Methodological Guide for EUKI Project Development

A working aid

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

On behalf of:

Federal Ministry for the Environment, Nature Conservation and Nuclear Safety

of the Federal Republic of Germany

European Climate Initiative EUKI

Contents

1

1. Introduction

Introduction and conceptual underpinnings

1

The **climate crisis is the biggest and most complex social problem** the world has ever faced. It affects all levels of society, crosses borders and continents. To keep global warming below the 1.5 – 2.0 centigrade to which the international community committed to in Paris in 2017 cannot be tackled by individual governments or other organisations within a country alone but **requires cooperation of a multitude of actors** whose relations, inputs and rules of the game must be determined in complex negotiation processes.

This also holds true for any single project or programme be it on the local, regional, national or international level. Designing any such project thus requires a **thorough understanding of the problem** to be tackled, the **sector** in which it is embedded, and the **relevant actors** involved with their different interests and resources.

The **aim of this working guide** is to provide questions and tools for systematically analysing these social problems, the processes governing the sector and the actors, which should be involved in working on the solution. It does not provide a prescription on how to complete the project outline or proposal template. Rather the guide should **encourage readers to reflect on their current concept, consider alternative approaches, new alliances etc. that would have the potential to increase the impact and sustainability of the original idea**. Since projects differ in size, ambition and complexity the applicability of the questions and tools may also vary and **their use is not mandatory**.

The underlying theoretical concept in this guide it the **systems theory** developed by Niklas Luhmann and others which rests on the assumption that society is comprised of different complex socials systems with each of them having their own meaning and modes of communication. An (EUKI) project can thus be understood as an "intervention" into the system or one of its sub-systems with the objective of initiating a deep-rooted social change.

Though most of us know about the **inherent complexity of social systems** we sometimes still fall into the trap of **developping strategies** which assume a linearity of results that look good on paper but rarely happens outside textbooks. In complex systems **planning** is usually not possible to the very detail. General conditions might change. Roles and mandates of key (governmental) actors might change. Staff changes within an organisation or those of partners might delay things. Tendering procedures might take longer than expected and not deliver the intended result. These risks need to be taken into account when defining the objectives and preparing our concept. They should **be realistic, achievable and clearly reflect the profile of the project**. The project concept helps us to keep an eye on the profile and monitor relevant factors in the project setting. If we (have to) deviate substantially from the initial concept, we have to discuss this with the EUKI Secretariat and make adjustments.

The **contribution of project partners, target groups and other collaborators** to the preparatory but especially implementation process is **key** to the success of projects. Granted: projects support societal change and societal change is usually grinding and precarious for those involved and affected. The more our target groups (and partners) **'take ownership'** of the project and its objective, the better the prospects for successful implementation, i.e. achieving the intended results.

This guide is based on a holistic **strategy approach** that is encapsulated in the Capacity WORKS management model[1], which has been developed by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH based on decades of experience in designing and implementing international cooperation projects.

[1] Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH: Cooperation Management for Practicioners. Managing Social Change with Capacity Works. Springer Gabler 2015.

Its core, the strategy loop, is based on **five steps**. Before proceeding, it is worth bearing in mind that these steps **do not follow a linear sequence** in practice. Time and again, it is necessary to jump forwards or backwards to check results and, in particular, to take into account the expectations of stakeholders.

Briefly, the steps in the **strategy loop** are as follows:

1. **analyse** the current situation to clarify the relevant context of the planned project;
2. devise **options** for reaching the planned objectives;
3. **decide** on an option;
4. **elaborate** the chosen strategy to clarify who has to do what with whom;
5. integrate the strategy into **operations** (work plan) in order to take the project to the implementation stage.

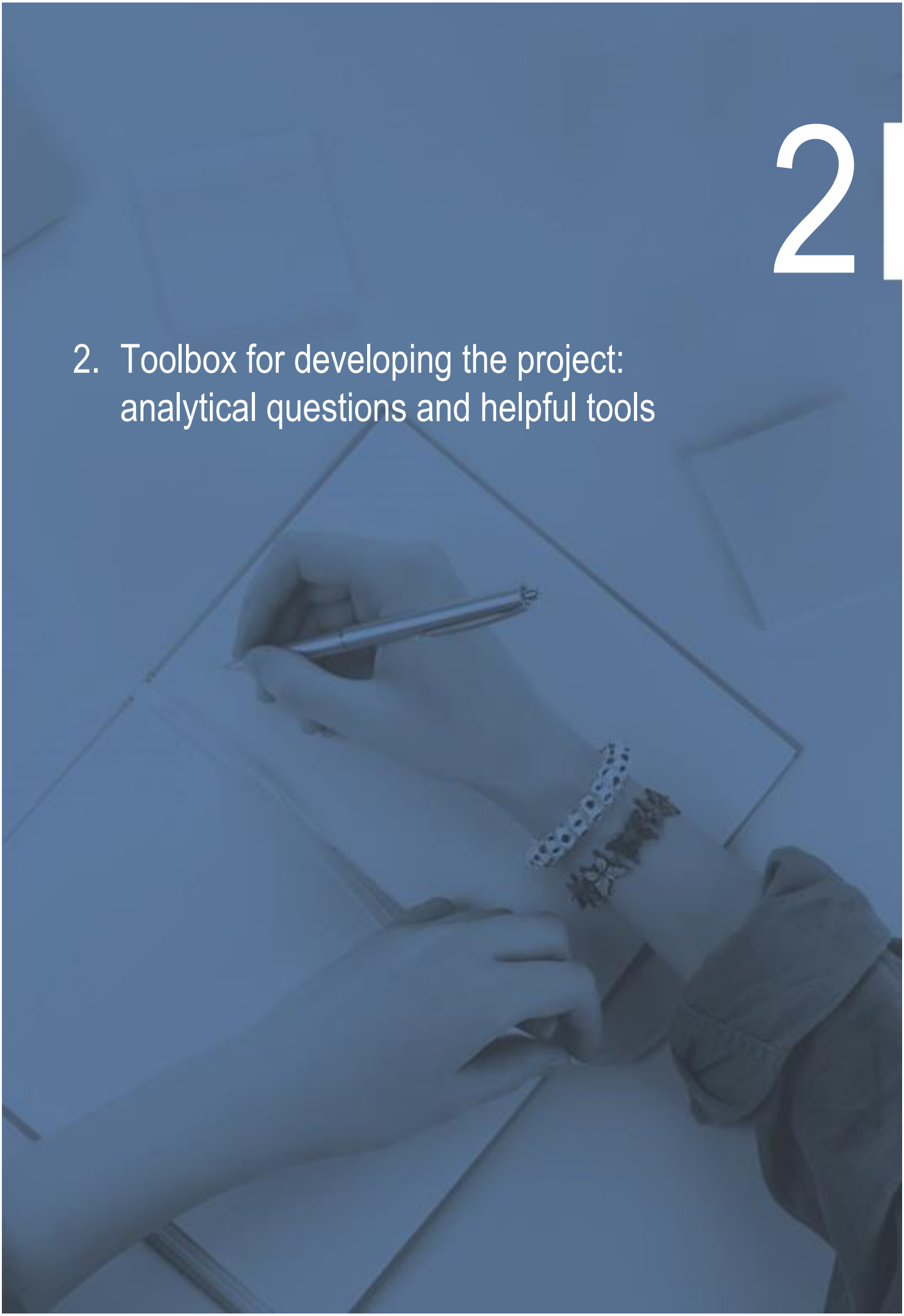
The objective of strategy development in the preparatory process is to produce a high-quality project outline, which is – if pre-selected - later translated into the full project proposal.

Since projects in EUKI are selected in a 2-stage process project development is conducted in 2 phases before project enter the implementation phase and the strategy loop starts anew when results from the project monitoring suggests a revision of the work plan (and sometimes outputs).

Project Outline	Project Proposal	Implementation
- Current situation analysis (SWOT) - Devise strategic options how to tackle the identified problem. - Decide for a strategic option - Formulate an initial outcome and outputs - Identify important actors and incorporate them into your project concept - Sketch out preliminary key activities	- Verify the situation analysis - Review strategic options, take into account comments by the evaluators - (Re-)formulate or refine hierarchy of objectives (impact, outcome, outputs - Define indicators - Conduct a thorough risk analysis and devise mitigation strategies - Develop an appropriate steering structure	- Monitoring: a regular review of the situation and results with project partners, other key actors (and EUKI Secretariat) - Review strategy and if necessary amend work plan with partners - If necessary engage in contract amendment with the EUKI Secretariat

2

2. Toolbox for developing the project: analytical questions and helpful tools



2.1 Analytical questions

2.1

Why do we need analytical questions and tools? The entire preparation process is designed to produce a **realistic project outline** (and later proposal) on which actual implementation of the project will be based. No project – be it a new or a follow-on project – is ever the same as any other! Nevertheless, we do not need to keep reinventing the wheel. Tried and tested questions help us focus on what is really important, and **avoid falling into the trap of using blueprints**.

These questions – compiled under the heading 'General and topic-specific analytical questions' – offer initial guidance on the **relevant perspectives** in a project. They encourage us to seek out the specific challenges of the project under development, and shed light on the project **from all the relevant angles**. Ultimately, they are designed to breathe life into the project proposal in a way that is meaningful.

!

During the preparatory process, the questions can be applied as they stand, or they can be **reworded** to a greater or lesser extent. They can also be supplemented by **additional, more specific questions**, or adjusted to provide **a more narrow focus on specific issues**. The important thing is that the questions **are actually addressed** – either by raising them literally as questions or applying them in the form of specially designed tools.

The art of asking questions
The collection below will help you decide which questions you can ask in order to generate the **content** required for the various **sections of the project proposal**. For instructions on integrating the questions into the preparation process please refer to the tables on the specific steps in the process.

Both the questions and the proposed tools will generate precise information on (1) **what** is to be achieved, (2) **with whom** those objectives are to be achieved, as well as what contributions the various partners (and other stakeholders) will make, and (3) **how** the objectives are to be achieved.

The particular relevance and importance of some of these questions will vary from case to case and project format to project format. They must hence not be addressed in full but rather be seen as pointer to relevant issues to be considered when preparing the proposal.

The questions (and the tools) should be applied to the following areas. We recommend that you address these topics in the following order:

- Actors and target groups
- Processes and frameworks
- Objectives, results hypotheses and indicators
- Sustainability and risks
- Capacity development – status quo and requirements

Actors and target groups

◄ Analytical questions

- Which actors from the public sector, civil society, the private sector and the academic and research community (will) play a direct role in the project "story"?
- What roles exist? Who needs to be involved so that the story works distinguishing between the level of society as a whole (macro), among relevant institutions (meso) and among key individuals (micro)?
- How have the actors played their roles so far? What deficits and potentials are evident in this context? What financial resources/sources of funding do the various actors have?
- Who can act as drivers or blockers? What alliances and conflicts exist? Which factors reinforce the current role behaviour?
- What forms of cooperation already exist? Could the project build on these formats and further develop them into multi-stakeholder partnerships that would help achieve the objectives?
- Which actors must be involved in steering the project?
- Who are the target groups of the project – sections of the population or intermediaries?
- What actors from the field of training can be considered as implementing partners/disseminators for capacity development?

◄ Supplies information for the following sections

Project Outline:
4.1 Target group

Project Proposal:
1.3 Implementing partners and steering structure
3.1 Initial Situation in the target countries/region
3.2 Stakeholder landscape in the sector
4.1 Target group
6.3 Knowledge management

Map of actors

◄ Helpful tool

Processes and frameworks

◄ Analytical questions

- What kind of other projects or government initiatives are currently implemented in the sector? Where are there synergy effects? Where is there scope for a division of labour?
- What climate policy frameworks/orienting structures exist in the target countries (e.g. climate goals, national/regional/local strategies, plans and programmes, etc.)?
- What is already working well in the sector? Where is the greatest potential for change? (strengths + opportunities)
- What is not working or not working very well in the sector? Where are the key constraints to an ambitious climate policy? What stabilising factors are reinforcing these constraints? (weaknesses/threats)
- What cooperation experiences already exist? In the case of **follow-on projects**: What lessons learned need to be taken into account? What went well in the project? What did not work so well, or not at all? What should there be more of in the future? What should there be less of?

◄ Supplies information for the following sections

Project Outline

3.1 Starting situation in the target countries
3.2 Integration of the project into the strategy of the target countries
6. Synergies

Project Proposal

3.1 Initial situation in the target countries/region
3.3 Embedding the project in the target country's climate policy framework
6.1 Networking and synergies

Process map

◄ Helpful tool

Objectives, results hypotheses and indicators

Analytical questions

- Who or what has to change in order to achieve a positive change process?
- What contribution will the project make, i.e. what or who will be supported as part of the change process, and how?
- What assumptions/results logic underlie the envisaged path to change?
- What do the project partners see as the priorities? What might be an achievable outcome and outputs for the project?
- What will the project do in order to achieve the results on a sustainable basis? What political, sociocultural, or other changes need to be addressed in order to guarantee this sustainability?
- How can the outcome and outputs of the project be measured (possible indicators)?
- What baseline data exist for the possible indicators?
- Are there any indications of possible unintended negative results? If so, which measures can be taken to mitigate/avoid these risks?
- What measures to reduce or prevent unintended negative results and risks must the project monitor in order to ensure that the objectives and results are achieved?

Supplies information for the following sections

Project Outline

4.2 Outcome
4.3 Outputs
4.4 Key activities
4.5 Impacts
4.6 Results chain
5. Sustainability

Project Proposal

4.2 Impacts
4.3 Results logic
4.4 Outcome

4.5 Outputs
4.6 Technical, political and economic risks
4.7 Ensuring sustainability

Results model

◄ Helpful tool

Sustainability and risks

- What positive side effects (social, economic, environmental) will the project generate (beyond the scope of its ability to influence these results)?
- What must the project do in order to ensure that the intended results are achieved self-reliantly by the stakeholders in the medium to long term?
- What existing strengths in the sector (resource orientation) can the project use to ensure that its results are sustainable?
- What are the risks related to the project: political, technical, economic or other risks?
- What must the project do to minimise the potential (external) risks and negative synergies/trade-offs?

◄ Analytical questions

Project Outline

4.5 Impacts
5. Sustainability

Project Proposal

4.2 Impacts
4.6 Technical, political and economic risks
4.7 Ensuring sustainability

◄ Supplies information for the following sections

Results model (outside the project's sphere of responsibility)

◄ Helpful tool

Capacity development – status quo and requirements

- What activities for competence development, organisational development, facilitation of cooperation or development of societal frameworks will lead to results (lead to results = mitigate weaknesses, develop strengths, seize opportunities, manage threats)?
- In addition, which activities will only work if we prepare the ground on each of the other levels (individuals, organisations, society)?
- What is being actively done to ensure that the capacities that have been built can be used beyond the term of the project?
- What might impede the learning processes (lack of resources, no trainers/instructors)?

◄ Analytical questions

Project Outline

4.3 Outputs
4.4 Key activities
5. Sustainability

Project Proposal

4.3 Results logic and capacity development
4.5 Outputs
4.7 Ensuring sustainability

◄ Supplies information for the following sections

SWOT for the project with CD strategy

◄ Helpful tool

Instrument mix and input specification

(can only be addressed after looking at all the other areas)

◄ Analytical questions

- What are the major work packages?
- Which instruments are best suited for supporting development of the intended capacities on the three levels of individuals, organisations and society (e.g. training, awareness raising, studies…)?
- What activities are necessary for achieving the project objective but cannot be assigned to specific outputs (project management, networking and exchange, knowledge management, monitoring and evaluation, PR work, dissemination)?
- What preferences do the target groups have with respect to the various instruments? Do requirements or wishes of the target groups affect the leeway for the use of instruments?
- Through which instruments a smart link with complementary activities of other projects or actors in the same field of activity can be ensured?
- How should the project team be made up so that it matches the range of technical and methodological tasks resulting from the project proposal?
- Cost-effectiveness check:
  - Is there an appropriate ratio between the identified costs and the relevant output delivered?
  - Which cost drivers might perhaps be avoided?
- If digital approaches are used: Where can open source software be used to cut costs?

Project Outline
4.3 Outputs
4.4 Key activities

Project Proposal

4.5 Outputs
6.3 Knowledge management
6.4 Dissemination and visibility

Annex 3: Budget

◄ **Supplies information for the following sections**

Results model, CD strategy

◄ **Helpful tools**

2.2 Helpful tools

Alternatively, you can use the following **tools** to apply the **analytical questions** in the context of the project. A structured approach that includes visualisation will help generate conclusions that might not be obvious from the answers to the questions. This is why we recommend using the tools.

There is no single 'correct' **order** in which the tools should be applied – although some of the tools are interconnected and build on each other. The project development team is more likely to keep returning to various tools, applying them on an iterative basis. One sequence we recommend for getting started is as follows:

1. Map of actors (easy to access)
2. Process map (or in reverse order, according to preference)
3. Results model
4. CD strategy
5. Instrument mix and input specification

Map of actors

◄ Tool

Area to look at: Target groups and partners (actors)

◄ Purpose

- One key way of approaching a sector or a specific issue in this sector is by looking at the actors that play a key role in that sector, and therefore may potentially play a role in the project. (An actor is usually an organisation, or in some cases an influential public figure. Their behaviour is shaped as much by their interests as it is by their designated role and position within society. Actors are stakeholders; they are 'participants' in the process of 'social development' that they try to influence.) This means it is important to analyse the actors carefully in order to focus the objective and the results of the project.
- The map of actors also provides a suitable framework for analysing and visualising the current relationships.

◄ Participants

Some of the main actors will already emerge at the early stage of developing the project idea. An initial list of relevant actors can be drawn up at this point. The map of actors should be produced together by the implementer and implementing partners possibly including other knowledgeable actors on the ground (ideally in a workshop), in order to generate a common understanding.

Map of actors

◄ Tool

Visualisation of the map of actors, ideally in PowerPoint, so that it can be updated during the course of the project. Documentation of the key hypotheses on the relevant actors for inclusion in the SWOT analysis.

◄ Product

Stakeholder landscape in the sector

◄ Sections of the project outline and proposal

Project Outline:

4.1 Target group

Project Proposal:

1.3 Implementing partners and steering structure
3.1 Initial Situation in the target countries/region
3.2 Stakeholder landscape in the sector
4.1 Target group

Map of actors

◄ Tool

◄ Focus

A map of actors depicts the relevant state, private sector and civil society organisations and institutions, and shows what influence they possess and their relationships. The map of actors usually also exposes information gaps and participation deficits. It draws attention to which actors and relationships between actors we know too little or nothing at all about, and where we need to obtain additional information. It also shows which actors must be involved in the project, possibly as key actors e.g. for a scaling-up strategy.
Assessments concerning the competence development requirements for the staff of these organisations provide an important basis for subsequent thinking on the Capacity Development strategy at the interface between individuals and organisations.

1. Formulate the key issue

- A map of actors should be based on a clearly defined key issue. This will enable you to narrow down the number of actors, and guarantee clarity. Hence, you should start by clearly formulating the key issue. By producing the map of actors, what issue do we wish to address at a specific stage of a (future) project?
- A project design usually involves obtaining an overview of the relevant actors and their relationships. Specific questions arise for instance with regard to selecting the (complementary) project partners.

To create a map that will yield useful information, remember to include all the main actors, without overloading the map with too many visualised elements.
The following general and topic-specific analytical questions will help you identify the relevant actors.

— Which actors from the public sector, civil society, the private sector and the academic and research community (will) play a direct role in the project story?
— What roles exist? Who needs to be involved so that the story works?
— Who are the key actors on the macro, meso and micro levels?
— Which actors must be involved in steering the project? Who is willing and able to assume ownership?
— What consultation (and coordination) mechanisms between governments and civil society exist that could be used?
— Which groups can be identified as the probable key drivers of change, and should therefore be supported? (strategic competence development)?
— Who are the target groups of the project – sections of the population or intermediaries?

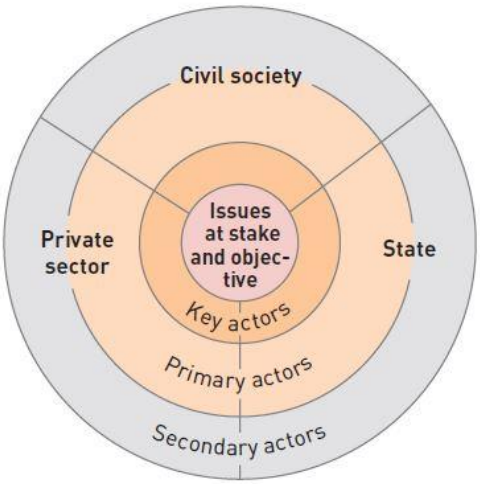
Map of actors

◄ Tool

2. Select the form of representation

◄ Focus

You can visualise the map of actors in the form of an onion.



Depending on the context it will make sense to segment the actors (e.g. by breaking them down into the segments state, civil society and private sector – or you may wish to segment them into the macro, meso and micro levels, or break them down using some other criteria).

3. Put in the actors

You can, for instance, use the following symbols to map the various groups of actors:

●	Key or primary actor with little influence
●	Key or primary actor with little influence
V	Veto player
▭	Veto player

You can now position the individual actors accordingly against the selected background. When positioning the actors it is helpful if you place those between whom a close relationship exists close to each other.

Map of actors

◄ Tool

4. Represent the relationships between the actors

◄ Focus

In this step, you need to discuss the relationships between the actors. The following general and topic-specific analytical questions will assist you:

— What forms of cooperation already exist?
— How have the actors played their roles so far? What deficits and potentials are evident in this context?
— What multi-stakeholder partnerships between actors from the realms of the state, civil society, the private sector and the academic and research community are conceivable, and would help achieve the objectives?
— Who can act as drivers or blockers? What alliances and conflicts exist? Which factors reinforce the current role behaviour?
What financial resources/sources of funding do the various actors have?

———	Solid lines symbolise close relationships in terms of information exchange, frequency of contact, overlap of interests, coordination, mutual trust, etc.
---?---	Dotted lines symbolise weak or informal relationships. The question mark is added the nature of the relationship is not yet clear.
═══	Double lines symbolise alliances and cooperation partnerships that are formalised contractually or institutionally.
——►	Arrows symbolise the dominance of one actor over another.
—⚡—	Lines crossed by a bolt of lightning symbolise relationships marked by tension, con interests or other forms of conflict.
—‖—	Cross lines symbolise relationships that have been interrupted or damaged.

5. Evaluate the outcome

In this last step, you jointly evaluate the outcome.
Is your map of actors an accurate reflection of the current reality? Have you taken into account all relevant actors? What is the first thing that strikes you?

Transfer the key outcomes of your joint discussions to the SWOT analysis in the form of working hypotheses and possible options for action in relation to the issue defined at the outset.

Process map

◄ Tool

Area to look at: Processes and frameworks

◄ Purpose

Analysing the relevant processes in the sector/the area of social concern will create a shared understanding of the system in the target country.
This common understanding generated by the process map will help you to focus the project development process and orient it towards achievable results.

The project development team can produce an outline of the relevant processes. The process map should be discussed, validated and completed together by the implementer and implementing partners and relevant knowledge bearers in the project setting.

◄ Participants

Process map

◄ Tool

Visualisation of the process map, ideally in PowerPoint, so that it can be updated during the course of the project. Hypotheses on the process map developed during the discussion can be incorporated into the SWOT analysis.

◄ Product

Project Outline

3.1 Starting situation in the target countries
3.2 Integration of the project into the strategy of the target countries
6. Synergies

Project Proposal

3.1 Initial situation in the target countries/region
3.3 Embedding the project in the target country' climate policy framework
6.1 Networking and synergies

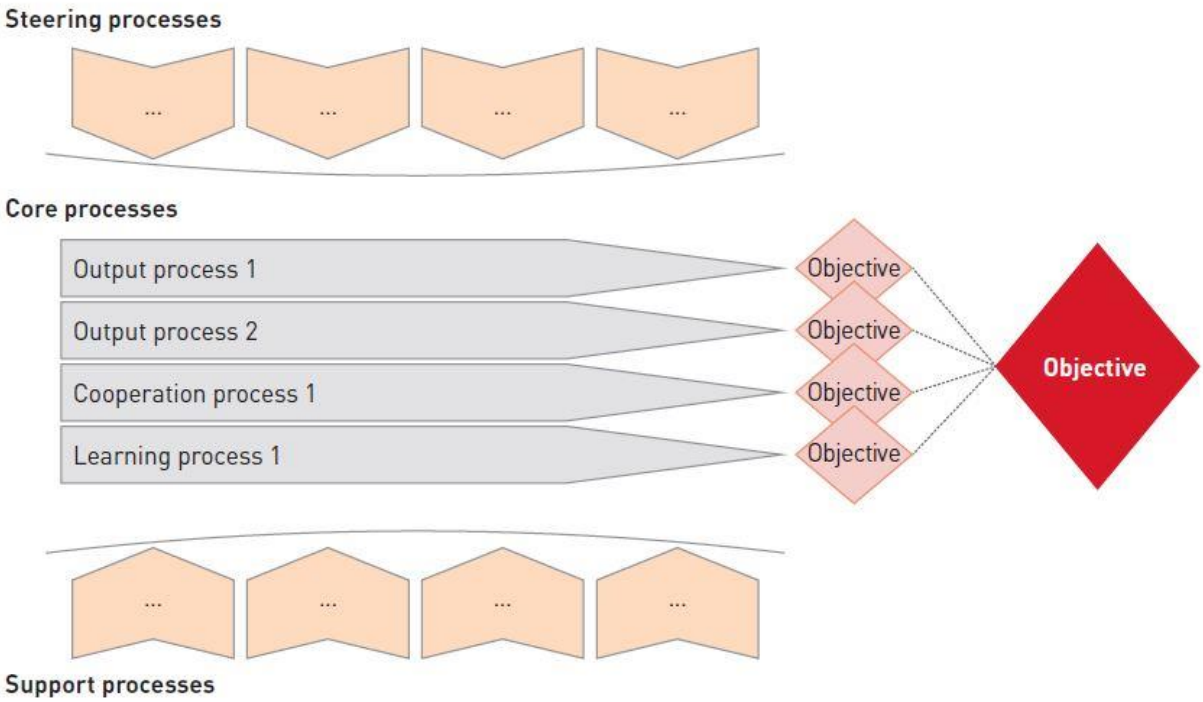
◄ Sections of the project outline and proposal

Process map

◄ Tool

A process map depicts the actual situation in the partner system, and enables you to identify and discuss possible points of entry for the strategy in the project.

◄ Focus



The following questions will provide continuous support as you identify the processes.

- What is already working well in the sector? Where is the greatest potential for change? (strengths + opportunities)
- What is not working or not working very well in the sector? Where are the key constraints to development? What stabilising factors are reinforcing these constraints? (weaknesses/threats)

Process map

◄ Tool

1. Identify objectives in the sector/partner system

◄ How to proceed

Begin with the key objectives to be achieved in the sector (the area of social concern). In most cases the objectives will be evident from the national strategies in the relevant policy field. If indicators are available for these objectives you should also document them.

Please also document any differences in interpretation of the objectives by different actors. The objective formulated here should answer the following question: What objective is the country pursuing in this sector/area of social concern?

In other words, at this point we are not referring either to the objective of the project or to objectives of specific organisations. We are referring to objectives of the relevant partner system, in order to focus on the object of concern in the given context, e.g. 'Coal phase out by 2030', "RE share in the electricity mix of 50% by 2025', 'Carbon neutral building stock by 2040'

2. Identify key output processes

List the key output processes designed to achieve the objectives in the sector, and include their sub-processes. Organisations involved will then become evident, and can be documented for further steps. Regarding the above cited objective of 50% in the electricity mix possible output processes might refer to an upgrading of the grid, development of wind and solar capacity, energy market design etc.

Process map

◄ Tool

3. Identify the remaining processes

◄ How to proceed

Based on the output processes identified, you now need to identify further important processes that affect performance in the sector. You will find it helpful to distinguish between the following types of process, according to your requirements:

- **Steering processes:** Strategic and organisational framework (created by targets, allocation of resources and rules) for the core processes, designed to provide guidance and structure decision-making (e.g. laws, international/national policies and strategies, public budget, etc.).

- **Cooperation processes:** All processes designed to support in any way the harmonisation and coordination of activities in terms of when and where they take place, and cooperation between various individuals, organisational units and state and non-state actors within the cooperation system (e.g. official bodies, NGOs, working groups, harmonisation between local and regional development planning, etc.).

- **Learning processes:** Learning processes support the consolidation and sharing of experience and knowledge – in cooperation systems both within organisations, and among individuals or groups (e.g. institutionalised exchange between associations or networks, between representatives at the local and regional levels, dialogue forums, etc.).

- **Support processes:** All processes that help deliver the services or outputs that generate actual benefits (e.g. output processes). They help things run smoothly, as well as facilitating high-quality learning within the cooperation
system. One of their characteristic features is that they can usually be outsourced to service providers (e.g. knowledge management, conduct of training measures, etc.).

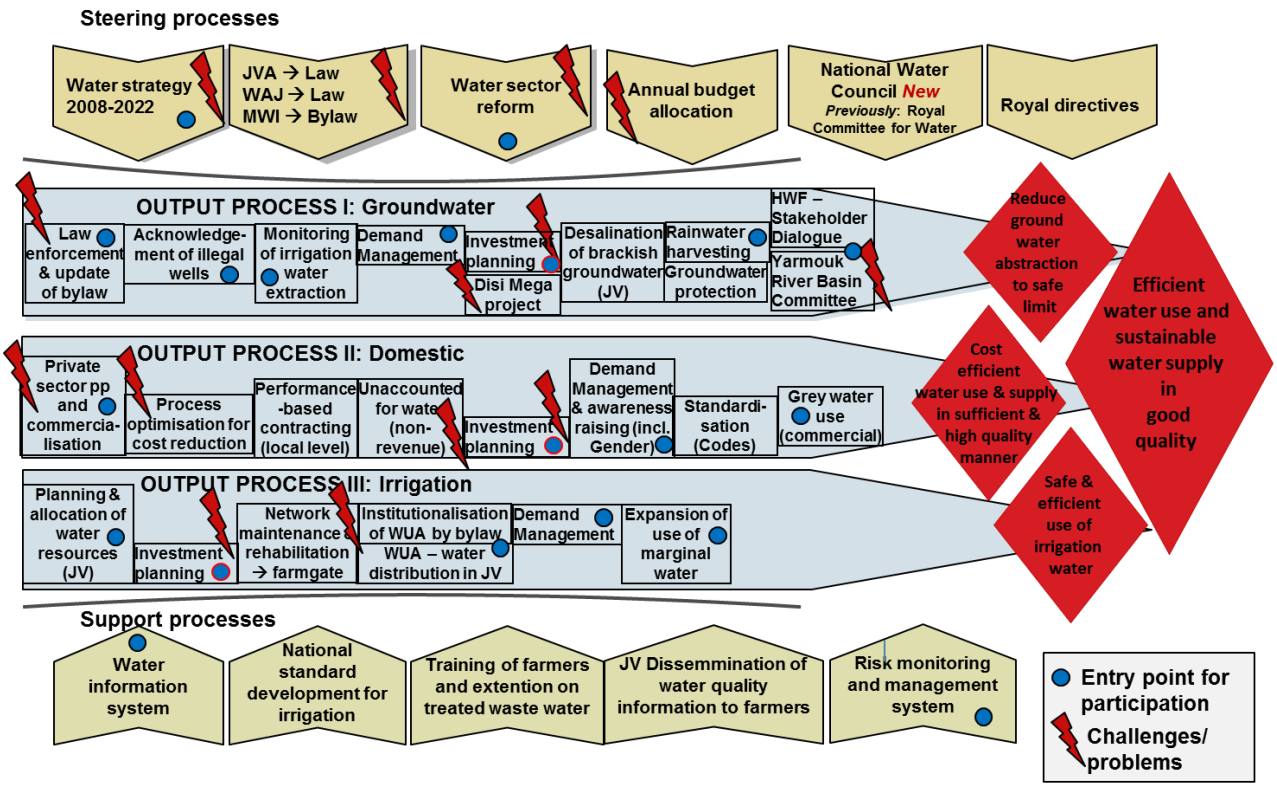
You can also identify and document the responsible organisations involved in the individual processes.

Process map

◄ Tool

The diagram below shows an example – a process landscape (not including cooperation and learning processes, which were analysed separately) for the water sector in Jordan.

◄ How to proceed



Process map

◄ Tool

4. Consult the process map

◄ How to proceed

Drawing up the process map brings to light the strengths (what is working well?), weaknesses, potential for change and constraints to development in the sector under observation, so that these can be discussed. For example, it may become clear that certain steering processes are not working very well, or do not exist at all. This enables us to identify points of entry for the strategy of the project.

Once you have produced the process map you can also use it to discuss and answer a range of questions that will be incorporated directly into the project proposal (see also the general and topic-specific analytical questions):

- What kind of other projects or government initiatives are currently implemented in the sector? Where are there synergy effects, where is there scope for a division of labour?
- What climate policy frameworks/orienting structures exist in the target countries (e.g. climate goals, national/regional/local strategies, plans and programms, etc.)?
- What is already working well in the sector? Where is the greatest potential for change? (strengths + opportunities)
- What is not working or not working very well in the sector? Where are the key constraints to an ambitious climate policy? What stabilising factors are reinforcing these constraints? (weaknesses/threats)
- What cooperation experiences already exist? In the case of **follow-on projects**: What lessons learned need to be taken into account? What went well in the project? What did not work so well, or not at all? What should there be more of in the future? What should there be less of?

Results model

◄ Tool

◄ Purpose

Areas to look at: Objectives (impacts, outcomes, outputs), results hypotheses and indicators + sustainability and risks

The results model provides the essential basis for the strategic design of the project. It depicts positive results that are interconnected (i.e. build on each other), and are designed to contribute to desired changes in the sector(s). It is a suitable basis on which to decide what outcome the project should pursue.

From this we infer the scope of the project's sphere of responsibility, i.e. demarcate the 'system boundary'. It then becomes clear which change the project partners can induce through their joint activities and for which contribution of other actors (e.g. governments) will vital. These other actors could be for instance be involved in the steering structure to ensure their buy-in. The project has little influence over results outside its sphere of responsibility, although these results are a matter of interest to the project and should therefore be monitored (sustainability and risks).

◄ Participants

Decisions concerning the strategy of the project, (their desired) alignment with sector strategies, the agreement on outcome and envisaged outputs, agreement as to which other actors are relevant, and agreement on the contributions of the different partners in the desired change process, are all part of the project development process. These points can only be discussed together with the project partners (and possibly important other actors). Ideally, a workshop with all project partners (and other outside actors) will be held to joint develop the results model. Alternatively, the lead partner can produce a draft version of the results model and discuss the findings with the other partners (and other outside actors).

Results model

◄ Tool

Visualisation of the results model, documentation of the assumptions, results hypotheses and risks, documentation of the indicators (the indicators must be worded specifically in relation to the objective, and reflect a verifiable quantitative or qualitative change). Baseline values, target values and the data source or data collection method must be stated in as concrete a manner as possible for all indicators.

◄ Product

Project Outline

4.2 Outcome
4.3 Outputs
4.4 Key activities
4.5 Impacts
4.6 Results chain
5. Sustainability

Project Proposal

4.2 Impacts
4.3 Results logic
4.4 Outcome
4.5 Outputs
4.6 Technical, political and economic risks
4.7 Ensuring sustainability

◄ Sections of the project outline and proposal

Results model

◄ Tool

◄ Focus

The results model provides an overview of the needed or desirable changes (outcome and outputs) in the area of social concern helps to identify possible instruments to initiate these changes.

Take the intended outcome (the result that gives an answer to an identified problem you would like to address in your project) as a starting point. The different outputs (results) relate to the various levels of capacity development (society, organisations, individuals), and one result can involve several levels, creating awareness or networking. The results model provides a clear visualisation of the intended strategy for change pursued by the project.

The links between the outputs and the outcome reflect assumptions concerning positive intended changes within the project's sphere of responsibility. These assumptions are worded as results hypotheses. The results model also contains references to possible results outside the project's sphere of responsibility, as well as possible unintended negative results and risks.

Results model

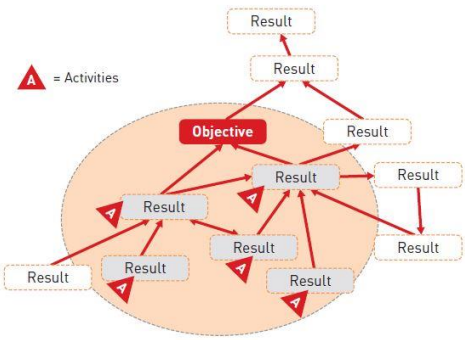
◄ Tool

1. Visualise the path to change and list results hypotheses

◄ How to proceed

We recommend that you do not begin developing the results model until you have completed the analysis of the current situation in the area of social concern/the sector. You will then be able to build on the results of the analytical steps already completed (SWOT analysis, process map, map of actors, etc.). This is the basis on which you will then construct and visualise the intended path of change in the area of concern, always in relation to the question: who or what has to change in order to achieve a positive change process? The results should be worded as a target situation, e.g. 'SME invest in energy saving measures in their production processes.'

Place these identified changes in relation to each other using results hypotheses: **What assumptions/results hypotheses underlie the envisaged path to change?** These links are visualised using arrows between the results, which document the results hypotheses (this is useful when writing the project proposal). This results in a systemic, non-linear depiction of the needed changes in the relevant sector.



Results model

◄ Tool

2. Identify the outcome

◄ How to proceed

Based on the first 'rough' results model a result then has to be selected that is identified as the outcome (objective) of the project.
The key questions here are: **Which problem do the project partners and other stakeholders would like to address? What might an achievable outcome (objective) and outputs (results) for the project?** To ensure that the outcome of the project is realistic and feasible, the implementing partners and other key actors should be involved as

closely as possible, and their interests, resources and willingness to change taken into account.

3. Review relevant actors

This step involves a crosscheck to ensure that all-important actors have been included, plus discussion of what roles they can play in supporting achievement of the project's objective. Besides the project partners there may be other actors you have not yet included, or not yet sufficiently, who are relevant to the success of the project, and who should therefore be considered and possibly involved in it.

4. Define the sphere of responsibility and system boundary

This step is designed to check the feasibility of the results model. Here we need to clarify which outputs can actually be achieved or influenced given the available resources and conditions – and which results lie beyond the project's influence. Nevertheless, you still need to keep an eye on the latter, as they may be factors that either reinforce or constrain the achievement of the outcome (risks). The key question is: **What contribution will the project make, i.e. what or who will be supported as part of the change process, and how?** The results (outcome and outputs) that will be supported by the (future) project can be circumscribed by a system boundary.

5. Consult the results model – within the sphere of responsibility

Finally, the results model can be used to generate answers to a number of key questions that will be helpful when completing the outline and proposal:

- What will the project do in order to achieve the outcome and outputs on a sustainable basis?
- Are there any indications of unintended negative results?
  If so, which measures can be taken to mitigate/avoid these risks?
- What measures to reduce or prevent unintended negative results and risks must the project monitor in order to ensure that the objectives and results are achieved?
- How can the outcome and outputs of the project be measured (possible indicators)?
- What baseline data exist for the possible indicators?

Results model

◄ Tool

6. Consult the results model – outside the sphere of responsibility

◄ How to proceed

The same thing applies to results that will fall outside of the project's sphere of responsibility:

- What positive side effects will the project generate (beyond the scope of its ability to influence these results)?
- What must the project do in order to ensure that the intended results/performance are achieved by the target group self-reliantly in the medium to long term?
- What must the project do to minimise the potential (external) risks and negative synergies/trade-offs
- What are the risks related to the project: technical, political, other
- What measures to reduce or prevent unintended negative results and risks

Capacity Development Strategy

◄ Tool

Area to look at: Capacity development – status quo and requirements

◄ Purpose

The Capacity Development (CD) strategy defines specific CD activities that are expected to deliver the envisaged outputs, i.e. the intended changed behaviour of actors, or a changed situation, as described in the results model.CD activities can either be on the level **of individuals** (i.e. trainings), **organisations** (i.e. organisational development) **or society as a whole (**i.e. framework conditions**). Activities should be presented in bundles of activities (workpackages).** In the most cases, work packages can be design in a way that they lead to one of the outputs described in the results model. However, there are also cases that one activity is contributing to different outputs or that more than one work packages are producing an output.
Preparing a CD strategy thus also generates the valuable additional benefit of an extensive crosscheck of the project design and the methodological approach.

◄ Participants

Preparing a coherent CD strategy requires the project partners (and other key actors) involved in implementing the project to discuss and agree on the relevant points, ideally in a workshop setting. The relevant knowledge must be available to give attention to all the levels of CD: training, organisational development and development of cooperation arrangements and institutional and political frameworks.

Capacity Development Strategy

◄ tool

CD strategy in the form of the CD strategy matrix

◄ Product

Practical hint: The entire table is required for conceptual development of the CD strategy. Once it is complete, it is often sufficient to refer to the intended capacities, work packages and activities, and their interactions (between the levels and with other projects or government activities).

◄ Sections of the project outline and proposal

Project Outline

4.3 Outputs
4.4 Key activities
5. Sustainability

Project Proposal

4.3 Results logic and capacity development
4.5 Outputs
4.7 Ensuring sustainability

Capacity Development Strategy

◄ tool

◄ Description

The CD strategy reflects the specific activities to be delivered by the project so that the changes visualised in the results model can take place. The CD strategy thus provides key guidance on implementing the project strategy. It looks at the situation in the (sub-)sector to be targeted by the project in a holistic view (i.e. strength and weaknesses, as well as opportunities and threats on the levels of individuals, relevant organisation and the level of society). This should result in a consistent composition of well-harmonised activities with maximum potential for synergy with other initiatives.

◄ Procedure

1. Understand the concept of the CD strategy

Before work starts on the CD strategy itself, you should ensure that all those involved have the same basic understanding of what a CD strategy is. In this guide 'capacity' means the ability of individuals, organisations and societies to manage their own sustainable development processes. It concerns the ability for proactive management, for which different types of capacities have to be combined (e.g. of individuals within an organisation but also the structure of an organisation as a whole). The strategy thus aims to shed light on the project in such a way that no key aspect, which might subsequently prove to be a stumbling block, is overlooked. This is important, because there is a risk that competence development, organisational development and the development of enabling frameworks might remain a piecemeal process if it is not understood and addressed on a holistic basis.

2. Determine the focus of the CD strategy

In this step, you define the focus of the CD strategy. For EUKI projects in most cases one overarching CD strategy might be sufficient but provided the situation in different countries covered by the project is very different it might also make sense to develop country specific CD strategies or strategies along different components.). A concise and catchy heading will help guide a group discussion. The overall aim is to describe **who should pursue what development** on the various levels (individual, organisational, societal) and **why. What** specifically needs to be done in order to facilitate that – **who** needs to cooperate with **whom** in order that this succeeds – and how the specific activities on the different levels **fit together**.

Capacity Development Strategy ◄ tool

The capacity development matrix **Focus:** *(Overall project, line of action, etc.)*				
Term from xxx to xxx	Individuals	Organisations	Society	
	Competence development	Organisational development	Development of cooperation systems	Development of enabling frameworks
Strengths, weaknesses, opportunities, threats (SWOT) for the project (status quo)				
Intended capacities				
Work packages/key activities and results hypotheses				
Interaction with the other levels of CD				
Complementary activities by other projects/actors in the (sub-)sector				

Figure: The capacity development matrix

3. Define current and intended capacities

The first two lines of the capacity development matrix provide a structure for this step. The first line contains the relevant products of the analysis of the current situation, e.g. through preparing the process and stakeholder mapping and possibly further sources of information and assessments for the three levels of CD (or four CD columns in the CD matrix).
The second line contains the intended capacities for each level of CD. Here, the results model is taken as a starting point. The outputs described there are used to work out the intended capacities at each level. The path from the current to the intended capacities thus describes the respective needed changes.

Capacity Development Strategy

◄ tool

4. Devise work packages/key activities and results hypotheses

◄ Procedure

In this step, you need to think about what specific work packages and activities can be used to achieve the respective intended capacities within the term of the project and with the available resources. In other words, think about what can be done to enable the desired changes and developments to actually occur on the three levels of CD.

You will find it helpful to refer to identified Strengths, Weaknesses, Opportunities and Threats. This is because we want to maintain and further develop the strengths, make use of the opportunities wherever this makes sense, neutralise the weaknesses and avoid the threats, or at least keep an eye on them and manage them. Based on this approach, we can derive the work packages from the SWOT analysis by comparing it with the intended changes (capacities).

- What steps are needed in order to move from A (current situation as per the SWOT analysis) to B (intended capacities)?
- i.e., what activities for competence development, organisational development, facilitation of cooperation or development of societal frameworks will lead to results?

We then need to base the individual activities/work packages on corresponding results hypotheses ('We believe that activity/workpackage XY will lead to the intended capacities because.../by...), in order to make the causal relationships transparent and logical for the actors involved.

5. Discuss the interactions between the three levels of CD

In this step you discuss what interactions exist between the various levels of CD – to what extent will the planned activities reinforce or constrain each other? What potential synergies between the various levels of CD can be harnessed, and what efficiency losses should be avoided? **And which work packages will only work if we prepare the ground on each of the other levels (individuals, organisations, society)?** For example, CD activities at the level of individuals (training, etc.) is usually significantly more effective if they are supported by corresponding CD measures at the level of organisations (e.g. organisational set-up, management practices, etc.)? Here are some examples of questions that will help make sure you do not forget anything:

Capacity Development Strategy

◄ tool

Interaction with the other levels of CD	Individuals	Organisations	Society	
	Competence development	Organisational development	Development of cooperation systems	Development of enabling frameworks
	◄► What organisational changes must participants encounter in order to be able to apply their new capacities, and be motivated to do so? ◄► What actual capacities must facilitators of organisational development possess in order to be able to plan the process optimally and implement it? ◄► Do the facilitators of enabling frameworks possess all the capacities they need in order to be able to do their job well?	◄► For whom does organisational development entail changes in their tasks that need to be prepared for with competence development? ◄► Are enabling frameworks required in order to implement organisational development successfully? ◄► Are frameworks in place that will obstruct obstruct organisational development?	◄► Are the organisations well placed to also cooperate with others with a view to achieving the objectives? ◄► Are frameworks in place that will obstruct the needed cooperation systems?	◄► Are societal frameworks in place against which the participants of competence development would need to struggle unless we take action? ◄► Are societal frameworks in place against which the organisations would need to struggle unless we take action?

Once these aspects of the CD matrix have been discussed in detail the interaction between the various levels of CD should emerge very clearly. It is not crucial to document these aspects – the main purpose here is to check how things stand. A further way to do this is to ask: What is being actively done to ensure that the capacities that have been built can be used beyond the project term? This question may generate further ideas on suitable measures for sustainably mainstreaming the activities.

6. Discuss complementary activities by other projects/actors

Finally, the interactions between the various levels of CD should be examined and optimised not only within the project's sphere of influence, but also with respect to the activities of other projects or government initiatives. This will enable us to use the work of others to boost the results of the work packages in our own project. We can avoid unnecessary repetition, inefficient duplication of activities and mutually incompatible activities.
Nor do we need to fill in and document this line at the end. But it is important to visualise in the results the conclusions we draw from our discussion of the complementary activities of other projects and actors.

7. Discuss complementary activities by other projects/actors

◄ Procedure

Finally, the interactions between the various levels of CD should be examined and optimised not only within the project's sphere of influence, but also with respect to the activities of other projects or government initiatives. This will enable us to use the work of others to boost the results of the work packages in our own project. We can avoid unnecessary repetition, inefficient duplication of activities and mutually incompatible activities.
Nor do we need to fill in and document this line at the end. But it is important to visualise in the results the conclusions we draw from our discussion of the complementary activities of other projects and actors.

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

Registered offices
Bonn and Eschborn, Germany

Friedrich-Ebert-Allee 36 + 40
53113 Bonn, Germany
T+49 228 44 60-0
F +49 228 44 60-17 66

Dag-Hammarskjöld-Weg 1-5
65760 Eschborn, Germany
T+49 61 96 79-0
F+49 61 96 79-11 15

E info@giz.de
I www.giz.de

On behalf of:

Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

European
Climate Initiative
EUKI

of the Federal Republic of Germany