Aim 1 portfolio of counterparts. Furthermore, in consultation with Oxfam Novib, we decided to re-classify the outcomes using the five categories of results GloPro seeks. We then worked with the 112 outcomes formulated by counterparts that we consider correspond to these results, including 77 outcomes of the 19 counterparts in the Aim 1 portfolio. Consequently, as a result of this process we are able to suggest a more grounded construction of GloPro's Aim 1 ToC (Figure 10: GloPro's Aim 1 Sustainable Livelihoods Theory of Change,).

Having said that, we also conclude that a large number of relevant points for discussion remain regarding this theory of change.

Mission Statement Equivalent: As we did regarding Aim 4 ToC, for Aim 1 we used its two long-standing SCOs as the mission statement equivalent for the Aim ToC. We found two important inconsistencies in the original wording of SCOs 1.1 and 1.2. The first inconsistency is that the food and income security appears only in the wording of SCO 1.1. That SCO is

⁴³ Wolfgang Richert took the lead in interpreting and synthesizing the findings in this chapter.

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focussing on rural sustainable livelihoods. Not using the wording of food and income security in SCO 1.2 suggests that it is not relevant for employment-based livelihood issues. In reality food and income security and employment based livelihoods are not two objectives that can be separated from each other. Oxfam Novib's most recent policy paper on Aim 1⁴⁴ recognizes the inter-linkages between urban and rural but this is not yet reflected in the wording of the SCOs.

Second, in its original wording, only SCO 1.2 mentions trade and markets as part of this aim. One may wonder why trade and markets are not mentioned in SCO 1.1. In their striving for sustainable livelihoods, GloPro and its counterparts work on issues such as economic justice, fair trade and market (self-) regulations. This focus on market and trade issues is not limited to poor people in salaried jobs, but extends to others, such as farmers.

Therefore we changed the wording:

Original wording	Proposed ToC wording
SCO 1.1 Food and income security. People living in poverty will achieve food and income security as well as greater protection of, and control over, the natural resources on which they depend.	<i>SCO 1.1 equivalent: GloPro aims to contribute to sustainable livelihoods and related trade and markets issues in a way that people living in poverty will achieve food and income security as well as greater protection of, and control over, the natural resources on which they depend.</i>
SCO 1.2 Employment based livelihoods, trade and markets. People living in poverty will achieve access to secure paid employment, dignified working conditions, labour rights and be empowered to participate in benefit from markets.	<i>SCO 1.2 equivalent: GloPro aims to contribute to employment based livelihoods and related trade and markets issues in a way that people living in poverty will achieve access to secure paid employment, dignified working conditions, labour rights and be empowered to participate in benefit from markets.</i>

With the new wording of these two SCOs, as presented above and in Figure 10, we attempt to come to a more consistent formulation. In addition to these changes, we also suggest changing the title of SCO 1.1 from *Food and Income security* to *Rural Sustainable Livelihoods*. While this is not a crucial change, it would improve the understanding of the SCOs and therefore strengthen their value for its users.

Equally important, in fact Aim 1 ToC should have three SCOs. Although it was not amongst the documentation we received nor were we informed by GloPro, in 2008 Oxfam International decided to create SCO 1.3 addressing the challenge of climate change. Nowhere in the documentation that GloPro provided us, in the answers to surveys and questionnaires, or in interviews, was this SCO 1.3 mentioned. GloPro only informed us about the existence of SCO 1.3 in February 2010, as we were reworking the final report at the very end of the

⁴⁴ The Right to a Sustainable Rural Livelihood; Strategies, Lessons Learned and Actions (2008-2010). Oxfam Novib, March 2008. See for example table on page 17.

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evaluation process. Therefore, this issue probably should be integrated into its Theory of Change.⁴⁵

Furthermore, the issue of climate change appears in several ON/OI documents along with a number of other themes such as mining and water but nowhere is it given the same importance as the other strategic change objectives or results categories.⁴⁶ Therefore, all outcomes related to climate change are not taken into account in the interpretation of the outcomes.:

Assumptions: After examining the outcomes reported by counterparts for Aim 1 and consulting with programme officers, we reduced our original list of 17 assumptions to 9 in the Aim 1 ToC. (See endnote XVIII for the full list of the 17 assumptions.) In endnote XIX we explain the equivalency rationale for each one of the 17 assumptions that we merged into each one of the 8. The additional assumption was added after Gigi Manicad argued convincingly for a ninth that, does not, however, correspond to any one of the original 17.

Strategies: We identified 17 strategies in the policy documents that Oxfam Novib identified as relevant for GloPro in the period 2005-2008. (See endnote XX for the full list of strategies.) This dozen and a half strategies contain so many approaches for the many imaginable activities that potentially could contribute to the two SCOs that we hesitate to list them as GloPro's strategies in the Aim 1 ToC. They simply do not appear to us to be a reasonably manageable set of strategies to pursue with a portfolio of counterparts and an annual grant budget in the order of €3 million. Consider, for example, the case of microfinance. GloPro aims to make a difference by pursuing these funding strategies at the local, national, regional and global levels:

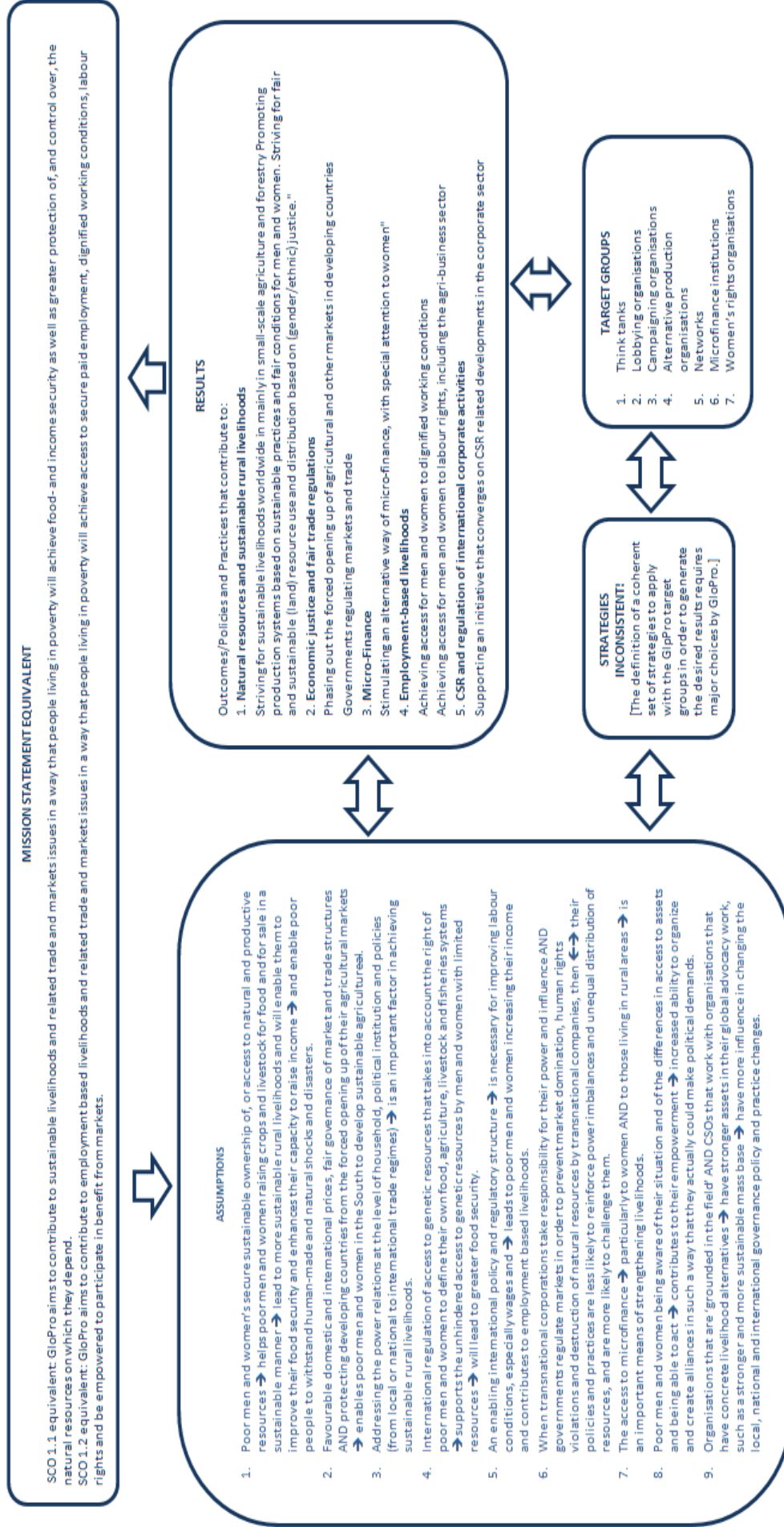
- Support alternative micro-finance with special attention to rural areas, including services such as credit, savings, insurance and remittance transfer services.
- Support alternative micro-finance with special attention to women, including services such as credit, savings, insurance and remittance transfer services.

⁴⁵ SCO 1.3: "People living in poverty will be less at risk from the impact of climate change and have an effective voice in reducing related inequality and achieving energy equity."

⁴⁶ For example in Oxfam Novib's *Global level; Strategic Plan 2007-2010* in the section that discusses the strategy of *Addressing conflicts over natural resources* as part of Aim 1, climate change is mentioned right next to water scarcity and extractive industries.

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Figure 10: GloPro's Aim 1 Sustainable Livelihoods Theory of Change, 2009



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In 2005-2008, GloPro funded with around €600,000 per year two counterparts involved in microfinance. INAFI received € 2,235,000, over 90% of these funds, and the second highest grant of the 38 counterparts. INAFI's goal was to:

“(1) Fully roll out the social impact measurement project (SIM-project) with Oxfam Novib and the Dutch software company Ordina; (2) Remittances, linking microfinance and migration to development; (3) Micro-insurance; (4) Food security and rural finance. (5) Gender mainstreaming is a cross-cutting theme in all of INAFI's programmes and is also a specific programme. In all these thematical areas, INAFI seeks to work towards establishing the MDG's.”⁴⁷

The Impact Consortium, based in the Institute of Development Studies Sussex, England has six partners around the world⁴⁸ and was given a €70,000 grant to disseminate the products of its global action-based research programme to improve the quality of microfinance services and their impact on poverty.⁴⁹

As laudable as is the work of the two counterparts as demonstrated by their outcomes,⁵⁰ we simply regard it unreasonable to consider that there is a coherence between the two stated GloPro strategies and what GloPro actually did in the area of microfinance in 2005-2009. That is, even the relatively large commitment of GloPro funds committed basically to one counterpart in pursuit of such an ambitious strategy – to support alternative micro-finance at the local, national, regional and global levels, and with special attention to rural areas and women, and including services such as credit, savings, insurance and remittance transfer service –, is either an overstatement of what you intended to do or a lack of commitment to that strategy. This is just one example why we refrain from identifying any of the strategies that appear in the GloPro documentation and internal discourse.

Target groups: In the GloPro documentation there are numerous categories of target groups. After consulting with GloPro programme officers and after analysis of the outcomes, we identified seven categories of GloPro Aim 1 counterparts. However, they do not correspond with the categories GloPro uses in its classification system.

Results: We identified 14 categories of results in the policy documents. (See endnote XXI for the full list.) We found that most of these are related to four key elements of SCO 1.1 that we identified. These are in our view: *Pro-poor sustainable land use*, *Pro-poor resource use*, *Conflicts over natural resources* and *Related market and trade issues*. Only one result solely focuses on employment-based livelihoods (SCO 1.2). In our process for identifying results for the ToC, we found Oxfam Novib's policy documents to be less than specific about which results they aim to achieve. When results were defined, they were often vague, general, and open to multiple interpretations.⁵¹ In the case of results that were specifically defined– such as water scarcity or the focus on the extractive industries – our findings do not show that

⁴⁷ See Annex 1 – , page 15.

⁴⁸ CARD Mutually Reinforcing Institutions, EDA Rural Systems, Freedom from Hunger (FFH), the Institute for Development, Evaluation, Assistance and Solutions (IDEAS), the Microfinance Centre for Central & Eastern Europe and the New Independent States (MFC), and the Microfinance Council of the Philippines (MCPI).

⁴⁹ Ibid, pages 17-18.

⁵⁰ See Annex 7 – Most Significant Outcomes Reported by Oxfam Novib Global Programme Counterparts for 2005-2009, COMPLETE.

⁵¹ For example: 'Promoting and practising production systems based on sustainable practices and fair conditions for men and women' or 'Striving for fair and sustainable (land) resource use and distribution based on (gender/ethnic) justice.'

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counterparts achieved outcomes in these areas leading to patterns of progress. Consequently, we whittled the results down to five areas that have been targeted over the years and which in the light of the outcomes are the most relevant. This is probably not a complete picture and therefore the results component of the ToC should also be carefully reviewed by GloPro.

Driving outcomes: the validity of GloPro's Aim 1 ToC assumptions

Using 8 of the 9 assumptions⁵² in the ToC for which we were able to obtain counterparts' insights on their relevance to their outcomes, Table 9 gives the overview of the 167 outcomes that correspond to the assumptions underlying the Aim 1 ToC according to the classifications by Aim 1 portfolio counterparts and Aim 4 portfolio counterparts. We also present separately the amount of PPCs in each category. (To see how each individual outcome was classified, see Annex 9.) Interestingly, counterparts in the Aim 4 portfolio consider that they contributed almost as many outcomes with these Aim 1 assumptions as the counterparts in the Aim 1 portfolio.

The first assumption concerns the issue of control over and access to natural resources. According to the classifications by the counterparts, 106 of the 167 outcomes contributing to sustainable livelihoods correspond to this assumption. Almost a third of the 106 outcomes are PPCs. Except for the eighth assumption, this is the highest number of outcomes corresponding to one of the assumptions.

Table 9: Counterparts classification of their outcomes according to the theory of change assumptions for Aim 1

ASSUMPTIONS Envisioned in the GloPro Sustainable Livelihoods Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Sustainable Livelihoods	167	52	87	27	80	25
1. Poor men and women's secure sustainable ownership of, or access to natural and productive resources helps poor men and women raising crops and livestock for food and for sale in a sustainable manner which leads to more sustainable rural livelihoods and enables them to improve their food security and enhances their capacity to raise income and enables poor people to withstand human-made and natural shocks and disasters.	106	33	56	20	50	13
2. Favourable domestic and international prices, fair governance of market and trade structures AND protecting developing countries from the forced opening up of their agricultural markets enables poor men and women in the South to develop sustainable agriculture.	37	8	25	4	12	4
3. Addressing the power relations at the level of household, political institution and policies (from local or national to international trade regimes) is an important factor in achieving sustainable rural livelihoods.	69	17	44	11	25	6
4. International regulation of access to genetic resources that takes into account the right of poor men and women to define their own food, agriculture, livestock and fisheries systems supports the unhindered access to genetic resources by men and women with limited resources leads to greater food security.	15	7	10	4	5	3

⁵² As explained above, the ninth was added later.

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ASSUMPTIONS Envisioned in the GloPro Sustainable Livelihoods Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
5. An enabling international policy and regulatory structure is necessary for improving labour conditions, especially wages and leads to poor men and women increasing their income and contributes to employment based livelihoods.	41	17	27	9	14	8
6. When transnational corporations take responsibility for their power and influence AND governments regulate markets in order to prevent market domination, human rights violations and destruction of natural resources by transnational companies, then their policies and practices are less likely to reinforce power imbalances and unequal distribution of resources, and are more likely to challenge them.	47	16	28	8	19	8
7. The access to microfinance particularly to women AND to those living in rural areas is an important means of strengthening livelihoods.	21	2	16	2	5	0
8. Poor men and women being aware of their situation and of the differences in access to assets and being able to act contributes to their empowerment increased ability to organize and create alliances in such a way that they actually could make political demands.	111	32	50	15	61	17

These outcomes demonstrate that GloPro counterparts are contributing in many different ways to positive changes regarding control and access to natural and productive resources. The majority of outcomes, including policy changes, do not directly address the premises of the assumption, namely that poor men and women's secure, sustainable ownership of, or access to natural and productive resources, help them raise crops and livestock for food and for sale in a sustainable manner, enabling them to improve their food security, enhancing their capacity to raise income and enabling them to withstand human-made and natural shocks and disasters. Instead, the bulk of outcomes contribute to indirect changes on higher and policy related levels that are of strategic significance and that indirectly will or can lead to improved livelihoods in rural areas. These policy changes are related to the position of local communities, smallholders, indigenous peoples and peasants; to companies and governments that are challenged in the way they treat natural resources; and to the rights of affected people. (See the randomly selected examples in endnote XXII.) In sum, the counterparts were fairly liberal when classifying outcomes as corresponding to this assumption.

The other outcomes corresponding with this first assumption include a minority that directly improve livelihoods in rural areas. (A number of relevant examples are in endnote XXIII.)

The second assumption concerns the issue of economic justice. The 37 outcomes that are identified with this assumption represent about one fifth of all the 167 outcomes. Eight of them are PPCs. Twice as many are reported by Aim 1 portfolio counterparts as by Aim 4 counterparts. In this case, the outcomes do address both premises of the assumption because they challenge neo-liberal policy and corporate strategies in all parts of the world, strongly related to (the power of) large-scale agriculture but also in other sectors.

Many outcomes that counterparts classified as corresponding with this assumption they also report corresponding with the first assumption, and with the sixth assumption that concerns transnational corporations and so-called Corporate Social Responsibility policies.

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The third assumption addresses power relations at all levels in order to achieve sustainable rural livelihoods. A large number of the 69 outcomes, including the 17 PPCs, in this category also reportedly correspond to the second assumption, economic justice.

The fourth assumption is very specific and addresses the regulation of access to genetic resources. The 15 outcomes corresponding to this assumption range from changes regarding stopping further introduction of genetically modified organisms, pesticides use and bio-safety to a wide range of other policy issues related to people's rights and economic justice. Half are PPCs.

The fifth assumption is the one assumption that specifically reflects GloPro's thinking regarding SCO 1.2. Five counterparts in the Aim 1 portfolio but also four in the Aim 4 portfolio classify 41 outcomes as corresponding to this assumption, of which 14 are PPCs. A closer look at these outcomes shows that only 17 of the 41 outcomes directly and evidently correspond to employment-based livelihoods or related trade and market issues.^{xxiv} Furthermore, another 16 of these 41 outcomes only correspond indirectly to this assumption.^{xxv} We consider that the other eight do not correspond at all. Said another way, roughly 10% of the outcomes reported by counterparts corresponding to Aim 1 assumptions, correspond to one of the two SCOs that GloPro declares as its mission.

The seventh assumption concerns stimulating alternative microfinance. As with genetic resources, this is a very focused assumption but in contrast only ten percent of the outcomes are PPCs.

The eighth assumption has the largest amount of corresponding outcomes. It deals with awareness raising and poor men and women's ability to act contributing to their empowerment. Aim 4 portfolio counterparts report the majority of the 111 outcomes, which could be expected since the content of this assumption overlaps strongly with Aim 4. Three quarters of these 111 outcomes also correspond to one or more of the other assumptions underlying Aim 1 ToC. This means that counterparts consider their outcomes correspond to a broad range of Aim 1 assumptions. The other quarter of the outcomes demonstrate that GloPro's counterparts contribute to changes regarding increased transparency, such as in global governance arrangements, or awareness raising through community radios. Many of these also contribute to Aim 4 ToC assumptions. An interesting group of outcomes identified as corresponding only with this assumption, are six (of the eight) outcomes reported by Maquila Solidarity Network. These outcomes correspond directly to workers' rights and employment based livelihoods. Most of them are on individual factory level but present significant precedents that can and are used in the policy arena.

In summary, the fact that counterparts' identified their outcomes with the full breadth of underlying assumptions of the Aim 1 ToC suggests that the rationale behind the ToC is ample. On the other hand, the assumptions are clearly not conceptually parallel – some are much more specific than others. Also, they are not sharply distinct conceptually, with considerable overlap in meaning from one to another. Thus, the interpretation of the significance of the outcomes for the assumptions of the Aim 1 ToC is difficult. This by no means is to say that the outcomes in themselves are insignificant. Rather, the question is whether GloPro has a solid, coherent set of assumptions.

In order to answer the question whether the outcomes effectively lead to results that contribute to the Aim 1 SCOs, in the next section we try to understand the outcomes from the perspective of results.

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Making progress: understanding outcomes from the perspective of results

In order to present a different perspective, we also classified the outcomes, including the PPCs, in relation to categories of results for Aim 1 as shown in Table 10. (See Annex 9 to see how each individual outcome was classified.)

As mentioned above, we only took into account direct contributions – not the potential – of an outcome to a result.⁵³ For example, an outcome that contributes to CSR related results generally also corresponds to sustainable livelihoods (rural or employment-based) because any improvement of CSR policies or practices is meant to contribute to sustainable livelihoods and thus to the given result categories 1 or 4. That effect is indirect, however, and therefore outcomes that contribute to the CSR result category are not also marked as contributing to the result category 1.⁵⁴ This way we aimed for one outcome to correspond to only one result category since this would give a clearer picture of its primary effect. Nonetheless, since the GloPro results categories overlap and some outcomes are multi-faceted, one outcome can correspond to two or perhaps three of the result classifications in Aim 1.

Table 10: Outcomes classified by Wolfgang Richert according to the results envisioned in the GloPro Sustainable Livelihoods ToC

RESULTS Envisioned in the GloPro Sustainable Livelihoods Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Sustainable Livelihoods	112	36	77	24	35	12
1. Natural resources and sustainable rural livelihoods Striving for sustainable livelihoods worldwide in mainly in small-scale agriculture and forestry Promoting production systems based on sustainable practices and fair conditions for men and women. Striving for fair and sustainable (land) resource use and distribution based on (gender/ethnic) justice.	53	17	38	14	15	3
2. Economic justice and fair trade regulations Phasing out the forced opening up of agricultural and other markets in developing countries Governments regulating markets and trade	39	12	28	8	11	4
3. Micro-Finance Stimulating an alternative way of micro-finance, with special attention to women	12	1	12	1	0	0
4. Employment-based livelihoods Achieving access for men and women to dignified working conditions Achieving access for men and women to labour rights, including the agri-business sector	18	4	14	1	4	3
5. CSR and regulation of international corporate activities Supporting an initiative that converges on CSR related developments in the corporate sector.	44	15	31	10	13	5

⁵³ Classifying outcomes more broadly would make little sense methodologically because it would not help interpret the results.

⁵⁴ An exception is made for changes in companies' CSR practices that directly contribute to sustainable (rural or employment-based livelihoods). Two examples are outcome 18, which reports that the private bank ANZ withdraws from investing in a paper mill in Australia, and outcome 143 about Wal-Mart demanding union supporters be re-installed at a factory in the Philippines.

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General findings: The stricter criteria for this classification led to considerably fewer outcomes contributing to Aim 1 results than to assumptions. The percentage of PPCs does not change: about one-third of the outcomes are PPCs. In addition, applying this results lens to counterparts' outcomes distinguishes the contributions of Aim 1 portfolio counterparts from those of Aim 4. In contrast to the classification according to assumptions classified by counterparts themselves, from a results perspective in the classification executed by the evaluators, Aim 1 portfolio contributes twice as many outcomes as does the Aim 4 Portfolio to Sustainable Livelihoods results.

It is noteworthy that 3 of the 19 counterparts in the Aim 1 portfolio did not report outcomes that contribute to any of these Aim 1 result categories. They did however report outcomes that correspond to aim 4 (see page 17).

Natural resources and sustainable rural livelihoods: The 53 outcomes represent numerous changes in favour of control and access to natural resources, more sustainable production practices and other contributions to sustainable rural livelihoods. Relevant issues in which changes are achieved are challenging agricultural power, food sovereignty, stopping further introduction of genetic modification, the palm oil sector, the timber and pulp and paper sector, tree plantations, bio-fuels, extractive industries and mining, indigenous peoples rights, peasants, intellectual property rights, land rights and the delivery of clean energy.

There are a range of outcomes that, taken together give an impressive picture about how deforestation and the consequent undermining of the livelihoods of local communities were being tackled from different angles by the counterparts: strengthening rights of local communities, restricting illegal imports in the EU, litigation at human rights courts, resisting liberalization of forest products, challenging the conversion of forest into agriculture, such as palm oil and bio-fuels expansion.⁵⁵

It is in the nature of this category that many of the changes take place on the local level although a large number are precedent-setting or breakthroughs with spin-off opportunities. Several counterparts demonstrate how to link those local/national changes to global developments and vice versa. See, as a sample, outcome 48 in the box below.

**SAMPLE OUTCOME IN RESULTS CATEGORY:
NATURAL RESOURCES AND SUSTAINABLE RURAL LIVELIHOODS**

In December 2008, the European Council and European Parliament excludes forests in the revision of the European Emission's Trading Scheme Directive (ETS), thereby strengthening the Directive's influence on actual CO2 emission reduction. [48]

Significance: Carbon trading alone cannot lead to the level of reduction of GHG emissions that are required by the IPCC, i.e. 80 to 90 per cent by 2050. The inclusion of forests in the ETS would have offered companies and governments with reduction requirements further opportunities to offset rather than actually reduce their emissions. On top of this, it would have set the scene for carbon trading being part of a forest climate agreement under the Kyoto Protocol, which is being negotiated at this moment (August 2009).

⁵⁵ See outcomes 18, 22, 23, 42, 44, 45, 69, 70, 71, 72, 74, 76, 77, 94, 193, 194, 195, 196 plus the outcomes regarding bio fuels (see last section in this chapter) and many outcomes on economic justice (see next paragraph).

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Forest credits are a controversial issue because whilst some believe they offer the opportunity to receive money for forest protection, others, including FERN, say that valuing forests without a clear definition that excludes plantations and ensures the rights of forest dependent people would do more harm than good. It could lead to a land grab as well as to a large increase of plantations at the expense of natural forests. Furthermore it would take the responsibility away from countries in the North to reduce their emissions as they can simply 'offset' them by 'protecting' forests. Science has already shown that if the EU and others fail to reduce their own emissions, global warming will go beyond three to four degrees, leading to an environment in which forests simply can't survive. For forests to be protected, negotiators need to look beyond sources of money into how to deal with the direct and underlying causes of forest loss.

Contribution of counterpart: FERN had initially worked on the issues surrounding the problems of using forests and plantations to offset fossil fuel releases and had seen success in that the European Commission clearly indicated that there were dangers in including forests in the ETS.

What we had not expected however was that various NGOs would successfully lobby the Parliament to include forest credits in the ETS. We were caught on a back foot therefore when Parliament amendments to the Commission proposal including the inclusion of forests were adopted by the full Parliament in 2008. FERN then realised that the battle had not been won and helped create a wide coalition of European NGOs to inform the Parliament and Council of the reasons that forests should remain outside of the ETS.

The Council was divided on the issue, but well targeted information sent by FERN, jointly with Greenpeace, Global Witness, Friends of the Earth, Rainforest Foundation and others convinced the Council that the inclusion of forests would be premature at best and hence the Council negotiated with the Parliament to delete the Parliament's amendment.

Economic justice and fair trade regulations: The majority of the 39 outcomes relate to changes in the same areas as mentioned in the previous category but represent more changes by actors on the global level. In addition, national and global changes regarding the issue of trade policies are reported as well as on land grabbing, procurement criteria (for timber) and water privatization. The outcomes on the WTO, that were exemplified in the previous chapter on Aim 4 and that had quite an impact on global political level, in fact are largely outcomes achieved by Aim 1 portfolio counterparts.^{XXVI}

These outcomes demonstrate that counterparts have linked local issues to national, multi-national or global levels. While a large part of the outcomes are identified as policy or practice changes (PPCs) or otherwise represent tangible changes in regulations,^{XXVII} other outcomes reported on the global level are intentions only. See examples in endnote XXVIII, which indicate how difficult it is to make governments regulate markets and achieve economic justice. The sample outcome below shows how the issue of land grabbing is put on the international policy agenda by one counterpart.

SAMPLE OUTCOME IN RESULTS CATEGORY: ECONOMIC JUSTICE AND FAIR TRADE REGULATIONS

At the end of 2008, the FAO, the World Bank, IFPRI, IIED and IFAD started recognizing that the new global wave of agricultural land acquisitions in poor countries by foreign companies and governments can be a serious problem and must be regulated. [94]

Significance: If foreign corporations take control of agricultural land that is now in the hands of local communities, the poor are likely to lose their livelihoods and suffer more hunger. Currently, over 20 million of hectares of land have already been signed away, mostly in food insecure countries in Africa, but also in Asia and Latin America. The 'landgrabbers' include many of the Gulf States governments,

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China, and Japan, but especially important are investment and finance companies from Europe and the USA who now consider land as a valuable commodity to invest in.

While falling short of what could be seen as real solutions, the reactions from the international institutions at least acknowledge that there is a serious problem with the new land-grabbing wave, with potentially profound negative impacts on local food security. The tremendous media coverage of the GRAIN briefing across the world, has helped to raise public awareness on the issue, and has allowed many of the stakeholders to get themselves involved in policy discussions on the issue.

Contribution of the counterpart: A GRAIN briefing is at the basis of the process to recognize the problem⁵⁶. This report that was published in October 2008 is a political analysis of the situation based on GRAIN's own field research, monitoring of the national and international media, and direct collaboration with partners in the South.

GRAIN's report on land-grabbing was covered in all the major international media (BBC, the Guardian, Le Monde, El Pais, Al Jazeera, etc.) and in many media at the national level in the South. All the studies and reports of the international agencies mentioned, acknowledge the contribution of GRAIN in getting this issue analysed and discussed. GRAIN's follow up work in monitoring the developments through its farmlandgrab.org website, is widely used and is a main source of information on what is going on, and what is being done about it.

Microfinance: These 10 outcomes, all reported by Aim 1 portfolio counterparts, demonstrate the development of different types of alternative microfinance, including innovative micro-insurance, investment of credit in income-enhancing activities, improved access to financial services to the families of migrants back home, mainstreaming microfinance and improving social performance management. In the box below is an example of the development of an alternative microfinance product: insurance to low-income and vulnerable populations.

SAMPLE OUTCOME IN RESULTS CATEGORY:

MICRO-FINANCE

In 2007, 12 microfinance institutions (MFIs) in 11 countries of Asia, Africa and Latin America expressed their willingness to run insurance programs and offer insurance products and services to low-income and vulnerable populations. [118]

Significance: Innovative micro-insurance helps clients deal with risks and vulnerabilities with a sustainable impact on their lives. Building the capacities of member institutions will allow them to put in place adapted micro-insurance products and services designed to better satisfy the various needs of their poor and low-income clients. Capacity building efforts for member organisations have generated a lot of interest and facilitated the promotion of micro-insurance in member organizations.

Contribution of the counterpart: INAFI's contribution in this field was made through its regional and national chapters in Asia essentially. INAFI Bangladesh organized a national conference on micro-insurance, which allowed member organizations to get a clear picture of micro-insurance at the national and global level and its importance for both clients and practitioners. As part of these activities, the network has been building capacity, helping to design products, conducting advocacy for the promotion of micro-insurance products implemented by NGOs/MFIs and mainstreaming insurance companies in Asia. Furthermore, INAFI International overall played an active role in the organization of micro-insurance-related workshops and facilitation of training sessions in conjunction with partners such as ADA, BRS and GTZ. Finally, in 2009, and in order to help the 12 MFIs get funding to run their micro-insurance program, the international secretariat of INAFI based in Dakar drafted a *Micro-insurance Initiative for Poverty Reduction Proposal* which was submitted to potential global donors.

⁵⁶ <http://www.grain.org/nfg/?id=610>.

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Employment-based livelihoods: 18 outcomes represent different types of defence of labour rights and achieving access for men and women to dignified working conditions. The changes defending labour rights took place on the level of individual companies in the textile industry in Mexico and in two other countries.^{XXIX} Often they set precedents that have been used in other cases, too. Other outcomes have influenced the position and representation of informal workers^{XXX} and children^{XXXI}. Other improvements of labour rights are in the palm oil industry, the timber and the mining sector and the beginning of the institution of an unemployment fund by the Palestinian Authority.^{XXXII}

SAMPLE OUTCOME IN RESULTS CATEGORY:

EMPLOYMENT-BASED LIVELIHOODS

STRENGTHENING GLOBAL CIVIL SOCIETY

Since 2006, child advocates establish networks of children and youth against child labour in India, Nepal and Bangladesh.

Description: Following the Second Children's World Congress on Child Labour and Education in Delhi, in September 2005, between 12-20 children and adolescents in India, Nepal and Bangladesh formed Children's Networks. The composition of the children's network is different in countries. In South Asia it follows the local governing body 'Panchayat' from village to national level. In US, it is at the school level, through student clubs. Generally, the range is between 12-20 members per children's group. The networks include former children labourers, children who were out of school, child leaders who have worked on their communities on the issues of child labour and education. These children are either selected or elected in the communities to become part of the children's groups. Their activities vary, but have included participation and mobilisation of schools and communities for action programmes like Global Action Weeks and World Day Against Child Labour; and organization of awareness events like painting or poetry competitions in schools. Children selected by their networks have participated in mass awareness campaigns like the South Asian March Against Child Trafficking. Other accomplishments include:

In India and Nepal, children's networks help in creating "child friendly villages" – model villages with no child labour and all children in schools.

Have selected representatives for participation in UNESCO's High Level Meetings, EFA, G8, and European Union meetings.

Met with Executive Directors of UNICEF and UNDP; Senior Vice President and German Director of the World Bank, and people from other UN agencies, following a hearing on Capitol Hill with Hillary Clinton and others in 2006.

Additionally, a global network called Children's Reference Group with 15 elected participants from the Children's Congresses in Florence 2004 and Delhi was formed by 14 countries.

Significance: The children's network in the countries and globally represent the voices, demands and aspirations of the children to the world. In countries, the children's network begins at the village by working to monitor the various government and civil society initiatives to combat child labour and provide education for all. At the national level, the children's network bring the concerns from the villages to the policy makers and agents. The global children's reference group culls the national concerns and brings it at the international policy level. These networks periodically provide input on child participation and leadership to the International Secretariat of Global March. The networks created at the Second World Congress provide regular input to the Secretariat and keeps child advocates and leaders in close contact with the Global March. Their opinion is sought on various Global March activities, especially where child participation is involved. The Children's Network forms a reference point for Global March to include the child's voice in all its planning, campaigns and activities. It also helps Global March to document its processes in a child friendly manner. The children's network and the child representatives are the best spokespersons for Global March and the call to end child labour, speaking from their experiences of the exploitative conditions and the transformation that they have undergone post withdrawal/rescue from the child labour situation. In sum, the children's networks are a policy tactic as well as a policy gain for the Global March.

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Contribution of the counterpart: The children's networks emerged out of the two Children's World Congresses in Florence in 2004 and Delhi in 2005, organised by Global March. The process of selection of the child participants started at the country level through the various workshops, training sessions and meetings that were conducted by the Global March national coordinators. The children selected from the countries came to the global congresses, where again through a process of workshops, sessions and election, the core groups of children were selected. The Children's reference group emerged out of these sessions. For the in-country children's networks a similar process was undertaken at the country level. The Congresses saw the participation of more than 500 children from over 60 countries. Organised as a platform to facilitate genuine child participation and leadership on the issues of child labour and education, it was participated by former child labourers, children formally out of school, child leader and activists. The children sessions designed in each Congress facilitated maximum participation of the children and created space for election of the children to form the children's drafting committee which drafted the Congress communiqué as well as lead to the formation of the children reference group. At the national level, through grassroots level elections children's networks were created. Further, school groups and clubs were created in US and registered online with the www.knowchildlabor.org and a toolkit was developed to define their roles and responsibilities in child labour elimination and promoting education.

Each of these outcomes in itself represents a significant change, either on the local level or at the global level. For example, see the box above with the outcome through which children's networks in three countries are formed that are based in the communities and that represent the voices, demands and aspirations of the children to the world. Only a few outcomes, however, make a link between different levels.

CSR and regulation of international corporate activities: Forty-three of the 44 outcomes also correspond to the results categories Natural resources and sustainable rural livelihoods, Economic justice and fair trade regulations, Employment-based livelihoods and/or to Aim 4 result category Strengthening transparency and accountability of private sector governance arrangements and corporations. Thus, the significance of these outcomes is already discussed. An example of a significant outcome that contributes to this results category, as well as to natural resources and sustainable rural livelihoods, is in box below presenting the Federal High Court of Nigeria's order that gas flaring must stop in the Niger Delta Iwherekan community because it violates guaranteed constitutional rights to life and dignity.

Additional observations on GloPro Aim 1 results: In our analysis of the outcomes, we found that two important result categories were missing: three outcomes solely contributing to greenhouse gas emission reductions^{xxxiii} and eight outcomes demonstrating changes in capital flows^{xxxiv} could not be classified. For climate change, OI and therefore also GloPro have a new SCO since 2008. The issue of capital flows, we consider as a missing element in GloPro's Aim 1 theory of change. Capital flows are as important as product flows in their influence on livelihoods worldwide. Many capital flows, whether from private banks or from public financial institutions such the World Bank or regional development banks, contribute to unsustainable practices and threaten sustainable livelihoods or food security. Other capital flows are meant as solutions, such as micro-finance and development aid. Except for micro-finance, none of these capital flows are explicitly integrated in the result categories. Changes in policies or practices of private banks' investments are classified in the CSR related result category but changes by public banks are not part of any of the result categories and therefore could not be taken into account.⁵⁷

In sum, parallel to the previous chapter on Aim 4 outcomes, here is ample evidence that counterparts have achieved changes relevant for the results in the Aim 1 theory of change.

⁵⁷ GloPro's work on better aid falls within the Aim 2 work, which falls outside of the scope of this evaluation.

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Many of these outcomes are fascinating to read, they tell interesting stories and a whole book could be written about more than one of them. The richness and diversity of the outcomes makes reading them an interesting and rewarding exercise.

Having said that, we also observe that in category after category outcomes are spread over a large number of issues and are achieved through a wide variety of strategies. Consequently, we could not identify a large extent of synergy⁵⁸ between them.

In addition, the relationship between the individual achievements within an issue is often unclear. For example, consider the four outcomes that pertain to the mining sector. One reports an important development for artisanal mining producers, mainly in South America, who take the initiative and create their own production and marketing system. Another in Guatemala reports that 500,000 people participate in consultations on mining, oil and dam projects. Then there is a successful campaign to have an environmental award withdrawn from a mining-company in South-Asia. Finally, media coverage of the mining sector changed the understanding of the impacts of that sector in Mali, Senegal and Niger. Certainly, all are important achievements as far as they go but we cannot see that the overall effect of GloPro supported action in the mining sector is greater than the sum of the parts.

SAMPLE OUTCOME IN RESULTS CATEGORIES:

1. NATURAL RESOURCES AND SUSTAINABLE RURAL LIVELIHOODS
5. CSR AND REGULATION OF INTERNATIONAL CORPORATE ACTIVITIES

On 14 November 2005, the Federal High Court of Nigeria ordered that gas flaring must stop in the Niger Delta Iwherekan community as it violates guaranteed constitutional rights to life and dignity. [62]

Significance: Gas is often found mixed with crude oil and must be separated. Burning the gas, known as gas flaring, is the cheapest way to do this, yet also the most environmentally destructive. It acidifies lakes and streams and damages crops and vegetation. It also increases the risk of respiratory illnesses, asthma and cancer, and can cause painful breathing, itching, blindness, impotency, miscarriages and premature deaths. It also has global impacts: gas flaring is a major cause of climate change. About 13 percent of the global flaring is originated in Nigeria. The greenhouse gas emissions through gas flaring are put at 400 million tons of carbon dioxide equivalents yearly. It's also a waste of a valuable commodity. While nearly three-quarters of Nigerians live in extreme poverty, Nigeria loses US\$2.5 billion every year through flared gas. It's unsurprising, therefore, that gas flaring is a major factor in the tension and conflicts raging in the Niger Delta region.

Yet companies such as Shell have refused to put a stop to gas flaring in the Niger Delta, even though it has been illegal in Nigeria since 1984. Most people in the region are (still) poor fishermen and women and farmers, unable to stand up to multi-billion dollar corporations. Under pressure of Shell and the other main gas flaring oil companies operating in their country, the Nigerian government has failed to enforce its ban on gas flaring initially set for 1969.

The Federal High Court ruling pushed the issue of gas flaring high up in the agenda for policy-makers and the public, both in Nigeria and internationally. The oil spill and gas flaring cases, even though it

⁵⁸ "Synergy" in the sense of a cooperation or collaboration in which the total effect is greater than the sum of the individual effects.

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still continues, have succeeded in putting Shell under a global spotlight, and forced the corporation to reveal at least some information about its operations in Nigeria. Furthermore, communities across the Niger Delta – including those that are not directly affected – have gained confidence in their ability to challenge oil companies. The legal strategy is proving to be effective. By 2008, more communities have actively engaged in legal cases and stand up for their rights, including a community youth organization that has made a political demand for the Agip oil company to cease gas flaring in their community.

Contribution of the counterpart: Besides raising awareness among Nigerian citizens of the need to end gas flaring, Environmental Rights Action / Friends of the Earth (FoE) Nigeria, the Climate Justice Programme and FoEI's Corporates Campaign have been using legal channels to force oil companies in Nigeria to clean up their operations. FoEI has supported affected communities in Niger Delta in their legal struggles at courts in Nigeria, but also in USA and The Netherlands. FoE Nigeria has been closely involved in developing the legal case on gas flaring with the lead counsel. The case ruled in November 2005 was brought by Mr Jonah Gbemre, on behalf of himself and the Iwerekan community in Delta State, supported by Environmental Rights Action/Friends of the Earth Nigeria and the Climate Justice Programme (sponsored by FoEI).

FoE Nigeria regularly distributes fact-sheets and newsletters, places ads in local newspapers and holds 'town hall' meetings in the affected communities, to keep local people up to date with the legal work and to strengthen their faith in the legal cases. FoE Nigeria staff also makes field trips in the Niger Delta to identify communities affected by new spills, and to record damaging impacts which will be presented as further evidence. FoE Nigeria has also co-ordinated petitions for their government, gaining support from civil society organizations worldwide.

Looking deeper: one example of analysis and interpretation of outcomes and PPCs

While the significance of individual outcomes can be high, for the GloPro programme it is important to identify coherent patterns amongst sets of outcomes and policy and practice changes that represent progress towards the results GloPro seeks. That requires the identification of the inter-relationship and synergies between the outcomes, which as we explain above, the Aim 1 ToC does not enable us to do. Therefore, we agreed with ON to exemplify in the category of Natural Resources and Sustainable Rural Livelihoods how another instrument could assist in flushing out potential patterns. We choose the issue of bio-fuels for which there are five outcomes in the agreed category of natural resources and three additional in the category of Economic Justice.⁵⁹ The eight outcomes from five counterparts

⁵⁹ These eight outcomes are:

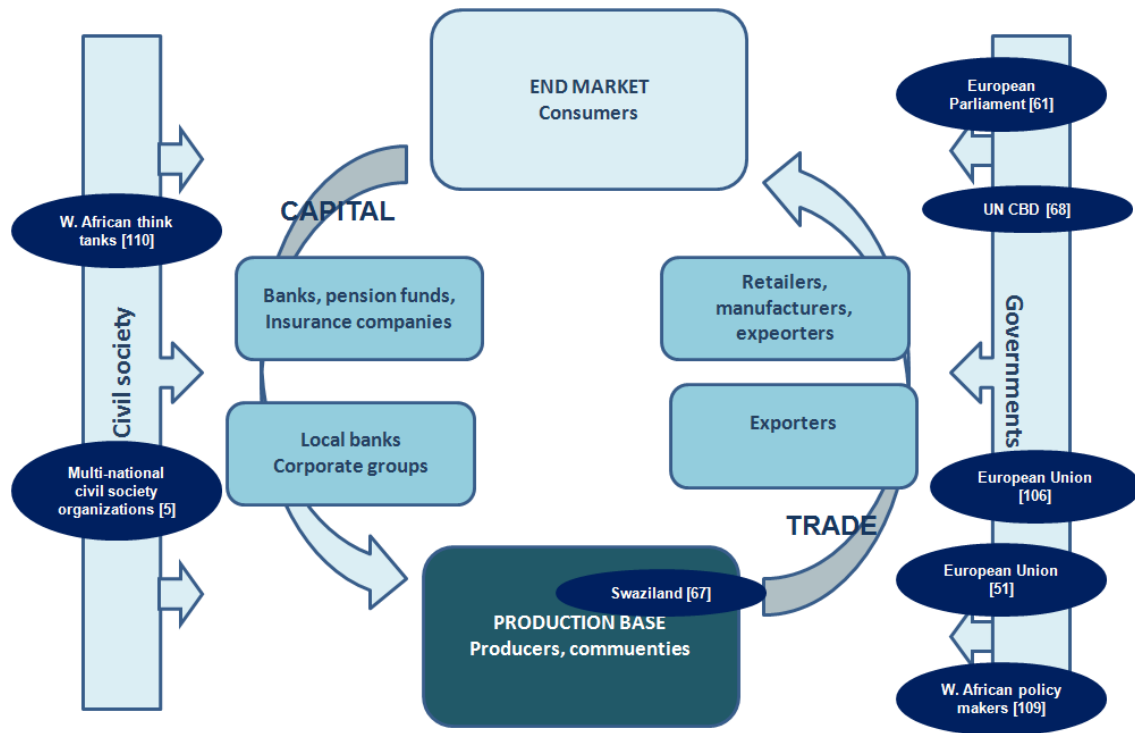
- In 2007, multi-national civil society organizations meeting in Berlin agree to a new common strategy to call for a moratorium on growing agrifuel crops, and a call to scale back US/EU renewable fuel standards for agrifuels. [5]
- In December 2008, the EU adopts sustainability criteria for biofuels and changed the 10 percent transport target for biofuels use to a target of 10 percent renewable energy. [51]
- In July and September 2008, the Environment and Industry Committees of the European Parliament voted to reduce the proposed 10 per cent target for the use of biofuels in transport and to introduce tougher safeguards and led to an EU law that scaled back the use of biofuels. [61]
- In June 2008, the government of Swaziland, following mounting pressure from civil society about the negative impact of biofuels developments, enacted a policy mandating the Swaziland Environment Authority to order D1 Oils to stop all planting of *Jatropha* and conduct a Strategic Environmental Assessment. [67]
- In May 2008, the Convention on Biological Diversity (CBD) in its ninth meeting of the Conference of the Parties (COP 9) concluded that although positive use of "biofuels" should be promoted, the negative impacts should be identified and minimized, paying attention to the rights of indigenous peoples and threats to biodiversity conservation. [68]

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all contribute to changes that show progress toward more sustainable bio-fuels production or consumption with less negative impacts on rural livelihoods and natural resources.⁶⁰

In order to understand the outcomes, we placed them in an economic change model of which the figure is a simplified version (Figure 11). The value of this model is that it portrays economic production and consumption in terms of social actors, thus permitting an analysis and interpretation of the changes of the social actors that is the essence of an outcome.

Figure 11: Practical application of an economic change model for advocacy campaigners



The model is a picture of all the actors that are involved in threats to sustainable livelihoods as result of unsustainable production of commodities, such as timber, agricultural products or mining. A classification of the outcomes according to this model gives insights into which type of actors contributed to which category of result and it helps identify what the spin-off of outcomes may be. We decided to use it because we found that a large number of outcomes

- In 2008, the European Union significantly reduces its targets for biofuels derived from agricultural commodities, calls for a mandatory review of its biofuels targets in 2014 and institutes sustainability criteria for the assessment of biofuels. [106]
- In 2008 and 2009 governmental policy makers from eight West African countries joined influencing relevant policy-making processes on biofuels, trade and sustainable development and defined a new agenda. [109]
- In 2008, eight different agriculture, environment and energy-related policy research institutions and think tanks from eight West African countries got involved in the regional and global policy debate on the issue bioenergy and the interlinkages with agriculture and rural development. [110]

⁶⁰ Please remember that these eight outcomes are only a sample of what counterparts consider to be their most significant outcomes in 2005-2009. There may be other biofuels outcomes that counterparts contributed to but did not report as amongst their ten most significant outcomes in 2005-2009.

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that contribute to the first or the second result category deal with trade flows that are captured in this simple model.

At the productive base of bio-fuels there one outcome (#67) describes the government of Swaziland, under pressure from civil society, taking action to halt destructive bio-fuels production in that country. This was a “negative” outcome in the sense that it stopped destructive practices. This is a result of, and an example for, strategic positioning and campaigning at the level of production.

Strategic development, self-organization and getting involved in policy making are reported in the outcomes 109 and 110: West-African governmental policy makers and civil society research institutions became aware and involved themselves in bio-fuels and bio-energy issues in eight countries.

Outcome 5 contributed to the strategic positioning of a global movement. In 2007, an important meeting took place that helped multi-national civil society organisations develop a new common strategy to call for a moratorium on growing agro-fuel crops, and a call to scale back US/EU renewable fuel standards for bio-fuels. Such a joint strategy was important because NGOs were strongly divided on this issue. That division was not fully resolved in 2008 because some of the large organizations, such as WWF and Conservation International, did not join that strategy. Nonetheless, in 2007 and 2008 the grassroots NGO community became more and more critical of bio-fuels and adopted many aspects of the global NGO strategy to confront bio-fuels.

Outcome 68 can be seen as result of that dynamic, when in 2008 the bio-fuels issue moved from a regional to a global level with changes in the decision-making by the UN Convention on Biodiversity (CBD). Since the CBD itself is not a strong body and it does not give follow up to this conclusion, the significance is that national governments and the EU watch closely what the CBD decides.

Lastly, three counterparts contributed to the same effect: the decision by the EU to change its 10% bio-fuels target in 2008 (outcomes # 51, 61 and 106). It is clear in the descriptions of these outcomes that the EU decision in 2008 was seen as strategically crucial not only for regional policy developments in Europe but also as an example for the rest of the world. The EU decision was the temporary climax of governmental decision-making regarding bio-fuels.

Of these eight outcomes primarily relating to the issue of bio-fuels, five are PPCs, which is a high percentage. A logical explanation is the fact that the unsustainable growth of the bio-fuels market is almost solely created by governmental support policies. Therefore, NGO strategies to change this potentially destructive production and trade or stop its growth focus on changing this governmental policy. That focus is demonstrated in Figure 11: except for the one outcome in Swaziland, the other seven are one step removed from the financing, production, trade and consumption of bio-fuels. Thus, the figure outlines a coherent strategic positioning of the five counterparts that reported bio-fuels outcomes.

Furthermore, the bio-fuels issue is a very complicated one, which requires a large amount of specific knowledge from different areas. In order to influence political decision-making, CSOs need to partner at different levels and in various regions. This explains why all five counterparts report working on more than one level. Six of the eight outcomes are achieved by working on at least 4 of these 5 levels: local, national, regional, multi-national and global.

In sum, in the sample area of bio-fuels, we can see that a substantial number of counterparts have delivered a set of significant outcomes and PPCs. Regarding one important actor, the EU, three counterparts jointly (and together with and next to other NGOs) delivered a

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significant result. That was supported by two other outcomes: developing of CSO strategy and CBD resolution. The bio-fuels issue was not pro-actively developed by Oxfam Novib or GloPro. Instead, GloPro counterparts used the autonomy they get from GloPro to act as a frontrunner, address the issue and set the agenda themselves. Consequently the counterparts in fact also influenced Oxfam International – and the rest of the Oxfam community, including Oxfam Novib - in its position. OI, who originally had no opinion on the issue of bio-fuels, changed its mind in 2007. In that year it published two very critical reports, in October 2007 and June 2008, in which GloPro counterparts were cited as authoritative sources. This is an indication that these counterparts have added value for Oxfam.⁶¹

Thus, the bio-fuels issue is an example where this policy paid off. That is to say that in the evaluator's best professional judgement, the exemplification of other issues such as other commodities or land grabbing will lead to similar conclusions about the pro-active use of autonomy by counterparts. On the other hand, the question can be raised whether possibly even more results could have been achieved if GloPro had taken a pro-active role and had supported the development of a much stronger common strategy amongst its counterparts.

Conclusions and recommended points for discussion

To conclude, we revisit the two sub-evaluation questions.

1.a Which outcomes and PPCs have been achieved by the GloPro counterparts working on aim1?

1. Almost all Aim 1 portfolio counterparts and many Aim 4 portfolio counterparts have contributed outcomes to the Social Change Objectives of Aim 1. There are between 112 and 167 outcomes that correspond to Aim 1, depending on whether you use the evaluator's classification by results or the counterparts' by assumptions. By the latter criteria, there is not a sharp distinction between outcomes achieved related to Aim 1 by the Aim 4 portfolio counterparts compared to Aim 1 portfolio counterparts. With results, however, there is a clear distinction with Aim 1 portfolio counterparts contributing twice as many outcomes as those in the Aim 4 portfolio.
2. A large majority of the 112 outcomes represent significant changes and contributions to food security and sustainable livelihoods, especially in the area of confronting unsustainable practices of large-scale agriculture, the abuse of power by agri-business and challenging governments to change the neo-liberal trade model into one that is more economically just. Significant results were achieved regarding rights of local communities, such as indigenous people, the right of developing countries to keep protecting their farm sectors in spite of pressure from the WTO, and in the agri-business and forestry sector, for example regarding bio-fuels, illegal timber, genetic modification and other unsustainable practices. Other changes are spread over a large number of issues.
3. The outcomes are overwhelmingly concentrated in SCO 1.1, Food and income security / Rural sustainable livelihoods; barely 16% are in SCO 1.2's Employment-based

⁶¹ The first report of October 2007, *Bio-fuelling Poverty Why the EU renewable-fuel target may be disastrous for poor people*, cites FPP and WRM once and FoEI three times as sources. The 2008 report, *Another inconvenient truth; How biofuel policies are deepening and accelerating climate change*, cites FoEI three times and is co-written by an IATP staff member, Sophia Murphy.

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livelihoods. Counterparts demonstrate their use of the autonomy given by GloPro and act pro-actively, as pioneers, and influence policy agendas globally, regionally and nationally.

4. Three counterparts in the Aim 1 portfolio did not contribute outcomes demonstrating results for Aim 1, but they did contribute to Aim 4.
5. The large amount of issues over which the outcomes are spread and the large variety of strategies through which they are achieved, lead to the impression of a certain level of fragmentation. The relationship between the individual achievements within an issue is also often unclear.
6. The impressive outcomes reported by counterparts form some clusters in which they are more than the sum of parts. Nonetheless, when the Aim 1 outcomes are viewed together as the results of the GloPro Programme, they reflect little synergy.

1.e Which theory of change was behind Oxfam Novib's strategic positioning on Aim 1?

7. It was difficult to construct a Theory of Change for GloPro's Aim 1 based on the GloPro documentation. The information is different from that which the individual programme officers have in their minds. The ToC that we perceive prevails in 2009 is based on those two sources plus working with the counterparts' Aim 1 outcomes and their perceptions of how the outcomes relate to the Aim 1 ToC assumptions. We conclude that it is too broad and in terms of the strategies is incomplete. These are the other limitations of the ToC:

- The current wording of the SCOs 1.1 and 1.2 contain inconsistencies, leading to misunderstandings and multiple interpretations.
- The fact that counterparts identified their outcomes with the full breadth of underlying assumptions of the Aim 1 ToC suggests that the rationale behind the ToC is ample. On the other hand, the assumptions are clearly not conceptually parallel and are not sharply distinct conceptually, with considerable overlap in meaning from one to another. We conclude that GloPro does not have a solid, coherent set of assumptions.
- It is uncertain how GloPro's categorizes its Aim 1 target groups..
- The results component of the ToC that we were able to reconstruct contains considerable overlap.

8. The Aim 1 theory of change does not serve to perceive patterns and processes of change or synergies between outcomes achieved by GloPro counterparts.
9. In sum, the different elements of the GloPro Aim 1 theory of change are so broad and ambitious that they are not, in their current form, optimally useful for understanding what GloPro does and the extent of its achievements in its Aim 1 programme.

Our analysis and interpretation of the Aim 1 outcomes leads us to recommend two points for discussion:

- 1) ***Theory of Change: What is the set of coherent and manageable assumptions, strategies, target groups and results that GloPro staff and management can mutually agree to use to guide the GloPro programme into the future?***

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- 2) Nature of desired outcomes: There is also considerable breadth in the themes that GloPro counterparts are working on and consequently in the outcomes to which they contribute. *Is GloPro's commitment to diversity effective if understood to include such a wide diversity of outcomes? Or, what is the right balance of diversity with synergy for the results GloPro desires?*
- 3) Parallel to the previous chapter on Aim 4 results, we also suggest GloPro consider regarding Aim 1 *in what ways do the governance activities of (or relatively new) organizational models, including multi-stakeholder mechanisms that include public sector, private sector and civil society actors, contribute to sustainable livelihoods?*
- 4) *What are the global political and economic contextual changes relevant to the Aim 1 theory of change?*

VI. Getting Results: Striving for Gender Justice⁶²

Introduction

In this section, we answer two evaluation sub-questions:

- Which of the Aim 1 and Aim 4 outcomes addressed gender justice issues?
- Were the issues of women's rights and gender equality part of the theories of change?

The section first presents the Theory of Change for the mainstreamed objectives of women's rights and gender equality. This is followed by analysis and interpretation of outcomes using two separate, but linked, lenses. The section "A Strong Foundation: Assumptions Underlying GloPro's Gender Justice Theory of Change" offers insights and interpretation based on counterparts' classifications according to the *assumptions* of the ToC. In "Making Progress: Gender Justice Results through Aim 1 and Aim 4 Outcomes" we view outcomes through our classification according to the *results* described in the Gender Justice ToC. To better illustrate the narrative, sample outcomes are included in both sections. This is followed by "Conclusions and Recommended Points for Discussion".

The gender justice theory of change

Prior to this evaluation process, GloPro had not developed an explicit Theory of Change regarding women's rights and women's equality, though Oxfam Novib has a long history of commitment to gender justice.⁶³ A desk review of documentation considered Oxfam Novib policy documents relevant to gender justice as well as a number of reviews undertaken of the gender justice program and strategies. The desk review, along with follow up interviews with staff found a differentiation between aspects of the gender justice programmatic strategies referred to as "mainstreamed", and others commonly referred to stand alone.

The focus of this evaluation is the extent to which women's rights and gender equality were mainstreamed and therefore part of the GloPro's Aim 1 and Aim 4 Theories of Change. With this in mind, a Theory of Change for the mainstreamed objectives of women's rights and women's equality was developed. All outcomes were then considered in light of this theory to see the extent to which they reflected the assumptions and the results of the Gender Justice ToC.

As we worked with the categories of assumptions and results of the ToCs in the light of the outcomes, we slightly modified the ToC.⁶⁴ Therefore, here we present the ToC as it appears in late 2009 after consultation with the documentation, consultation with programme officers and the review of the 196 outcomes reported by the 38 counterparts.

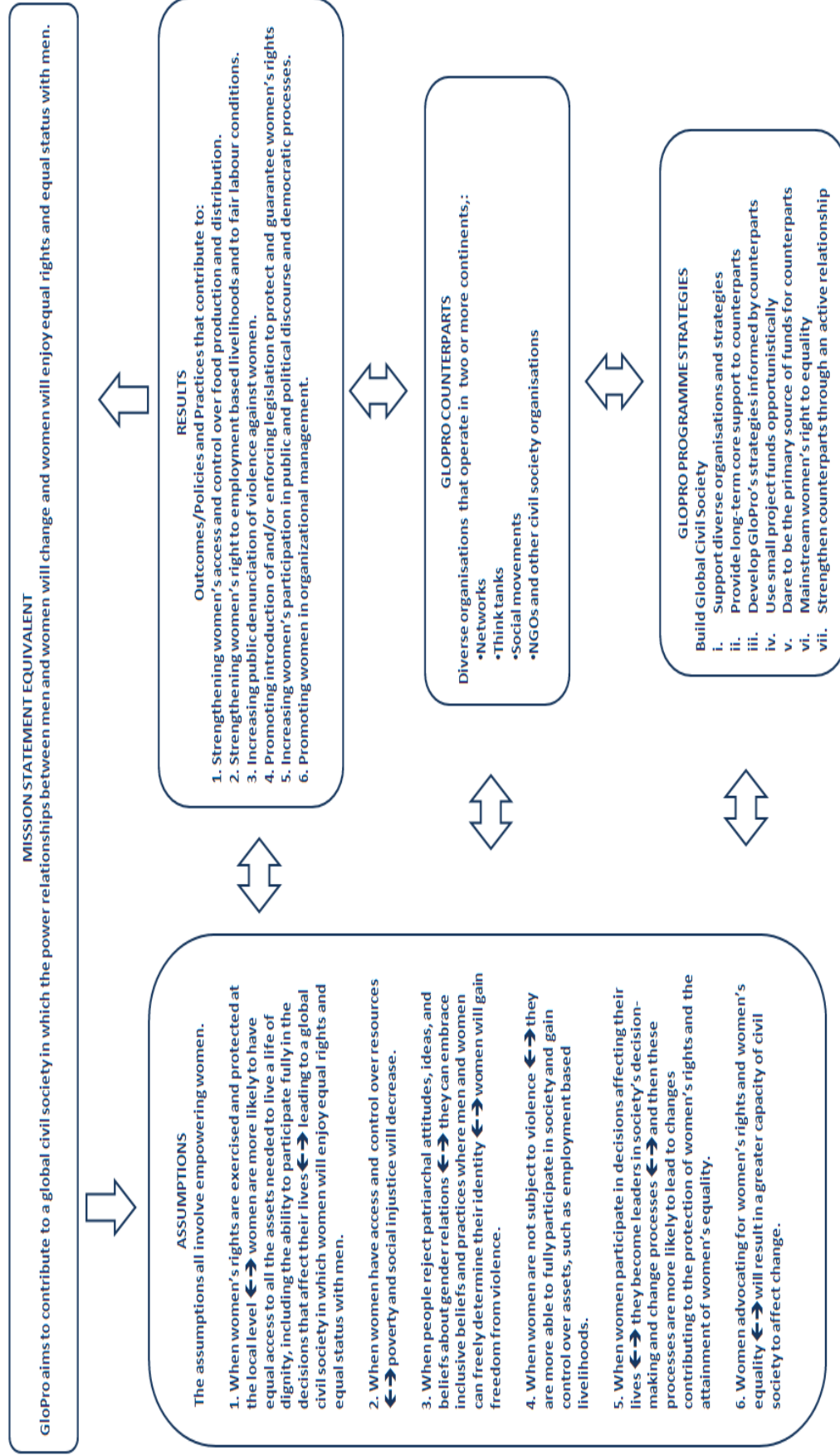
⁶² Juliette Majot took the lead in interpreting and synthesizing the findings in this chapter.

⁶³ For a concise timeline of the development of Oxfam Novib gender justice strategies, see the 2006 contribution of Ellen Sprenger, "Oxfam Novib's Organizational Assessment: Towards Effective Promotion of Women's Rights and Gender Equality."

⁶⁴ Modifications were not substantive.

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Figure 12: Gender Justice Theory of Change, 2009



A strong foundation: assumptions underlying GloPro's gender justice ToC

We surveyed counterparts and asked them to identify the assumptions included under the Gender Justice theory of change (ToC) that correspond to their outcomes. (See Table 11.) Eighteen Aim 1 portfolio counterparts and 14 Aim 4 counterparts identified 66 and 58 outcomes, respectively, that correspond to Gender Justice ToC assumptions. This total of 124 outcomes is roughly two thirds of the 196 total outcomes and demonstrates that GloPro counterparts consider the changes they are influencing to be compatible with GloPro's rationale for effecting change that will empower women.

Table 11: Outcomes as classified by counterparts according to the GloPro Gender Justice Theory of Change assumptions

ASSUMPTIONS Envisioned in the GloPro Gender Justice Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Gender Justice	124	38	66	20	58	18
1. When women's rights are exercised and protected at the local level, women are more likely to have equal access to all the assets needed to live a life of dignity, including the ability to participate fully in the decisions that affect their lives, leading to a global civil society in which women will enjoy equal rights and equal status with men.	86	28	45	14	41	14
2. When women have access and control over resources, poverty and social injustice will decrease.	84	26	47	14	37	12
3. When people reject patriarchal attitudes, ideas, and beliefs about gender relations, they can embrace inclusive beliefs and practices where men and women can freely determine their identity, women will gain freedom from violence.	37	5	18	2	19	3
4. When women are not subject to violence, they are more able to fully participate in society and gain control over assets, such as employment based livelihoods.	37	8	21	4	16	4
5. When women participate in decisions affecting their lives, they become leaders in society's decision-making and change processes, and then these processes are more likely to lead to changes contributing to the protection of women's rights and the attainment of women's equality.	80	24	43	12	37	12
6. Women advocating for women's rights and women's equality, will result in a greater capacity of civil society to affect change.	75	18	39	10	36	8

We noted, as the reader may, that most of the outcomes identified as corresponding to gender justice assumptions do not mention gender in the outcome title but that many do in the full description, significance or contribution sections. Nonetheless, others do not mention gender at all.^{xxxv} In any case, we consider that counterparts' classification of outcomes according to gender assumptions is less objectionable when we view the same outcomes from the perspective of the results in the Gender Justice theory of change. Assumptions are abstract but results are not. Clear evidence is required to support classification of an outcome as a

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Gender Justice result. We do this below and demonstrate a considerable degree of coincidence in the two classifications.

Assumptions 1, 2, 5, and 6 of the Gender Justice ToC focus on women as protagonists of change and exercising their rights. Counterparts identify their achievements strongly with these assumptions, as demonstrated by not only the high percentage and diversity of outcomes identified with them, but by the identification of many outcomes with more than one of the four assumptions.

Assumptions 3 and 4, however, concern other social actors changing their behaviour, relationships or actions in ways that empower and liberate women. These are also assumptions specifically concerning violence against women. Moreover, counterparts consider that significantly less of their achievements at the level of outcomes correspond to these aspects of women's struggle against patriarchy and for economic justice.

Expectedly, the portion of outcomes that are PPCs is roughly similar for assumptions 1, 2, 5 and 6 – around 40% of the outcomes are PPCs.

This changes dramatically, however, for the assumption concerned with patriarchy, understandably perhaps since changing societal norms and behaviour in this area is a major challenge.

The extent to which outcomes identified with Aim 1 and Aim 4 ToC assumptions are also identified with gender justice assumptions is the measure of *mainstreaming of gender justice* assumptions into both. The pattern of gender justice assumptions identified by Aim 1 portfolio counterparts compared to Aim 4 portfolio counterparts is similar – their 66 and 58 outcomes, respectively, are two thirds of the total outcomes in both cases.

Making progress: gender justice results through Aim 1 and Aim 4 outcomes

The evaluator has taken a conservative approach to classifying outcomes according to Gender Justice ToC Results. Outcomes were so classified only when:

- a) The counterpart provided explicit gender analysis regarding the outcome and the results to which it contributes.
- b) Or (and this is rare), when the same or very similar outcomes were reported by more than one counterpart and at least one of the counterparts provided the explicit gender information.

We found that 101 outcomes provide explicit evidence of contributing to Gender Justice ToC *results*. (See

Policy decisions in governance arrangements (from the local to national levels) critical of tree plantations, simultaneously discourage forced displacement of women, thus also contributing to the result. In the case of the collapse of the WTO Doha Round, the outcome descriptions suggest that had the round succeeded, women would likely have *less* access to and control over food production and distribution. See the box below for an example. (Also see endnote .)

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Table 12.) While the title of each outcome itself may not immediately suggest a gender dimension, evidence provided in the outcome description, significance, or contribution sections makes the connection clear. Women's participation in community radio listening clubs, for example, is explicitly described as imparting and benefiting women's knowledge of agriculture and local markets. See the box below for an example. (Also see endnote XXXVI).

SAMPLE OUTCOME IN RESULTS CATEGORIES:

STRENGTHENING WOMEN'S ACCESS AND CONTROL OVER FOOD PRODUCTION AND DISTRIBUTION

INCREASING WOMEN'S PARTICIPATION IN PUBLIC AND POLITICAL DISCOURSE AND DEMOCRATIC PROCESSES.

Between 2006 and 2008, 58 women from radio listening clubs in Africa, Asia Pacific and Latin America reported an increased capacity to identify and analyze local community problems and influence other actors, including NGOs and local authorities, and attributed this increase to their participation in community radio. [7]

Significance: The 58 women who are the subject of this outcome are striving against social, cultural, and economic barriers to gender justice. These barriers have effectively excluded them from having an open and active voice in determining the governance of their communities, and as a result, the communities themselves have suffered from the lack of knowledge, industry, and authority of their women.

When women themselves report an increase in capacity to participate in processes that govern their lives, this marks a significant shift not just in their role in public discourse, but in outcomes further down the line in actual policy and practice informed by their participation.

While in each case, there are myriad contextual differences, many of the women report similar areas of growth in their capacity to directly participate in democratic processes. Examples include, (but are not limited to) ensuring that local community politicians and elected officials in Burkina Faso include issues such as forced marriage and the schooling of girls in their speeches; an increase in the number of women elected to local posts in Ghana; a newly animated debate regarding parity legislation in Senegal; and the introduction of public oversight and participation in local government budget planning and management in Northwest Sumatra, Indonesia.

Contribution of the counterpart: Between 2006 and 2009, AMARC held seminars and trainings specifically for women, focussing on women's empowerment through community radio. 263 women participated representing 532 community CRs in 13 countries of Africa, 11 countries of Asia Pacific and 17 Latin American countries attended 8 knowledge sharing and capacity building action research seminars over these years. Seminars were held in November 2006 in Amman, Jordan; in 2007 in Nairobi, Kenya (January), Abuja, Nigeria (July) in Rabat, Morocco (October), and in Kuala Lumpur, Malaysia (December) And in 2008, in Bogota, Colombia (February), Accra, Ghana (August), Montreal (October), and in Bucharest (December).

Policy decisions in governance arrangements (from the local to national levels) critical of tree plantations, simultaneously discourage forced displacement of women, thus also contributing to the result.^{XXXVII} In the case of the collapse of the WTO Doha Round, the outcome descriptions suggest that had the round succeeded, women would likely have *less* access to and control over food production and distribution. See the box below for an example. (Also see endnote XXXVIII.)

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Table 12: Outcomes as classified by Juliette Majot according to the GloPro Gender Justice Theory of Change results

RESULTS Envisioned in the GloPro Gender Justice Theory of Change	Outcomes					
	Total Outcomes	Of which PPCs	Outcomes only of Aim 1 Portfolio CPs	Of which PPCs	Outcomes only of Aim 4 Portfolio CPs	Of which PPCs
Gender Justice	101	31	52	18	49	13
1. Strengthening women's access and control over food production and distribution.	31	15	23	11	8	4
2. Strengthening women's right to employment based livelihoods and to fair labour conditions.	21	6	16	3	5	3
3. Promoting introduction of and/or enforcing legislation to protect and guarantee women's rights.	4	0	1	0	3	0
4. Increasing public denunciation of violence against women.	1	1	0	0	1	1
5. Increasing women's participation in public and political discourse and democratic processes.	77	21	32	10	45	11
6. Promoting women in organizational management.	3	0	2	0	1	0

SAMPLE OUTCOME IN RESULTS CATEGORY:

INCREASING WOMEN'S PARTICIPATION IN PUBLIC AND POLITICAL DISCOURSE AND DEMOCRATIC PROCESSES.

Since 2007, five civil society organizations working on socio-environmental issues from Brazil, Nigeria, Papua New Guinea, and Ecuador have become more involved in the issue of the differentiated impacts of large scale tree plantations on women. [193]

Significance: By raising the issue of the differentiated gender impacts of plantations, WRM aims to promote the inclusion of gender justice in local resistance processes, to strengthen local struggles through the active participation of women –with their own agenda- and to increase support to those struggles by incorporating the broader women's movement support to them.

The direct involvement of the researchers and their organizations resulted in awareness raising on an issue until then "invisible" and the research findings were also taken up by peasant women's movements and other women's groups in those countries as well as internationally.

Given that the research findings were widely disseminated at the international level it is possible that many others may have also incorporated the issue to their own agendas.

Contribution of the counterpart: WRM was the initiator of the 5 case studies. They were carried out as participatory researches with the national civil society organisations.

In 2007, WRM produced the first two publications that were the result of two participatory researches conducted in Brazil and Ecuador on the differentiated impacts of tree plantations on women. The research in Brazil was carried out by two female members of the Brazilian Network against the Green Desert. The network -working in four Brazilian states- had been struggling for many years, but had not included the issue of the differentiated gender impacts in their resistance process. In Ecuador the research was carried out by two female researchers from Acción Ecológica. They also hadn't included the issue of women and the impacts they suffer as such from plantations.

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There are other outcomes that may have contributed to Gender Justice ToC results, but which have not been classified using our rather strict criteria. For example, most of the outcomes associated with micro-finance, although highly likely to have Gender Justice ToC results, could not be classified because the counterpart did not provide explicit gender analysis related to the outcome. Thus, outcomes not classified should be viewed carefully for a more comprehensive and conclusive understanding of the contribution of GloPro to Gender Justice.

SAMPLE OUTCOME IN RESULTS CATEGORY:

1. STRENGTHENING WOMEN'S ACCESS AND CONTROL OVER FOOD PRODUCTION AND DISTRIBUTION.

In March 2006, the FAO International Conference on Agrarian Reform and Rural Development (ICARRD) officially declared food sovereignty and agrarian reform to be a priority. [132]

Significance: This declaration was a final important shift that broke the trend where land policies were dictated by the World Bank who was pushing always the concept of market assisted land reform. It opened up the political space in FAO and the UN system and it increased the legitimacy at the national level to discuss and push forward programs of agrarian reform, one of the central demands of peasant movements in many countries.

Equal rights for women are an important part of the final declaration and women are mentioned more than 10 times. Therefore it can be expected that this new policy space also offers opportunities to strengthen the position of women.

Contribution of the counterpart: La Via Campesina played a central role in this process as it was able to build concrete pressure. It had an international delegation with 75 people from 30 countries and over 500 people from the Brazilian organisations of La Via Campesina present at the conference that were able to lobby their national governments.

During this Conference in Porto Alegre, La Via Campesina (Brazilian members and an international delegation) organized a strong mobilisation and actions. Through its collaboration with other movements and NGOs that are part of the IPC mechanism⁶⁵, such as MIJARC, FIAN, WFFP and ROPPA, La Via Campesina was able to be in effective contact with the governmental delegations, be present inside the Conference and take influence on the drafting process of the final declaration.

The lack of interest of industrialized countries, especially the EU and the US, and the positive interest of other governments made that food sovereignty and agrarian reform were accepted in the declaration as part of the priorities.

Nonetheless, clearly in three categories of results gender justice is mainstreamed by both Aim 1 and Aim 4 portfolio counterparts (and also see the endnotes provided for examples):

- ✓ In the first category, 31 outcomes contributed to promoting increased access to and control over resources by women of food production and distribution.
- ✓ 21 outcomes contributed to strengthening women's right to employment-based livelihoods and fair working conditions. Outcomes that contribute to this result include

⁶⁵ The IPC stands for International Planning Committee for Food sovereignty. This is a network founded in the run up to the 2002 FAO World Food Summit and organized movements. Through this committee over 600 national organisations are in contact and can articulate joint strategies. La Via Campesina is one of the biggest organisations part of this network.

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those that specifically address women worker's labour rights^{XXXIX}; the building of fair trade associations^{XL}, and the provision of necessary resources, including energy.^{XLI}

- ✓ 77 outcomes contributed to women participating in public discourse and democratic processes. Outcomes in this category demonstrated *direct* increase in:
- Women's participation in public debate from local to global levels, including but not limited to acting as producers and sources for media,^{XLII}
 - Women's participation in democratic governance processes, such as budget processes,^{XLIII} and influencing changes at the global level of national, regional, or global levels of governance (changes which, in turn, contribute to promoting further participation of women), in the areas of workers rights, fair trade practices, and international trade agreements.^{XLIV}
 - There are three areas of results where few outcomes were reported by counterparts as amongst their 5-10 most significant. The reporting of just one outcome concerning increased public denunciation of violence against women is not surprising because the strategy to combat gender-based violence is defined by ON as a stand-alone strategy and comes under ON's Aim 5. That is, counterparts doing this work were not in the portfolios selected for this evaluation.⁶⁶

SAMPLE OUTCOMES IN RESULTS CATEGORY:

5. INCREASING WOMEN'S PARTICIPATION IN PUBLIC AND POLITICAL DISCOURSE AND DEMOCRATIC PROCESSES.

In 2006, Secretary General of the United Nations Kofi Annan finally agrees to include gender equality as a key area of focus in his report reviewing a mandate in the 2005 World Summit Outcome Document adopted by world leaders that requested an assessment of how the UN system could be better strengthened focusing on environment, humanitarian assistance and development. [174]

Significance: The Outcome Document adopted by global leaders (heads of states and governments, ministers of foreign affairs) at the 2005 World Summit, is unquestionably a major global policy document that provides key guidelines for policies at the national, regional and international levels. It specifically urged the Secretary-General to begin work to strengthen UN operational activities, and requested that such work be focused on improving the UN in the fields of the environment, humanitarian assistance and development. This major policy document did not include gender equality despite numerous reports that member states have failed to implement their commitments to women's rights made in the Beijing Platform for Action and other agreements. Starting the UN reform agenda within the prescribed fields only would have perpetuated the low-status of gender equality issues within the UN system, the culture of gross disregard to these issues even though women represent more than 50% of the world population. Secretary-General Kofi Annan's recognition of the need to assess gender equality at the UN was fundamentally important to the inclusion of specific recommendation on strengthening UN gender equality architecture. Following Annan's recommendations, the HLP in November 2006, recognized the centrality of gender equality and women's empowerment to the development agenda, and, in turn, recommended the consolidation of the existing UN women's entities into one stronger agency, headed for the first time by an Under Secretary-General, with an expanded mandate and a major increase in funding.

⁶⁶ The Stop-It strategy is defined in *Gender Justice: Empowerment and Inclusion, Aim 5: The Right to an Identity: Gender and Diversity*, ON, 2007

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Contribution of counterpart: After the adoption of the 2005 World Summit Outcome Document that omitted gender equality as an area of focus in the assessment of the UN system, WEDO and the Center for Women's Global Leadership (CWGL) together with women's groups from around the world began organizing to advance the gender equality and women's rights agenda in the reform process that was to take place at the UN. With the leadership of WEDO, the group sent letters to and met with the UN Secretary-general (SG) in New York to push for the inclusion of gender in the reform agenda. Throughout 2006, women's groups from various regions (Asia, Africa, Latin America, Pacific Islands, Middle East) continuously lobbied and pressured the UN Secretary-general and panel members in this respect, leading the Secretary General's formal request to the HLP to include gender equality in the assessment. In July 2006, WEDO and CWGL submitted a substantive paper to the HLP, outlining the successes and failures of the current UN system in addressing gender equality and women's rights, and putting forth several principles and characteristics that are critical to reforming the gender equality architecture in order to deliver consistent positive gender equality outcomes. In addition, WEDO co-ordinated efforts by and provided support to women's groups for meetings with individual members of the Panel, to ensure that gender is not left out in the final report. After series of drafts by the HLP, recommendations for strengthening the gender architecture at the UN were included in the final report.⁶⁷

Three outcomes regard promoting women in organizational management. This relatively low number of reported outcomes is understandable, because counterparts were asked specifically for outcomes that represented changes in social actors other than themselves and logically few reported changes such as these three within their own organizations.

Lastly, four outcomes are about the introduction of legislation or enforcing existing legislation to protect and guarantee women's rights. However, because Aim 5 counterparts did not participate in this evaluation, and they are likely to have reported outcomes in this area, we can conclude only that in terms of Aim 1 and Aim 4 portfolio counterparts, this clearly was not a priority set forth by GloPro. In addition, there are three outcomes that while demonstrating benefits to women could not be clearly classified in the Gender Justice ToC Results. These outcomes are all associated with improving women's health.^{XLV}

Conclusions and recommended points for discussion

Regarding the evaluation sub-questions:

1. *Which of the Aim 1 and Aim 4 outcomes addressed gender justice issues?*

A total of 93 outcomes explicitly present evidence of contributing to three categories of Gender Justice ToC results that can be considered mainstreamed:

- Strengthening women's access and control over food production and distribution.
- Strengthening women's right to employment based livelihoods and to fair labour conditions.
- Increasing women's participation in public and political discourse and democratic processes.

We were only able to register 8 outcomes in the other three categories of results. We conclude that the promotion of legislation to protect and guarantee women's rights,

⁶⁷ WEDO is both an Aim 1 portfolio counterpart and an Aim 5 portfolio counterpart. The outcome resulted from a specially approved project targeted to the activities of the global campaign, and was jointly co-ordinated by WEDO and the Center for Women's Global Leadership. Oxfam Novib was part of the campaign and participated actively.

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with only 4 outcomes, has not been mainstreamed. On the other hand, we cannot draw conclusions about the other two categories because of the stand alone nature of gender-based violence in ON and because promoting women in organizational management was not an area in which we effectively sought outcomes.

2. *Were the issues of women's rights and gender equality part of the theories of change?*

This question is about "mainstreaming" gender justice and the answer is "Yes" from the perspective of the gender justice assumptions in GloPro's ToC. Two thirds of the total outcomes reported by both Aim 1 and Aim 4 portfolio counterparts correspond to gender justice assumptions.

Furthermore, Aim 1 and Aim 4 portfolio counterparts have been successful in generating outcomes, including policy and practice changes, that represent mainstreaming women's participation in public political discourse and democratic processes, access and control over food production and distribution, and women's right to employment based livelihoods and to fair labour conditions.

These are our recommended points for GloPro to discuss:

- 1) ***Should the result categories in the Gender Justice Theory of Change be associated only with mainstreamed aspects?*** If yes, the violence result category should be taken out.
- 2) ***Should the promotion of new legislation to protect and guarantee women's rights be dropped from the Theory of Change or should greater efforts be made to support work more likely to lead to this outcome?***

VII. Counterparts' added value for ON/OI Campaigning and Lobby⁶⁸

Introduction

In this chapter, we address the third evaluation question:

To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?⁶⁹

In 2005-2008, GloPro and the Lobby and Advocacy team merged to form MSS. This is one of the reasons that this evaluation question is of special interest. Different types of co-ordination between counterparts and ON/OI took (and still takes) place in the area of campaigning and lobby. The contribution of that co-ordination to counterparts' achievements is perhaps as interesting as the contribution of the counterparts' outcomes to the ON/OI agenda.

In order to assess both aspects of synergy between counterparts and ON/OI Campaigning and Lobby, the evaluation design (see Annex 3) established two evaluation sub-questions:

- 3.c To what extent do the achievements of counterparts contribute to the agenda of ON/OI Campaigning and Lobbying, even when they [the counterpart] are not a formal ally of an ON/OI campaign?
- 3.d To what extent have synergies⁷⁰ been achieved and has co-ordination been established between the lobby and campaigning strategies of GloPro counterparts, of the ON team Lobby and Advocacy, and of relevant OI teams?

To answer the two questions, we first asked all 38 counterparts who contributed to this evaluation if each one of their most significant outcomes contributed to one or more of the eight aspects of the ON/OI Campaigning and Lobby agenda. (See Figure 13.)⁷¹ In addition, we asked them whether co-ordination with ON or OI took place and if so, which type of co-ordination.

We then asked the nine members of the ON Campaigning and Lobby team⁷² which of the 196 outcomes they consider contributed to the eight items of the campaigning and lobby agenda. (They were given as a reference document the complete Annex 7 – Most Significant Outcomes Reported by Oxfam Novib Global Programme Counterparts for 2005-2009, COMPLETE.) The online questionnaire also included questions regarding co-ordination with

⁶⁸ This evaluation question was the responsibility of Wolfgang Richert. With advice and support from Ricardo Wilson-Grau, he designed and piloted the internet-based questionnaire, administered the survey and analyzed the findings. Interpretation and synthesis of the findings was done in consultation with the two other evaluators.

⁶⁹ We have changed the order of presentation of the evaluation questions because it is more logical to present the findings on questions 3 and 4 before those on question 2.

⁷⁰ The agreed standard for 'synergy' in this evaluation is simply that co-ordination led to one or more outcomes. That standard is used in this chapter when interpreting the data.

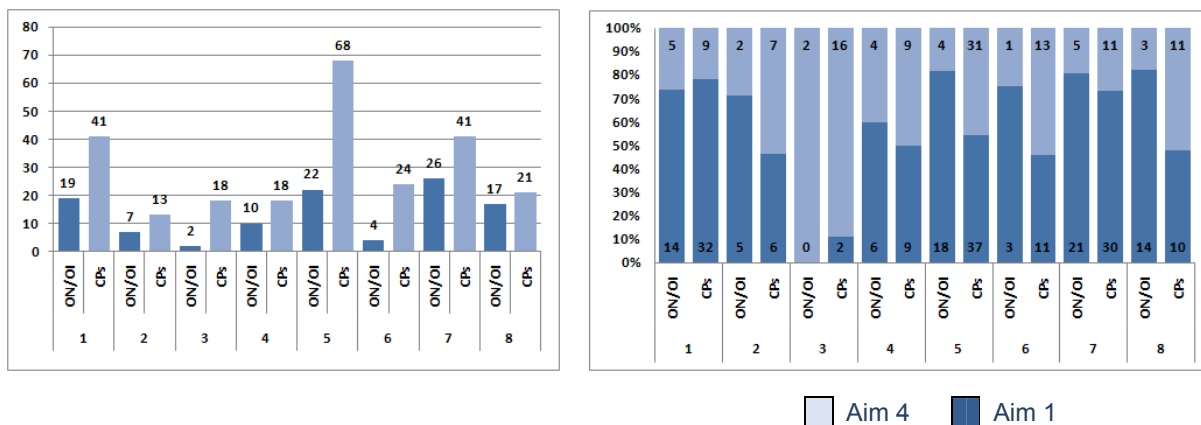
⁷¹ The eight items of the ON/OI Campaigning and Lobby agenda were identified by Bertram Zagema, in consultation with Marita Hutjes and Daniela Rosche.

⁷² It was decided that it had no added value to include OI staff because the ON advocacy staff have equal responsibilities and knowledge.

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the 38 counterparts. Seven staff members answered the survey⁷³. After reviewing our draft report with the Steering Group, it was agreed that one informant has interpreted the questions completely differently from everyone else and we decided to exclude that person's answers. Thus, we only took the answers from six staff members into account. In addition, one other staff member misinterpreted one of the questions in the questionnaire.⁷⁴

Figure 13: Number of outcomes contributing to the eight items of the ON/OI lobby agenda (chart on left) and number of outcomes contributed by Aim and Aim 4 portfolio counterparts (chart on the right), according to ON staff and GloPro counterparts



The ON/OI Campaigning and Lobby agenda

1. Position of smallholders in commodity supply chains
2. Market access for developing country agriculture products
3. Developing countries' access to essential medicines
4. Reciprocity in market access and new issues in WTO and in EU-ACP trade agreements (EPAs)
5. Enforcement of workers' rights and workers' ability to claim their rights
6. Global deal on climate change in Copenhagen
7. Reform of the food and agriculture architecture and investment in smallholder agriculture
8. Sustainable bio-fuels production and demand

The significance of counterparts' outcomes for the ON/OI agenda

The tables in Annex 13 and Figure 13 (chart on the left) show the large number of outcomes that ON staff and counterparts consider contribute to the eight items on the international agenda. According to both sets of informants, the majority of outcomes either from Aim 1 or Aim 4 portfolio counterparts contribute to multiple agenda items. They both agree that 64 outcomes do not contribute to any aspect the international lobby agenda.

Nonetheless, there are significant differences between the opinions of ON staff and counterparts. ON staff identified 70 outcomes that they consider contribute to one or more

⁷³ Johan Verburg, Marita Hutjes, Betram Zagma, Derk Byvanck, Sander van Bennekom, Ted van Hees and Joyce Kortlandt.

⁷⁴ That answer was deleted for the analysis in Figure 15.

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items of ON/OI's international lobby agenda. That is about one-third of the 196 outcomes. Counterparts are consistently of the opinion that more of their outcomes contribute to the agenda than are ON staff of that opinion. Counterparts identified 118 of their outcomes as contributing to one or more items on the agenda, including a much larger number of multiple contributions than ON staff identified. On average, they identified about twice as many outcomes as contributing to the ON/OI agenda than did the responsible ON staff themselves. Bio-fuels is an example where this difference is much smaller. Climate change is an example where the difference is much larger. Since this evaluation is designed to serve the needs of Oxfam Novib, however, we consider the ON staff's opinions to be paramount.

Another significant difference is that ON staff and counterparts agree on only 57 outcomes that contribute to one or more of the eight items on the OI campaigning and lobby agenda.⁷⁵

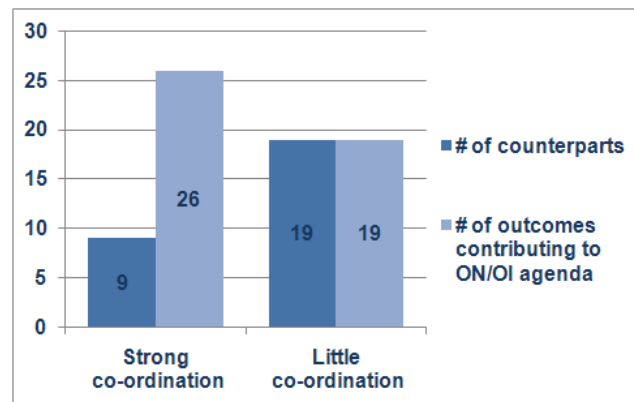
The ON staff find that more outcomes from the Aim 1 portfolio counterparts contribute to the ON/OI agenda than those from counterparts in the Aim 4 portfolio (again Figure 13, chart on the right). Specifically, based on the total number of instances in which one or more members of the ON staff assessed that an outcome contributed to an item of the ON/OI agenda, for all the agenda items except developing countries' access to essential medicines, Aim 1 counterparts made a greater contribution in number of outcomes.

The assessment from the counterparts is different. Overall, according to them, Aim 1 and Aim 4 portfolio counterparts each contributed more than the other to four ON/OI agenda items.

Has there been synergy? – Did co-ordination lead to outcomes?

The second part of this chapter focuses on whether co-ordination between counterparts and Oxfam led to outcomes that contributed to the ON/OI Campaigning and Lobby agenda. To answer that question, we analysed the responses from ON staff⁷⁶ concerning which of 35 counterparts they co-ordinated with.⁷⁷ We took those responses and then analysed how many outcomes were reported. As a third step, we

Figure 14 – Outcomes contributing to agenda achieved with strong or little co-ordination, according to ON staff



⁷⁵ Meaning that there are 57 outcomes that both ON staff and counterparts identified as contributing to one or more items of the ON/OI agenda. They do not necessarily agree to which item of the agenda that outcome contributes. In only 7 cases do the counterparts and the ON staff agree about all the specific items of the lobby agenda to which each outcome contributes.

⁷⁶ We did not use counterparts' answers because we thought that the assessment from ON staff themselves was more relevant. Furthermore, there were strong differences in opinion between both groups: counterparts saw much more contribution of their outcomes to the ON/OI agenda than the ON staff did, suggesting that ON staff's responses are more solid data.

⁷⁷ As stated in a footnote above, one ON staff member's misinterpretation led to our deciding we did not have reliable information for 3 of the 35 counterparts.

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checked whether these outcomes contributed to the ON/OI Campaigning and Lobby agenda. In order to get a clearer picture of the dynamics, we distinguish between two groups of outcomes:

- *No or little co-ordination*: This is when the ON staff identified one or no instance of co-ordination with a counterpart;
- *Strong co-ordination*: In this case the ON staff identified three or more instances of co-ordination

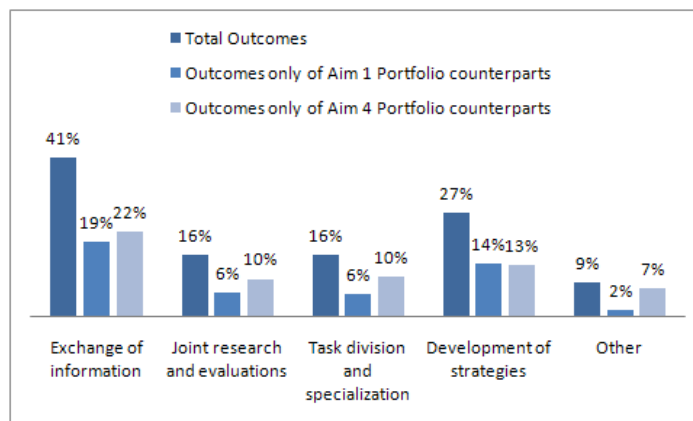
ON staff reported that strong co-ordination took place with 9 counterparts, each of whom generated on average almost 3 outcomes that contributed to the ON/OI campaigning and lobby agenda (Figure 14). The 19 counterparts with whom there was no or little co-ordination, however, each averaged only 1 outcome that contributed to this agenda.

This means that a clear correlation exists between strong co-ordination with counterparts and those counterparts having an added value for ON/OI's agenda. Thus, we can conclude that synergy has been achieved because co-ordination led to outcomes that contributed to the ON/OI Campaigning and Lobby agenda.

To complement that finding, we analysed which type of co-ordination was most effective in leading to outcomes. Figure 15 is based on counterparts' responses, as they can best assess which type of co-ordination was most effective for them. Co-ordination has been with either ON team Advocacy and Lobby or with another OI team.

The exchange of information, as one of the types of co-ordination, had the relatively highest contribution to counterparts' achievements. More than a quarter of all outcomes were achieved through the joint development of strategies. Joint research and evaluation and task division and specialization had relatively smaller roles. Although Aim 4 Portfolio counterparts had a slightly higher absolute numbers of outcomes achieved when they co-ordinated with the Oxfams, the pattern is largely similar for both.

Figure 15 – Most effective co-ordination for the achievement of outcomes, as a percentage of 196 outcomes, according to counterparts



Conclusions and one recommended point for discussion

In summary, to what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby? Here we conclude by answering the two sub-evaluation questions.

To what extent do the achievements of counterparts contribute to the agenda of ON/OI Campaigning and Lobbying, even when they are not a formal ally of an ON/OI campaign?

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1. ON staff identify 36% of all outcomes as contributing to one or more items of their own ON/OI international lobby agenda. Counterparts identify a higher number of their own outcomes as contributing to the ON/OI lobby agenda – in average twice as many as the ON staff.
2. There is very little agreement between ON staff and counterparts about which outcomes contributed to which of the eight items of the ON/OI agenda. There is full agreement about that contribution for only 7 outcomes.
3. ON/OI staff consider that Aim 1 portfolio counterparts' outcomes contributed somewhat more to ON/OI's Campaigning and Lobby agenda than did Aim 4 portfolio counterparts. This is understandable as there was no specific lobby agenda for Aim 4.

To what extent have synergies been achieved and has co-ordination been established between the lobby and campaigning strategies of GloPro counterparts, of the ON team Lobby and Advocacy, and of relevant OI teams?

4. Co-ordination with GloPro counterparts paid off. The nine counterparts with whom ON advocacy staff co-ordinated strongly contributed three times as many outcomes per counterpart that correspond to the ON/OI Campaigning and Lobby agenda as did those counterparts with whom the advocacy officers had no or little co-ordination. There is a strong correlation between strong co-ordination with counterparts and the achievement of outcomes that have an added value for the Oxfam's campaigning and lobby agenda.
5. Exchange of information and (joint) development of strategies are the most productive types of co-ordination with ON or OI for counterparts in achieving their outcomes. This is especially true for Aim 1 portfolio counterparts. For Aim 4 portfolio counterparts the contribution of different types of co-ordination is more equally spread, with exchange of information being the most productive one.

In the light of this added value of counterparts for ON/OI campaigning and lobby activities, we have one suggested point for discussion:

- 1) Effective programming and strategy development can hardly be reached when there are wide differences of opinion about the significance of outcomes. ***To what extent do the Oxfam Novib advocacy staff find the definition of outcomes used in this evaluation to be useful for assessing the results they are achieving?***

VIII. Counterparts judge GloPro's contribution very favourably⁷⁸

In this section, we address the evaluation question – How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4? Oxfam Novib's core funding is not earmarked for the specific activities or outputs that contributed to outcomes. Similarly, funding is not linked to specific outcomes understood as changes in the social actors who are the protagonists of policy and practice changes. That is, there is rarely a linear, simple cause-effect relationship between Novib funding and counterparts' outcomes.

⁷⁸ This evaluation question was the responsibility of Ricardo Wilson-Grau who designed, piloted and administered the survey, tabulated the results, and compared and contrasted the findings on GloPro's contribution a) as a funder and b) as an ally. The interpretation and conclusions were done in consultation with the other two evaluators.

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Consequently, in order to assess GloPro’s contribution to counterparts’ outcomes, the evaluation design (see Annex 3) established three evaluation sub-questions addressing the dual-focused GloPro support of counterparts:

1. What has been the significance of GloPro’s funding to counterparts?
2. What has been the significance of Oxfam Novib, a member of Oxfam International, as an ally?
3. To what extent are the different roles of Oxfam Novib, being both funder and ally, clear and legitimate in the perception of counterparts?

To answer the three questions, we surveyed the 38 counterparts for their opinions supported with examples. Thirty-one answered the on-line questionnaire (Annex 14). We offered them confidentiality and this complicates to some extent the presentation of findings, especially of the examples. Nonetheless, overall the findings clearly show that counterparts recognise the importance of GloPro especially as a funder but significantly too as an ally when that role is combined with funding – 52% consider GloPro’s principal role is as a funder, 48% say it is both funder and ally. Not one counterpart considers GloPro as solely an ally although one did say, “I would like to have OXFAM Novib first as an ally instead of funder”.

The significance of GloPro funding for its counterparts

In 2005-2009, GloPro counterparts were not heavily dependent on Oxfam Novib for funding. Less than one tenth depended on GloPro funding for more than 75% of their budget. In contrast, year after year in the same period, 80% of the counterparts depended on GloPro for 50% or less of their organisation’s total budget (Table 13). This is interesting because one of the seven strategies in the GloPro Theory of Change (see Figure 1: Theory of Change) is “dare to be a primary source of funds to counterparts.”⁷⁹ GloPro counterparts tend not to depend on GloPro for the bulk of their budget. Of course, “primary” does not necessarily refer to being the relative or absolute principal provider of funds. It can also mean providing key funds.

Table 13 – Oxfam Novib’s Global Programme funding as percentage of counterparts’ total budget in 2005-2009

Year	< 25%	26-50%	51%-75%	> 76%
2005	23	2	4	1
2006	20	5	5	0
2007	17	7	5	1
2008	20	5	3	3
2009	21	5	2	3

⁷⁹ The others are:

- Support diverse organisations and strategies
- Provide long-term core support to counterparts
- Develop GloPro’s strategies informed by counterparts
- Use small project funds opportunistically
- “Mainstream” women’s right to equality
- Strengthen counterparts through an active relationship

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In an attempt to flush out the importance of Oxfam Novib's funding for the counterparts, we asked them: Without Oxfam Novib's Global Programme funding, what would you have done differently in 2005-2009? This was less than successful because the majority did not answer the question. Instead, they explained what they did with the funds or what they would not have done without the funds (Annex 14).

Nonetheless, the importance of Oxfam Novib funding is evident in seven areas (Figure 16). Seventeen counterparts report that without Oxfam Novib funding in 2005-2008 they would have been unable to *maintain* their *programmes* in good measure because, as in the case of 10 counterparts, GloPro's *unrestricted funding* gives them the flexibility to manoeuvre in the changing sands of donor policies and priorities. As one counterpart says, "Novib funds have made it possible to stay close to our own strategy by using the Novib core funding for financing activities that were not fashionable to the majority of the donors but necessary in the regional context and from a target group perspective."

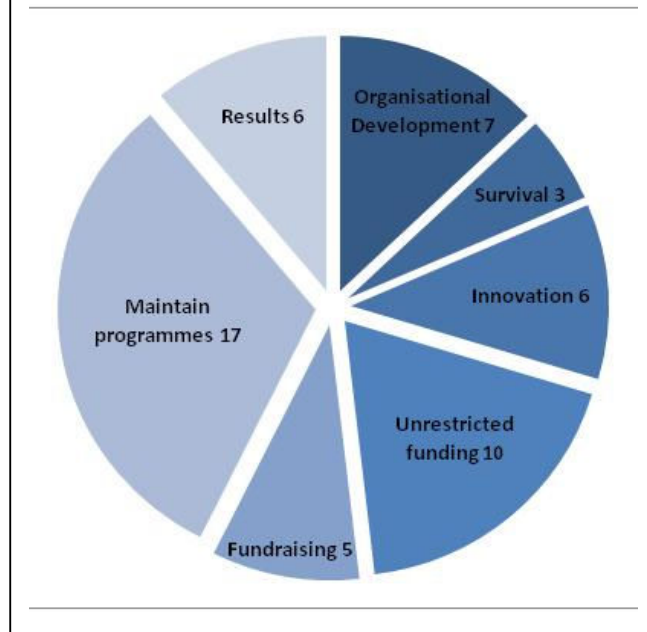
Not unexpectedly, three of the heavily dependent counterparts said Oxfam Novib funding was a matter of *survival*. Interestingly, however, another five said the Oxfam Novib funds permitted them to *fundraise*, either to "bring in other donors and [thus] diversify our funding support" or fundraise in innovative ways, as one counterpart who leveraged a loan with Oxfam Novib funding. Indeed, six counterparts say that without Oxfam Novib funding they would have been unable to innovate. And three of the counterparts who did say what they would have done without Oxfam Novib funding suggest it would have driven them to innovate: In the words of one, what she would have had to do was "To look for more funding; to develop new strategies; to offer more services based on the network's experience and capacity."

Counterparts also say that Oxfam Novib funding made a difference in their *organisational development* – from developing strategic plans to introducing gender, from evaluating their funding to evaluating their impact. And six counterparts mention explicitly a link between Oxfam Novib funding and generating *results*. They explain that results would be affected because of a need to restrict goals and objectives and consequently reduce outputs, outcomes and impact.

In sum, from the evidence we have it seems clear that Oxfam Novib is a primary provider of funding to meet key areas of counterpart's expenditures that other, more project-minded donors will not do.

In addition to this strategy, however, GloPro recognises the importance of providing long-term core support to counterparts, which they certainly consider to be invaluable.

Figure 16: Categorisation of 31 counterparts' uses of Oxfam Novib funding (by number of counterparts with some corresponding to more than one use)



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But beyond the matter of funding, the special value of GloPro as a grant-maker is summarised by a counterpart: “We know that we don't always agree, and we have had our political differences, but the respect for each others' space and autonomy, and the understanding of what we are trying to do, has always been superb.”

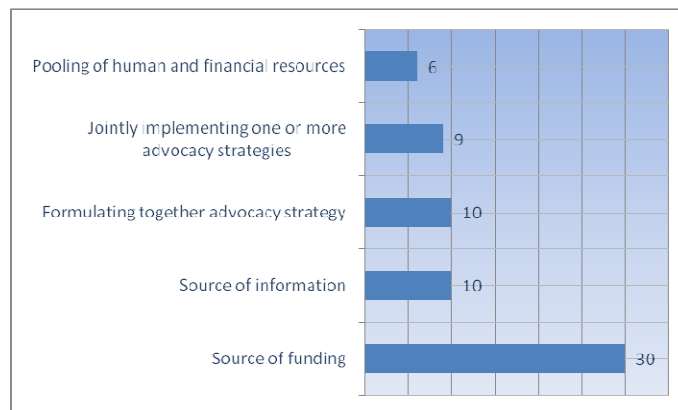
The significance of Oxfam Novib as an ally to its GloPro counterparts

In 2006, the Global Programme made two important decisions regarding its relationships with counterparts. In that year, Oxfam Novib decided to “strategically merge” GloPro with Oxfam Novib's lobby unit into a new Global Strategies and Alliances department, known as MSS (*Mondiale Strategieën en Samenwerking*)⁸⁰, with the head of the department reporting to the Campaign Director. The second decision was to foster a special relationship with the longer-term strategic counterpart organisations with whom there is a mutual commitment to engage in

substantial dialogue on content. “Relations need to be developed with those counterparts in such a way that they do not merely look at Oxfam Novib as a provider of funds, but as a counterpart with whom they can enter in dialogue and debate and share issues of concern.”⁸¹ Furthermore, the MSS configuration was given the mandate for linking up with short and long-term Oxfam International campaigns.

The strategic focus of these decisions led to the second sub-evaluation question concerning GloPro's role beyond funding, as an ally. Consequently, we asked counterparts how was GloPro – either as Oxfam Novib or as Oxfam International – serving them in joint campaigning or advocacy initiatives. Expectedly, all responded that GloPro funds their campaigning and advocacy⁸² (Figure 17). Most importantly, GloPro does meet a range of other campaigning and advocacy needs with a third of its counterparts. In response to whether GloPro fulfils other roles, only one more was mentioned: delivering together a project, although in this case because of changes in GloPro staff this reverted to simply Oxfam Novib funding of the project.

Figure 17: How GloPro serves counterparts in joint campaigning or advocacy (number of counterparts who identified each dimension)



⁸⁰ In some documents referred to as “Global Strategies and Co-ordination”, although the translation from the Dutch would more properly be “Global Strategies and Co-operation”. See “History of GloPro in the organisation”, Liesbeth v.d. Hoogte, June 2009 and Terms of Reference, Evaluation ON's Global Programme, 15 May 2009.

⁸¹ Global Level Strategic Plan (SPM) 2007-2010, January 2007.

⁸² It is probable that the question was read as simply “how does GloPro support counterparts' campaigning and advocacy” because GloPro does not have joint activities in these areas with all 30 counterparts.

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In sum, although half of counterparts do not consider GloPro’s primary role to be that of an ally, virtually all have an opinion about GloPro’s performance as an ally. For a majority the opinion is highly positive. Nonetheless, there is certainly room for improvement.

Improving the role of funder and ally

Mixing the role of funder and ally is difficult. Therefore, we explored with counterparts their satisfaction with GloPro’s performance in four critical areas of donor-grantee alliances (Table 14). At first glance, it is evident that a full majority of the counterparts are highly satisfied with the way GloPro plays its two roles. These four areas are so important, however, that less than full satisfaction by a substantial minority of counterparts is a cause for concern. When we analyse the pattern of responses per counterpart (which is not evident in the table), well over half the counterparts who answered the survey (18 to be exact) are less than highly satisfied with one or more of the four areas.

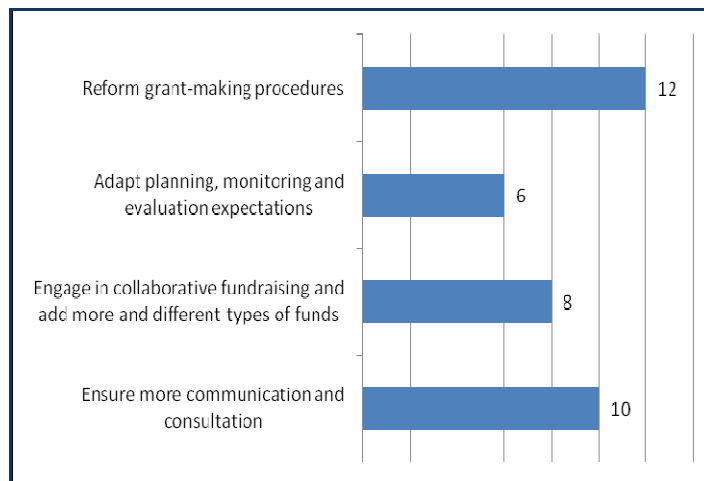
Table 14: Thirty-one counterparts’ degree of satisfaction with GloPro’s performance as an ally

	High	Med	Low
Respectful of your autonomy, not using the power of funding to impose decisions	25	3	3
Supportive of you in your role in your country	18	6	3
Transparent as an ally	17	8	1
Open to your criticisms	15	8	2

Then, we asked counterparts: How can Oxfam Novib’s Global Programme improve as a funder and as an ally? Almost all counterparts answered the question and we have organised their responses in four categories (Figure 18). GloPro counterparts gave 30 suggestions for Oxfam Novib improving its role as a funder and another 29 on improving its role as an ally. (See Annex 14, pages 4-11 for the entire lists.) Here we discuss the principal areas for improvement.

For GloPro as a funder, 26 answered the question. Twelve counterparts suggest GloPro *reform its grant-making procedures* and six consider GloPro should adapt its planning, monitoring and evaluation expectations. They find the content and the process onerous and bureaucratic. As one network counterpart says: “The application/reporting cycle then takes the format of drawing up multiyear plans with little guarantee of being implemented as planned/predicted,

Figure 18: Categorisation of thirty counterparts’ suggestions on how GloPro can improve its role as a funder



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followed by reporting that is often focused on explaining the many differences between original 'plans' and achieved results. This is depressing and gives a false sense of failure to do what is promised as the problem is essentially having to promise what one can't promise.”

Another counterpart adds: “We seem to have some difficulty with respect to financial reporting and planning. As we do not experience these difficulties with other funders it might be helpful to have some discussion about flexibility of financial reporting.”

Their suggestions for improving these two areas include:

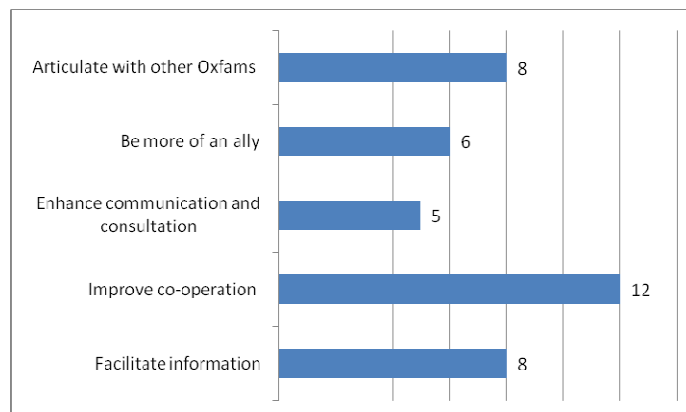
- Funding agreements for more than the current two years
- Greater transparency and quicker decisions on funding
- Mutual agreement on evaluation processes and agreements
- More use of the internet /intranet systems to streamline both application and reporting
- Mid-year budget review to identify essential, urgent yet unfunded activities
- Give more autonomy to counterparts and stop linking funding to Oxfam Novib's own programmes and activities
- Create alternative reporting and outcome measuring techniques.

A closely related third area for improvement is for GloPro to *ensure more communication and consultation* between its staff and counterparts, which ten counterparts consider currently too slow, too little and too late. If achieved, this would also enhance the grant-making process addressed in the first two areas of improvement. Counterparts understand – but question the wisdom – of the “overstretching”, changing responsibilities and high turnover of GloPro programme officers. As one counterpart says, “Maybe if there were more staff, the relations between the programme and us could be deepened.”

Lastly, eight counterparts suggest GloPro should *engage in collaborative fundraising and add more and different types of funds*. Some of these suggestions concern the need for even more flexible funding but there are also other concrete suggestions:

- Explore research for funding together on some key issues that interest both organisations
- Governing donors' round tables around organisations' programs / strategies that Novib Global is supporting
- Regarding funding from the European Union:
 - Pooling partners together in formulating joint project proposals

Figure 19: Categorisation of twenty-nine counterparts' suggestions on how GloPro can improve its role as an ally



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- Offering its expertise and admin capacity to get partner proposals accepted by the EU,
- Keeping an eye on what is coming up at the EU, which calls are coming.
- Accept a responsibility in dealing with the reporting requirements

We also asked counterparts: *How can GloPro improve its role as an ally?* Again, most counterparts commented and we have grouped the ideas of the twenty-nine in five areas (Figure 19). Three of the areas for improvement focus on Oxfam doing more or better what counterparts consider GloPro is currently doing. As with funding, one area to target is *enhancing communication and consultation* and another is for GloPro to *facilitate information* flow to and from counterparts and the other Oxfams on advocacy campaigns of common interest in order to create cross-fertilisation and synergies. Six counterparts suggest GloPro *be more of an ally* by, for example, “investing in its own staff, ensuring that they have the experience, motivation and time to understand their partners, and to identify and follow opportunities to develop close and effective alliances with their partners.” It is noteworthy that counterparts do not mention Oxfam Novib as a role model in campaigning and advocacy. Little or nothing is said about GloPro's successes and failures as a campaigner and advocate.

There are two areas where counterparts suggest GloPro should innovate. Twelve suggested GloPro work to *improve co-operation* between its counterparts and with other ON/OI counterparts. Many counterparts proposed jointly formulating strategies, particularly at the Dutch and EU levels, to “develop a more co-ordinated programme of work around public policy and regulatory frameworks for lobby and advocacy in a concerted manner between counterparts working on different dimensions of a problem.”

A closely related area of improvement was in Novib's *articulation* of campaigning and advocacy strategies *with the other Oxfams* in order “to increase the influence it has over other members of the Oxfam family most of which are less progressive and less engaged in the policy work.” This suggestion is especially noteworthy because of GloPro's special responsibility within Oxfam Novib for precisely this articulation. Counterparts suggest, on the one hand, that from their perspective unfortunately “the global program does not really influence the positions and strategies of ON,” and on the other, that Oxfam Novib should “be more actively informed and incorporated into the programme of the Oxfam family.” Counterparts are also concerned that all the Oxfams “be more supportive to existing processes and less be focused on setting up their own networks and campaigns.”

Conclusions and recommended points for discussion

We conclude by answering directly, in the light of the findings, the three sub-evaluation questions.

4. *What has been the significance of GloPro's funding to counterparts?* Counterparts consider Global Programme funding to be Oxfam Novib's most significant contribution to their work. Although few depend on GloPro for the majority of their funds, GloPro's unrestricted, core funding is a special contribution that allows counterparts financial flexibility to change strategies as circumstances demand, innovate, and leverage project funding from other donors. In this sense, GloPro is a primary source of funding for counterparts.

One counterpart summarises the special value and challenge of GloPro as a funder beyond the money granted:

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“The quality of staff of the ON global program over the many years that we have received funding has been very high. We have benefited greatly from their feedback. Many times, recommendations from global program staff have led to in-depth discussions and pushed our thinking yet another step further. We enjoy the critical engagement with ON global program staff and look forward to continue our discussions. We also hope that we can push ON (beyond the global program) to gain a better understanding of the work that they support with their global partners and have greater influence of ON overall policy development.”

Nonetheless, GloPro's role as a funder is far from perfect. Counterparts suggest four areas in which GloPro can improve its funding: i) ensure more communication and consultation, ii) engage in collaborative fundraising and add more and different types of funds, iii) adapt planning, monitoring and evaluation expectations, and iv) reform grant-making procedures.

5. *What has been the significance of Oxfam Novib, a member of Oxfam International, as an ally?* Although no counterpart considers GloPro to be principally an ally, most recognise and appreciate the Programme's current and especially potential role in campaigning and advocacy. As one counterpart expresses it: “They are excellent funding partners. They also have a great potential of becoming an equally strong ally in our advocacy work.” The areas for improvement of current practice are in supporting – versus actually doing – campaigning and advocacy work: enhancing communication and consultation, facilitating information flow to and from counterparts and the other Oxfams, and being more of an ally.
6. *To what extent are the different roles of Oxfam Novib, being both funder and ally, clear and legitimate in the perception of counterparts?* Oxfam Novib's intention has been to engage in a “substantial dialogue in content with longer-term strategic counterpart organisations in such a way that they do not merely look at Oxfam Novib as a provider of funds, but as a counterpart with whom they can enter in dialogue and debate and share issues of concern.”⁸³ At the least, counterparts expect this dialogue; in the course of this evaluation, they have demonstrated their willingness to contribute to it. The two distinct roles appear to be acceptable to GloPro counterparts. Counterparts are certainly able to distinguish clearly between the two roles but a substantial minority suggest that Oxfam Novib must do better in managing them. A fourth to a third of counterparts are less than satisfied with GloPro's transparency, openness to criticism and support for their role in their countries. This, plus the scarce recognition of GloPro staff or the department itself as a campaigner and an advocate, suggests that GloPro's legitimacy as an ally is tarnished in the eyes of some counterparts.

We have three points that we recommend Oxfam Novib and GloPro consider for discussion:

- 1) The first point of discussion concerns, on the one hand, Oxfam Novib's policy to have “75% of its funds invested in 3-4 year commitments with counterparts”⁸⁴ but on the other, various counterparts complain about the tendency of GloPro to make shorter-term grants when their need is for even longer-term funding. We suggest GloPro discuss whether *the current commitment to engage in substantial dialogue on*

⁸³ Global Level Strategic Plan (SPM) 2007-2010, January 2007, page 6.

⁸⁴ Ibid.

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content with longer-term strategic counterpart organisations be complemented by a similar commitment to longer-term funding of all GloPro counterparts?

- 2) In 2008, Oxfam Novib reversed its 2006 decision to merge GloPro with Oxfam Novib's lobby unit. The decision was taken to "dismantle MSS again, for reasons of scope of control; the department is too big to be managed by one manager". In the light of the findings of this evaluation that suggest, in counterparts' perceptions at least, the marriage of the two functions was more positive than negative, we recommend for discussion: ***Should Oxfam Novib reconsider the decision after a more thorough evaluation of the political, not just the administrative, cost/benefit of the merger?***
- 3) Counterparts point to the need for GloPro to improve co-operation between its counterparts. When analysing and interpreting the outcomes, we also found opportunities for more pro-active, strategic discussions between counterparts that possibly lead to more synergy. We suggest GloPro discuss what ***opportunities would be created or enhanced if co-operation between counterparts is prioritised by Oxfam Novib.***

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IX. GloPro's response to changes in the development environment⁸⁵

In this brief last chapter, we explain why it was impossible to successfully address the second evaluation question – *To what extent did GloPro respond effectively to the changing global context and shifts in the ON/OI focus under aims 1 and 4?*

Why we could not answer this evaluation question

In the course of 2005-2008, as the world and the Oxfams changed, Oxfam Novib's Global Programme made strategic choices too. The evaluation question intended to assess whether these choices effectively responded to changes in the world around them. We agreed on two measures of "effectiveness" on GloPro action responding to the changing global context and shifts in the ON/OI focus under aims 1 and 4. One was if there was a correlation between GloPro programme officers a) challenging counterparts' focus and strategies or b) making decisions on funding of counterparts, and those counterparts reporting one or more sustainable livelihood or right to be heard outcomes. A second was if there was a correlation between ON/OI MSS advocacy officers deciding to a) challenge a programme officer regarding on a counterpart's focus, strategies or funding, or b) challenge a counterparts' focus and strategies, or c) co-operate with a counterpart, and those counterparts reporting one or more sustainable livelihood or right to be heard outcomes.

The first insurmountable obstacle was the lack of informants. Since 2005, GloPro has experienced significant turnover of management and staff. Consequently, in 2005, the manager of the Central America department also managed the Global Programme, and he reported to the Programme Director. In 2006, the Global programme was merged with the Oxfam Novib lobby department. The manager, Rian Fokker, reported initially to the then executive director and as of 2007 to the Campaign Director, Jan Bouke Wybrandi. When Jan Bouke Wybrandi left Oxfam Novib in 2008, and Rian Fokker then reported to Adrie Papma, director for Internal Organisation. In mid-2009, Rian Fokker left Oxfam Novib and the director also changed for the fifth time; the interim manager reports to the current programme director. Similar turnover occurred with the GloPro staff. Of the four current programme officers, two joined in 2009 and there fore were not eligible to be informants. In addition, neither one of the two GloPro financial officers was available to provide information. Lastly, after discussion with Marita Hutjes and Liesbeth van der Hoogte, the lead ON/OI advocacy officer and the GloPro programme officer, respectively, on the Steering Group for this evaluation, they decided that we should exclude the advocacy officers.

The second obstacle was the poor quality of the information we received. Our informants were two current programme officers, two former directors, and one former manager, one former programme officer and two current programme officers. We interviewed them all by email or telephone and in addition to long delays in obtaining adequate replies. In spite of the effort of Steering Group members and evaluators to encourage prompt, full replies,

⁸⁵ This evaluation question was the responsibility of Ricardo Wilson-Grau, who designed and piloted the interview questionnaire, and administered the survey with Wolfgang Richert's assistance with phone interviews with three informants, and analyzed and interpreted the findings in consultation with the other two evaluators.

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respondents at best partially answered the questions. Also, one requested confidentiality, which meant that we had to keep all answers confidential.⁸⁶

The informants identified four changes in the global context in 2005-2008 that Oxfam Novib responded to by challenging counterparts on the issues or making funding decisions. In addition, there were two changes in Oxfam Novib/Oxfam International focus that led to action by GloPro with counterparts.⁸⁷ Other changes were mentioned but no action by GloPro was registered.

We presented that information and our interpretation and conclusions in the draft final report of January 2010. They were discussed during the two days of discussion at Oxfam Novib 21-22 January. In the end, the representatives of the Steering Group decided that the findings were based on such incomplete information that they simply “could not identify with the findings”. At that late stage, the only options were to re-design the evaluation procedure, which would require an additional budget and a delay in completing the evaluation, or to agree that the evaluation question would not be answered. The Steering Group decided for the second option, requesting that we as evaluators outline how the question could be answered.

How the question might be credibly answered

Since the outcomes are now known per counterpart, it would not be credible to go back to the six informants and ask them to give more information. Practically the only option is to use documentary evidence, which is admittedly uneven and one reason why it was not part of the original design. (The other reason was the time and financial budget limitations.) Concretely, one or more evaluators could engage in a desk study of GloPro's documentation, especially the Strategic Project Management (SPM) documents for 2005-2008. The procedure would be to, first, determine if and when changes in the global context and shifts in the ON/OI focus under Aims 1 and 4 are identified. Second, if there are changes noted in an SPM, see if there is evidence that a GloPro programme officer a) challenged one or more counterparts' focus and strategies or b) made decisions on funding of counterparts. Third, if there was a change and action was taken with a counterpart, to then see if there is a correlation.

Of course, when a change is noted in an SPM, and there is documentary evidence of a programme officer taking action, or if action is taken and there is a correlation with one of the 196 outcomes, this would be a finding that in terms of these outcomes, GloPro was successful in adapting to changes in the development environment.

Further, an approach would need to take into consideration the extent to which GloPro should be able to demonstrate changes in direction through challenges of counterparts, given ONs strategic commitment to long term unrestricted funding. In feedback from ON staff following submission of the draft report, some staff strongly cited this as a relevant point for consideration in any analysis of GloPro's roles and responsibilities in responding to contextual change, and that of the counterpart in taking the lead.

⁸⁶ The statistical rule of thumb to ensure confidentiality is not to disaggregate fewer than ten respondents.

⁸⁷ We defined “global context” changes as those external to the Oxfams that led a programme officer to challenge one or more counterparts or to make a funding decision. We understood “challenge” as a programme officer communicating in one way or another with an individual or a group or all counterparts about the change.

X. General conclusions and recommended points for discussion

At the end of chapters IV-IX, we include specific conclusions and questions that we recommend GloPro consider concerning each one of the evaluation sub-questions. Therefore, here we draw conclusions and recommend topics for discussion regarding the three evaluation questions and their relationship to each other. We remind the reader that the Aim 1 and Aim 4 analysis and interpretations were done by two experts with different approaches to advocacy, one that leans towards a sharp focus of strategy and resources and the other to a diversity of strategies. We trust that for the reader the tension between the two perspectives is as creative as it was for we as evaluators.

1. To what extent have counterparts achieved outcomes and contributed to PPC's on aims 1 and 4?

Though GloPro has never previously used the language “theory of change”, rationales about how to bring about change theories have been implied in documentation of GloPro's aims and objectives from 2003 - 2009.⁸⁸ While this documentation provides some evidence of mutually agreed upon theories, consultation with GloPro staff led us to realise that comprehensive theories of change were not mutually agreed upon, or consistently applied during the period 2005-2009. Rather, in practice, different people in GloPro custom-designed and evolved their individual intervention logics, based on their own experience and knowledge.

Whether viewed from the perspective of the assumptions or of the results in the Aim 1 and Aim 4 draft theories of change, the 38 GloPro counterparts have generated a substantial number of significant outcomes in 2005-2009 – from the more conservative perspective of results, over 110 in Aim 1 and over 180 in Aim 4. (Of these, roughly a third are policy and practice changes.) Furthermore, there is considerable contribution of outcomes from the two portfolios of counterparts to the results in the other's area of endeavour. The Aim 1 portfolio of counterparts accounted for one half of the Aim 4 outcomes, and the Aim 4 portfolio contributed one third of the outcomes that correspond to the Aim 1.

This can be read in two different ways. On the one hand, it can be read to show that there is consistency in the overarching ToC of GloPro, and that this consistency is evident in the shared results of Aim 1 and Aim 4 portfolio counterparts. On the other hand, the lack of distinction can also be read as the Aim 1 and 4 ToCs being too broad to be useful as intervention logics to guide decision-making. In both cases, it raises strategic questions on how to address cross-cutting strategies such as movement building in the Aim 1 ToC and in the daily practice of the Aim 1 programme officers.

Furthermore, over 120 of these outcomes that counterparts consider amongst their ten most significant in 2005-2009 correspond to one or another aspect of the Gender Justice ToC's assumptions or results. This suggests that to a large extent the goal of mainstreaming gender justice into Aim 1 and Aim 4 ToCs has been successful. Having said that, the lack of distinction between Aim 1 and Aim 4 portfolio counterparts must also be taken into consideration.

In sum, the GloPro counterparts have to a great extent contributed outcomes, including PPCs, to Aim 1 and Aim 4. The strong crossover of Aim 1 and Aim 4 portfolio counterparts in terms of their contributions to shared assumptions, and to results of both

⁸⁸ See Documents Related to Overall Strategy in the Annex 12 – Bibliography

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ToCs, suggests consistency in the reflection of an overall ToC for GloPro but also suggests that the ToC may be too wide ranging.

It is important to reiterate that the evaluation is limited to 196 outcomes selected by counterparts because they considered them to be amongst the ten most significant changes in social actors to which they contributed in 2005 – 2009. Choosing most significant outcomes is not a simple task and is a matter of judgment. An outcome that may seem insignificant for a time, can, in fact, become very significant in a chain of events that has not yet reached its zenith. So too, an outcome believed to be significant could stall, or simply become less so against changing contexts.

Finally, because this evaluation did not include in depth contextual analysis, it does not offer an analysis of the added-value of these 196 outcomes to outcomes achieved by others which may indeed be highly significant and at least partially brought about through contributing GloPro outcomes.

2. To what extent do GloPro counterparts in the area of Aim 1 and Aim 4 have an added value for ON/OI Campaigning and Lobby?

Both Aim 1 and Aim 4 GloPro counterparts make a substantial contribution with at least one third of their most significant outcomes corresponding to one or more of the ON/OI Campaigning and Lobby agenda. Furthermore, ON/OI co-ordination with counterparts pays off in a trend for these counterparts to contribute three times as many outcomes to the agenda as counterparts with whom ON/OI does not co-ordinate.

3. How has GloPro contributed to the achievements of outcomes by counterparts in Aim 1 and Aim 4?

GloPro's most important contribution to the outcomes of its 38 counterparts has been the flexible, unrestricted and respectful core funding of their activities. Not one of the counterparts considers GloPro to be principally an ally in joint campaigning or advocacy although half say GloPro plays both funding and ally roles. Nonetheless, even when referring to campaigning and advocacy, most counterparts consider GloPro's contribution to be as a source of funds, although recognising a potential role in those other areas.

And flowing from these conclusions, these are the general points for discussion that we recommend to GloPro:

- 1) Since the theories of change for Aim 1 and Aim 4 are so broad and spacious, ***to what extent is GloPro certain that the diversity of outcomes play a significant part in equally diverse processes of social change?***
- 2) If GloPro requested that counterparts annually report their outcomes, including policy and practice changes, in accordance with the definition of outcomes used in this evaluation, it could serve to inform GloPro's and counterpart's on-going strategic choices. Furthermore, it would create a body of outcomes that at the moment of evaluation would serve to identify patterns and trends of change. Nonetheless, the identification and formulation of outcomes, their significance and the contribution of the counterpart requires an investment of time and energy. (Of course GloPro counterparts now have a capacity to formulate outcomes that they did not have prior to the evaluation.) Therefore, we suggest that GloPro explore ***what would be the costs and the benefits if counterparts report systematically on the significant changes in other social actors to which they are contributing?***

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- 3) Whether the decision to dissolve MSS and strip out the advocacy and campaigning function from GloPro is reversed or not, we recommend GloPro consider, *what is the role that GloPro wishes to play as an "ally" in campaigning and advocacy?*
- 4) Consider: a) GloPro's strategy of long-term funding and respect for the autonomy of counterparts works well for counterparts; b) GloPro coordination with counterparts leads to synergy vis á vis for Oxfam Novib's campaigning and advocacy work; and c) counterparts would like to see GloPro play more of a role as an ally. *In what ways should GloPro change its policies and practices of support for counterparts?*

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XI. Annexes

- Annex 1 – Profiles of 38 counterparts who participated in the evaluation
- Annex 2 – Terms of Reference – Evaluation ON's Global Programme
- Annex 3 – Approach Paper for Evaluation of Oxfam Novib's Global Programme 2005-2008 for Aim 1 and 4
- Annex 4 – Evaluators' CVs
- Annex 5 – Outcomes instructions and formats A and B
- Annex 6 – Most Significant Outcomes Reported by Oxfam Novib Global Programme Counterparts for 2005-2009, SUMMARY
- Annex 7 – Most Significant Outcomes Reported by Oxfam Novib Global Programme Counterparts for 2005-2009, COMPLETE
- Annex 8 – Social and Political Participation outcomes classifications
- Annex 9 – Sustainable Livelihoods outcomes classifications
- Annex 10 – Gender Justice outcomes classifications
- Annex 11 – List of 95 substantiators of 66 outcomes
- Annex 12 – Bibliography
- Annex 13 – Global Programme counterparts' outcomes that contributed to the OI campaigning and lobby agenda
- Annex 14 – Counterpart Survey Results on GloPro as Funder and Ally
- Annex 15– Glossary

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XII. Endnotes

ⁱ We are guided by the four standards of evaluation of the American Evaluation Association, which are accepted world-wide as a basic reference. The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results. When applied to confidentiality, propriety means that we as evaluators must be guided by:

Rights of Human Subjects--Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects.

Human Interactions--Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.

Naturally, we have to balance these standards to do no harm, with the other three:

The **utility** standards are intended to ensure that an evaluation will serve the information needs of intended users.

The **feasibility** standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

The **accuracy** standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated.

ⁱⁱ This was the text of our message:

As you may know, Oxfam Novib's policy is to make all reports of program evaluations available on their website. They do not have "internal" and "external" versions of evaluation reports, which some other agencies have. So the Global Programme evaluation will be on their webpage. There can be exceptions to this rule (to be decided by ON directors), but up until now this has not happened.

That said, my co-evaluators and I recognize that because of the advocacy nature of GloPro counterparts' work, in some cases making public the specific ways and means by which counterparts influenced individual outcomes could jeopardize ongoing and future work. Therefore, if for any reasons you do not want one or more of your outcomes (or views as a substantiator) to be on the public record, please let us know so that we can make the appropriate decisions.

ⁱⁱⁱ Range of PPCs in Assumption #1:

- In July and September 2008, the Environment and Industry Committees of the European Parliament voted to reduce the proposed 10 per cent target for the use of biofuels in transport and to introduce tougher safeguards and led to an EU law that scaled back the use of biofuels. [61]
- Between 2005 and 2008, Argentina, South Africa, Costa Rica, India, Palestine, Philippines and Russia all introduce new [or improved] laws and increase public spending related to the achievement of the Millennium Development Goals. [79]
- In July 2006 developing country trade ministers resist pressure from EU and US trade representatives to sign up to a new global trade agreement under WTO Doha Round, which they said would hurt their own economies without further concessions on agricultural subsidies by rich countries. [165]
- On August 7, 2009, the Convention on the Elimination of All Forms of Discrimination Against Women [CEDAW] Committee adopts a statement on Gender and Climate Change to ensure Governments party to the convention are upholding commitments toward gender equality as they negotiate climate change agreements at the global, regional, and national levels. [176]

On 27 August 2007, the Brazilian Minister of Justice signed the ministerial resolution that established an area 18,027 hectares belonging to the Tupinikim and Comboios indigenous peoples in the state of Espírito Santo in Southeastern Brazil, recovering their lands that had been taken over by Aracruz Celulose and planted to eucalyptus. [195]

^{IV} These mechanisms include those with formal vested authority gained through national democratic processes and projected onto international arenas – for example, the bilateral and multilateral treaties and agreements such as NAFTA, which, in turn, can, but do not necessarily inform laws promulgated from the level of the sovereign state. Another example is the formal multilateral bodies such as the United Nations in which power, at least nominally, still flows from the sovereign state.

Other mechanisms of global governance exercise informal authority gained through the public trust (such as the Union of Concerned Scientists or by playing a pivotal role in establishing and enforcing international rules such as the Internet Corporation for Assigned Names and Numbers (ICANN). Global governance is also exercised through alliances of powerful economic and political interests, as is the case with ad hoc groups such as the G8, and by institutions whose power is both financial, and through policy directive, such as the World Bank and the International Monetary Fund.

Transnational corporations (TNCs) ARE distinct from global governance arrangements. Although they wield similar power, TNCs are more protected from public scrutiny. Thus, the strategies for influencing TNCs differ from those employed with formal governmental institutions, multi-lateral institutions (which are compelled to respond to calls for accountability to a public through whom they have at least nominal agency), and private sector arrangements based on the public trust.

^V Examples of Assumption #2 outcomes:

- In 2009, the World Bank revises its information disclosure policy that significantly expands civil society access to development information and Bank decision-making. [21]
- In January 2007, 130 civil society organisations in Montenegro sign a Code of Conduct designed to encourage greater levels of accountability, and 93 CSOs make their financial reports publicly available. [31]
- Since 2005, twenty-two countries have ratified the Convention 182 ILO Convention 182 on the Worst Forms of Child Labour. [91]
- In late 2006, the Vancouver Olympic Committee [VANOC] adopts an ethical purchasing and licensing policy, joining 19 Canadian universities, five major Canadian municipal governments, one provincial government, and 11 school boards who have adopted similar policies. [138]
- In August 2008, the first independent media council of Uganda is launched.[148]

^{VI} Outcomes associated with the role of free media illustrate the interconnectedness between outcomes and PPCs. For example:

- In 2009, the Parliament of Uruguay passes legislation formally recognizing three tiers of communication and reserving 1/3 of the radio spectrum to community radio. [9]
- In 2007 the Declaration of the UN Mandates of Freedom of Expression formally recognizes the importance of Community Radio as the third tier of communications. [11]

These PPCs show strong potential to lead to further outcomes and PPCs because they are formal mechanisms guiding practice. They are also, themselves, outcomes of previous outcomes. The steps leading to the National legislation in Uruguay included an agreement by an international network of civil society organisations to join local community radio supporters to advocate for the legislation, formal recognition by the government of the CSO network as experts, and legislation passed in other countries that served as examples and precedents. And in the second case, of the UN Mandates, prior to the PPC, CSOs reached an agreement to actively engage in co-ordinated advocacy efforts and then earned recognition by the UN as legitimate stakeholders, which led to the UN's acceptance of CSO-drafted language for the Declaration itself.

^{VII} A sampling of global governance PPCs includes:

- In 2007, Equator Principles Financial Institutions agree upon a joint standard for project level reporting, and establish a mechanism to track compliance with this standard, and in 2008 they begin formal consideration of additional steps on project level transparency. [14]
- From 2006 - 2009, the Chinese banking sector begins to recognize and take steps toward more sustainable lending practices.[16]
- In 2006, the European Bank for Reconstruction and Development [EBRD] adopts a new Energy Operations Policy, which endorses measures to promote transparency for EBRD extractive industry projects, including a clear requirement for disclosure of payments to host governments. [26]

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- In the period 2005-08, 131 energy enterprises have delivered and continue to deliver access to clean, modern energy to over 3.5 million people in 26 countries spread over Africa, Asia and Latin America. [42]
- In 2008, the Russian parliament removes the requirement for permanently disabled people to undergo an annual assessment in order to access government benefits. [82]
- In July 2009, four major apparel brands including Nike, Gap and Adidas breaks ranks with the Honduran business lobby and issues a public statement condemning the military coup in Honduras supporting a return to democracy and respect for human rights and civil liberties in that country.[141]
- The second global governance assumption focuses on accountability of global governance arrangements. This assumption had 90 outcomes and 35 PPCs, with the highest percentage [39%] of PPCs as a percentage of outcomes per assumption. The characteristics of many of these outcomes are similar in nature to those of the assumption related to responsibility. Here are some sample outcomes:
 - In late 2008/early 2009, the World Bank strengthened procedures to ensure compliance with its access to information requirements in its Middle East and North Africa Region. [27]
 - The Inter-American Court of Human Rights adopted a “landmark” judgment in the case of the Saramaka People v. Suriname, which requires, among others, the adoption of national laws recognising and securing indigenous and tribal peoples’ rights. [72]

In 2005, Mexico establishes a landmark precedent for the application of national freedom of information laws to the activities of international institutions. [98]

In 2006, the Governmental Meetings on the Convention on Biodiversity [CBD] in Curitiba, Brazil, maintained the ban on terminator technology. [133]

In 2006, the Singapore government is forced to revise a decision not to allow civil society activists to enter the country during the annual meetings of the World Bank-IMF. [157]

^{viii} Outcome 107

^{ix} Outcome 90

^x Outcomes 45

^{xi} For example, in 2007 nine gold Artisanal and Small Scale Mining (ASM) producer organizations in four Andean countries developed the first Fairtrade-Fairmined artisanal gold and associated silver and platinum certification process involving 4000 miner directly and 30, 000 people indirectly. In another example, in the area of micro-finance there are nine outcomes primarily concerned with improving social performance management, a practice defined by a multi-stakeholder arrangement called the International Social Performance Task Force.

^{xii} These generally take the form of industry self-regulatory standards, best practices, and voluntary compliance. The Equator Principles, for example establish a banking industry framework for addressing environmental and social risks in project financing. Other voluntary bank frameworks have established “carbon principles”, and “climate principles”. In China, one outcome demonstrates greater awareness on the part of the Chinese banking industry of the need to address similar concerns.

Evidence of progress in corporate responsibility is also in found in outcomes related to private sector bank decisions to refuse or withdraw already committed project financing on the ground of risks associated with environmental and social impacts. For example, in early 2008 a consortium including ANZ, ABN AMRO and Standard Chartered decided to withhold credit for the Rapu Rapu copper and gold mine in the Philippines.

“...The copper and gold mine on Rapu Rapu island in the Philippines was kept afloat by a credit facility and project finance loan of a consortium consisting of ANZ, ABN AMRO and Standard Chartered. Ever since its inception, the project had met with fierce resistance from the local communities, supported by a coalition of NGOs, church groups, fisher folks, local government bodies and international campaign groups. Concerns have focused on the inadequacy of environmental and social impact assessment processes.”

^{xiii} 13

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XIV

Level	Quantity	Outcomes
From Local, Municipal, and State Governments:	2	(outcomes # 37, 58)
From National Governments:	17	(outcomes # 20, 44, 47, 55, 69, 79, 84, 86, 88, 98, 102, 103, 131, 134, 157, 171, 172).
From Regional Arrangements:	20	(outcomes # 109, 110, 60, 72, 56, 57, 43, 46, 48, 51, 61, 106, 158, 24, 95, 99, 26, 63, 25, 96.)
West Africa:	2	(outcomes #109, 110)
Americas:	2	(outcomes# 60, 72)
Regional Economic and Political Blocks		
ASEAN:	2	(outcomes # 56, 57)
EU:	7	(outcomes # 43, 46, 48, 51, 61, 106, 158)
Regional Development Banks		
Asian Development Bank:	3	(outcomes # 24, 95, 99)
European Bank for Reconstruction and Development:	2	(outcomes # 26, 63)
InterAmerican Development Bank:	1	(outcome # 25)
European Investment Bank:	1	(outcome #96)
From Global Arrangements:	47	
OECD:	1	(outcome # 49)
United Nations:	26	(outcomes # 11, 68, 73, 74, 91, 93, 125, 126, 132, 133, 136, 137, 154, 156, 167, 168, 169, 170, 174, 175, 176, 177, 178, 179, 184, 192.)
World Bank:	12	(outcomes # 21, 22, 23, 27, 28, 29, 66, 78, 89, 94, 100, 105)
World Trade Organization:	8	(outcomes # 53, 64, 101, 104, 108, 130, 165, 173).

^{XV} In total there were 7 EU outcomes. The others concern public access to country environmental profiles, CO2 emissions reduction and emissions trading, harmonization of export credit agency environmental and social standards and new approaches to measuring economic performance and social progress.

^{XVI} The EU Forest Law Enforcement, Governance and Trade process provided a framework for which civil society coalitions in Ghana, Democratic Republic of the Congo, Cameroon, Liberia, and Central African Republic to engage in national level negotiations to come to a legally binding agreement between their countries and the EU for timber sector regulation and a process for forest law reform [43].

^{XVII} Outcome 29

^{XVIII} Original GloPro ToC assumptions:

1. The equitable distribution, access and quality of productive resources (land, water, forests, inputs, and credit) → determine the capacity of poor men and women to earn a livelihood.
2. Poor men and women's secure sustainable ownership of, or access to assets → will lead to food security → and enable poor people to withstand human-made and natural shocks and disasters → and increase poor people's capacity to claim their right to a sustainable livelihood in agriculture, forestry and fisheries.
3. Poor men and women raising crops and livestock for food in a sustainable manner ↔ will enable them to improve their food security.
4. Poor men and women raising crops and livestock for sale AND favourable international prices and access to markets → enhances their capacity to earn money.
5. When women have access and control over resources → make their efforts to alleviate poverty more effective → lead to more sustainable rural livelihoods.

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6. When poor men and women are involved in policy making and actions to promote sustainable livelihoods AND join together to express their collective voice \leftrightarrow they will achieve greater equity and social justice.
7. Credible information about the situation of poor people or the environment articulated in a strategic way \leftrightarrow will enable an effective counter discourse \rightarrow that will impact on the forces that keep poor people poor, women oppressed or continue to harm the environment.
8. Scarcity of resources and the unsustainable and unfair use of abundant ones \rightarrow lead to an increase of (violent) conflicts over natural resources which \rightarrow lead to a decrease of access to natural resources.
9. The access to microfinance \rightarrow particularly to women \rightarrow is an important means of strengthening livelihoods.
10. The access to microfinance \rightarrow particularly to those living in rural areas \rightarrow increases their productivity \rightarrow which in turn increase their income.
11. Addressing the power relations at the level of household, political institution and policies (from local or national to international trade regimes) \rightarrow can lead to poor men and women achieving sustainable rural livelihoods.
12. International legislation on the granting of patents on biodiversity and genetic manipulation that takes into account the right of poor men and women to define their own food, agriculture, livestock and fisheries systems \rightarrow will lead to greater food security.
13. The unhindered access to patents by men and women with limited resources \rightarrow will lead to greater food security for them and their families.
14. An enabling international policy and regulatory structure \rightarrow is necessary for improving labour conditions, especially wages and \rightarrow leads to poor men and women increasing their income..
15. Phasing out agricultural subsidies in the North \rightarrow leads to fairer terms of trade for poor men and women in the South exporting agricultural products to the North \rightarrow and leads to more trade, new markets, increase in their cash income, employment North and South and sustainable livelihoods.
16. Protecting developing countries from the forced opening up of their agricultural and other markets \rightarrow enables poor men and women in the South to develop sustainable agricultural and other production.
17. When transnational corporations take responsibility for their power and influence, then \leftrightarrow their policies and practices are less likely to reinforce power imbalances and unequal distribution of resources, and are more likely to challenge them. The use of the word “determine” might be too strong here as there are other factors in the capacity of poor people to earn a livelihood, such as health and education. But this wording is from the Oxfam Novib's document and we chose not to change it.

^{XIX} Specifically:

- Two of the original assumptions were related to the issue of patents on biodiversity and genetic manipulation. These two distinctively formulated assumptions have only 15 outcomes corresponding to them, and many of them contribute very indirectly to this theme. In their comments to the draft Aim 1 ToC that was constructed based on ON's policy documents, GloPro programme officers Gigi Manicad and Kees Kodde changed the focus of these two assumptions to 'access to genetic resources' but they did not doubt their relevance. Based on the evidence, we do.
- Very few outcomes (8) correspond to the assumption regarding 'phasing out agricultural subsidies in the North'. According to the counterparts' classifications, 8 also correspond to the issue of 'protecting developing countries from forced opening up of their markets' and actually none of them is directly linked to changing agricultural subsidies in the North, while all of them are related to the very general issue of struggling against an unfair global trade regime. We deleted this assumption.
- In ON's policy documents we found two different assumptions regarding microfinance. While mentioning the need of access to microfinance, one document put the emphasis on 'especially to women' and another document on 'especially to those living in rural areas'. Looking at the outcomes formulated by GloPro's counterparts, 17 outcomes correspond to the first of these assumptions and 20 outcomes to the second. Only 1 outcome, however, corresponds to the first assumption but not to the second. This suggests that counterparts do not consider that these two assumptions are clearly different from each other and therefore we merged them into one.

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- A similar interpretation was made with regard to two other assumptions. ON's documents on the one hand focus on 'poor men and women raising crops and livestock for food in a sustainable manner', and on the other hand on 'raising crops and livestock for sale'. In the reality of small scale farmers, it does make a huge difference, though, whether one produces for food, for sale or both. Selling on the market requires attention for international prices structures and market regimes, for example. Nevertheless, of the 17 outcomes that, according to counterparts, correspond to the latter assumption, 14 also correspond to the first. Thus, again counterparts do not consider there is a difference between these two assumptions. Consequently, we merged them.
- One very distinct assumption [number 17] addresses the responsibility of trans-national corporations (TNCs). Forty-seven outcomes directly or indirectly correspond to this issue. Programme officers Gigi Manicad and Kees Kodde would add a second assumption addressing the need for regulation of TNCs. We merged these two into one.
- The right to water is a very specific objective that is clearly mentioned in Oxfam Novib's policy documents but it is integrated in a more complex issue: conflicts on natural resources. That might explain the fact that only 2 outcomes related to water are achieved by the 38 counterparts participating in this evaluation. We merged this assumption with five others that focus on ownership of and access to natural resources.

^{xx} Original GloPro Aim 1 ToC strategies: At the local, national, regional and global levels:

1. Support organisations that address all three aspects of food security.
2. Support efforts to improve livelihood conditions and organisations that build and protect assets and/or who promote and practise fair and sustainable trade, including issues of sustainable (land) resource use, sustainable agriculture, biosafety, biodiversity, Intellectual Property Rights, ethical trade and forestry.
3. Support those who give special attention to the unequal access to and control over productive resources by women.
4. Support those who fight human rights abuses in extractive industries with special attention to the global trade of African diamonds, minerals, oil and wood.
5. Support the improvement of women's labour rights conditions in the textile industry, agri-business sector, the horticulture and the informal economy.
6. Support counterparts who help the better understanding of conflicts over natural resources, particularly extractives and who address climate change and water scarcity especially in areas of vulnerable food security.
7. Support alternative micro-finance with special attention to rural areas, including services such as credit, savings, insurance and remittance transfer services.
8. Support alternative micro-finance with special attention to women, including services such as credit, savings, insurance and remittance transfer services.
9. Support those voicing critical concerns and/or producing credible information from the developing world about global trade issues in general and/or about the situation of the poor or the environment articulated in a strategic way.
10. Support those who influence international and national environmental and trade policy making and practice.
11. Support those who demand democratisation of global governance institutions.
12. Support those who encourage the private sector to act responsibly and who promote production system based on sustainable practices and fair conditions for men and women and marketing work.
13. Support those who monitor, confront and limit increasing control of trans-national corporations.
14. Support those who build alliances, capacity, information sharing and learning.
15. Support direct campaigning allies of Oxfam.
16. Support both the mainstream and the more radical critics of unfair trade.
17. Support legal advice to poor men and women.

^{xxi} Original GloPro Aim 1 ToC results – Outcomes/Policies and Practices that contribute to:

1. Striving for sustainable livelihoods worldwide mainly in small-scale agriculture and forestry.

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2. Promoting and practising production systems based on sustainable practices and fair conditions for men and women.
3. Marketing sustainability, (including equal distribution of profits to men and women), fair products.
4. Monitoring of bio-safety and pesticides use .
5. Advocating to address climate change and water scarcity especially in areas of vulnerable food security.
6. Fighting human rights abuses in extractive industries and addressing specific and collective indigenous rights and women's rights associated with the fair and sustainable resource use.
7. Striving for fair and sustainable (land) resource use and distribution based on (gender/ethnic) justice.
8. Phasing out the (destructive) role of agricultural subsidies in the North.
9. Phasing out the forced opening up of agricultural and other markets in developing countries.
10. Voicing critical concerns from the developing world about global trade issues in general.
11. Promoting gender sensitive global trade measures to increase food security in sub-Saharan Africa and South Asia.
12. Achieving access for men and women to labour rights and secure paid employment.
13. Stimulating an alternative way of micro-finance, with special attention to women.
14. Developing innovative pro-poor products such as the use of remittances or micro-insurance.

^{xxii} Some randomly selected examples:

- The relevant working group of the High Level Panel of the UN Human Rights Council took up the issue of peasant rights for study.[137]
- The Malaysian government slowed down and effectively halted the proposed bilateral US-Malaysia Free Trade Agreement (FTA) in 2007. [171]
- Since 1999, the WTO negotiators are in a deadlock and so far the Doha round cannot be concluded. (130 which as very similar to also outcomes # 55, 64, 165 and 173)
- In June 2006, in Nairobi, Kenya, the United Nations Environment Programme (UNEP) adopts a gender mainstreaming strategy. [179]

^{xxiii} Example of changes directly corresponding with the premises of the first assumption:

- Since 2007 nine gold Artisanal and Small Scale Mining (ASM) producer organisations in four Andean countries are developing the first Fairtrade-Fairmined artisanal gold and associated silver and platinum certification involving 4000 miners directly and 30.000 people indirectly. [outcome #12]
- In the period 2005-08, 131 energy enterprises have delivered and continue to deliver access to clean, modern energy to over 3.5 million people in 26 countries spread over Africa, Asia and Latin America. [42]
- In June 2008, the government of Swaziland, following mounting pressure from civil society about the negative impact of biofuels developments, enacted a policy mandating the Swaziland Environment Authority to order D1 Oils to stop all planting of Jatropha and conduct a Strategic Environmental Assessment. [67]
- The Wapichan people in South Guyana developed a renewed respect for their customary system of land use and the validity of their land claim in South Guyana (2004-2009). [77]
- On 14 November 2005, the Federal High Court of Nigeria ordered that gas flaring must stop in the Niger Delta Iwherekan community as it violates guaranteed constitutional rights to life and dignity. [62]
- Between 2005 and 2009, eight national governments changed policies, plans or regulations regarding forest peoples' rights as a reaction to the United Nations Committee on the Elimination of all Forms of Racial Discrimination's (CERD) affirmations of forest peoples' rights. [69]

^{xxiv} These 17 outcomes are: 12, 43, 44, 71, 79, 81, 89, 90, 91, 101, 103, 139, 143, 145, 182, 183 and 186. This assessment is the best professional judgement of Wolfgang Richert. Thus, this is not meant as rocket science but only a way to make closer analysis of the data given to the evaluators by the counterparts. For example:

- At the end of 2005, the ILO, UNESCO, UNICEF, the World Bank (and the Global March) established the Global Task Force on Child Labour and Education [outcome # 90].
- Since 2005, twenty-two countries have ratified the Convention 182 ILO Convention 182 on the Worst Forms of Child Labour [91].

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- In 2007, Wal-Mart demands that 117 union supporters at the Chong Won factory in Cavite, Philippines be reinstated as a condition of further business [143].

^{xxv} These 16 outcomes are: 1, 45, 52, 85, 117, 122, 138, 154, 155, 156, 157, 184, 185, 188 and 190.

Examples are:

- In 2006, the Singapore government is forced to revise a decision not to allow civil society activists to enter the country during the annual meetings of the World Bank-IMF [outcome 157];
- Between 2005 and 2008, a number of national governments, including those of Georgia, Nepal and Bangladesh create new programmes and/or laws for the achievement of gender justice [85];
- In 2008, the association of Filipinos based in the Netherlands (DFD) decided to link up with microfinance institutions back home for investment purposes [117].

^{xxvi} Six of the eight outcomes: Two were by IATP and FOEI, ICTSD, TWN and LVC contributed one each.

^{xxvii} See for example outcomes 44, 55, 60, 93, 103, 131, 171, 172 and the outcomes on the EU bio-fuels policy and the WTO Doha Round.

^{xxviii} Examples outcomes:

- In 2005 members of civil society organizations (CSOs) from Asia, Africa, Latin America, North America and Europe agree to form a co-ordinated response to agribusiness corporate power in major regions of the world. [1]
- In April 2008, the 58 member governments of IAASTD published its call for a complete overhaul of corporate controlled agriculture, and more support for peasant based sustainable food production. [59]
- Starting in 2007, the World Bank, the G8, and some intergovernmental organizations concerned with governance of food and agriculture begin in their publications to stress the importance of small-holders and women producers, the urgency of innovative responses to the ecological challenges to industrial food production, and the need to regulate marketing and financial structures to protect food security from market failures. [105]
- In February 2007, the WTO Director General, UNEP Executive Director and Environment Ministers call for greater synergy between the trade and environment regimes at UNEP 24 Governing Council. [108]
- The relevant working group of the High Level Panel of the UN Human Rights Council took up the issue of peasant rights for study. [137]
- On September 11, 2009, the United Nations ad-hoc working group on the economic and financial crisis meets for the first time, inaugurating a new era in global governance. [156]
- On 14 September 2009, French President Nicolas Sarkozy presides over the launch of the report of the Commission on Measuring Economic Performance and Social Progress and commits himself to bring to the EU and to the G20 its recommendation that Gross National Product be substituted as the key economic indicator in favour of measures that take the environment and equity into account. [158]

^{xxix} See outcomes 139, 140, 142-145.

^{xxx} See outcomes 181-184.

^{xxxi} See outcomes 91 and 92.

^{xxxii} See respectively outcomes 71, 43, 12 and 81.

^{xxxiii} Three outcomes contribute solely to greenhouse gas emission reductions:

- Beginning in 2008, banks take a number of initiatives to develop joint policies and guidelines on how to minimise their impact on climate change, including the 'carbon principles' and the 'climate principles', as well as the first-time adoption of climate policies of various quality. [15]
- In 2009, the national government of Scotland adopts a climate change bill committing to reducing emissions to 42% of 1990 levels by 2020, and 80% by 2050. [88]
- In December 2007, governments that are Parties to the UN Framework Convention on Climate Change launched a comprehensive process, the 'Bali Action Plan', to more effectively implement the treaty. [170]

xxxiv Eight outcomes demonstrate changes in capital flows:

- In 2009, a consortium of export credit agencies (ECAs), including the ECAs of Germany, Switzerland, and Austria, dissolve the loan agreement to support the Ilisu dam in Turkey. [20]
- In December 2008, the European Council and European Parliament excludes forests in the revision of the European Emission's Trading Scheme Directive (ETS), thereby strengthening the Directive's influence on actual CO2 emission reduction. [47]
- In 2008, the European Commission opens the possibility for smaller Southern NGOs to access EC funds. [50]
- In 2007, the European Bank for Reconstruction and Development (EBRD) announced that it would no longer consider funding the Sakhalin II project, which will produce offshore gas and oil from Russia's far eastern coast. [63]
- In 2008, the Canadian government passes the Better Aid bill, improving the quality of Canadian foreign development aid. [84]
- Between 2005 and 2008, governments in a number of donor countries improve their approaches to aid. [86]
- Since 2006, the World Bank have factored in child labour elimination in their poverty reduction and education strategies. [89]
- In September 2008, the High Level Forum on Aid Effectiveness organized by the OECD and the World Bank, held in Accra and referred to as the Accra Action Agenda (AAA) includes in its outcome document promises to change the definition of aid "ownership", to revise conditionalities and to better involve parliaments and civil society organizations in the aid process. [155]

xxxv But before discounting them, it is important to consider the possible reasons why this occurred. One reason may be that counterparts are aware of Oxfam Novib's now historical emphasis on gender justice; since the early nineties Oxfam Novib has promoted gender equality as a priority issue in development co-operation. Another is that assumptions are abstract. The identification of an outcome with a Gender Justice ToC assumption should certainly not automatically be invalidated by the absence of evidence of an explicit gender component. In other cases, counterparts may have erroneously considered that simply their identification of the assumption as evidence in itself and then chose not to mention the point in the formulation of their outcome. Also, the counterpart may not have had access to gender disaggregated data or erroneously assumed that the connection between the outcome and progress toward gender justice results is obvious to the reader. Or, counterparts may presume that the reader would read their outcome formulation with a gender lens and with detailed knowledge of the gender disaggregation of say, terms like "farmers" or "indigenous" people.

xxxvi Outcomes 6, 7, and 8, for example

xxxvii Outcomes 192, 193, 195 and 196 for example

xxxviii Outcome 53 for example

xxxix Outcomes 142, 143, 144 for example

xl Outcome 12 for example

xli Outcome 42 for example

xlII For example, 6, 7, 8, 127, 150, 151,

xlIII For example, 152

xlIV For example, 12, 53, 75, 176,

xlV 84, 86, 167, 168