


Design

The design phase needs to ensure a solid, evidence-based analysis and define the essential operational and financial aspects of an intervention.

The design phase is framed by the relevant programming document and the partner's defined needs and priorities, and should be made in a manner that contributes to pursuing EU priorities and the achievement of the SDGs. Policy dialogue around the programming document often enables identification of possible entry points, which are looked at in more detail during the design phase.

During this phase, we move from a general appreciation to the priority areas and sectors identified in a country/region (as defined in the relevant programming document) to the development of an intervention built within a specific context. The purpose of the analysis to be performed is to ensure appropriate upfront assessment so to have a solid, evidence-based intervention proposal (Action Document). This will require also an assessment of different strategy options, including possible financing instruments. The knowledge requirements will depend on the chosen entry point.

Although the design phase has different administrative steps and validation points (see [INTPA Companion Chapter 6 - Designing Actions](#) ), in term of analytical path they can be referred to together, as they progressively lead to the development of the intervention. In fact, many methodologies and tools are used to acquire knowledge while moving from the macro level – the framework of the intervention defined during the programming phase – to the micro level – the implementation of a specific intervention in that context. The design phase also builds on the analysis and consultations held during the programming phase.

Analysis is never a linear process. Especially during the preliminary assessment of an intervention, context analysis, public policy analysis and stakeholder analysis are not performed in a sequential manner: they are iterative processes and feed into one other.

The table below links the main field of analysis, the questions to which the analysis intends to answer, and the main methodological tools available to operational managers.

Design phase: linking work flow and knowledge

What to analyse	What do I need to know?	Guides, methodologies and tools
Context	<ul style="list-style-type: none"> What are the EU policy priorities related to the sector of the intervention? What are the key political, economic, social, etc. characteristics of the sector in the country/region? What is the macroeconomic outlook (e.g. gross domestic product/gross national income growth rate, debt/gross domestic product ratios, unemployment rate, investment climate)? What is the current overall status of SDG progress and implementation gaps in the country/region? What are the key dimensions of fragility in the country (social, economic, political and environmental, security)? Are there fragility/conflict issues or conflict risks/security issues in the location of the chosen intervention? Who are the main development actors? Have their projects in the field been mapped? Does the analysis reflect which human rights, are denied or violated in the country/sector /intervention? Who are the rights bearers, and who are the duty holders? Does the analysis highlight main barriers, interests or discrimination related to the country/sector /intervention affecting gender equality and women's empowerment? Are environmental degradation processes and/or climate change affecting, or likely to affect, sector performance? Is sector development having an adverse impact on the environment or climate resilience, or generating significant greenhouse gas contributions? Does the analysis reflect key environmental and climate-related issues and challenges? Are environmental and climate opportunities identified? If an environmental impact assessment (EIA) and/or acclimate risk assessment (CRA) has been prepared, are their findings reflected in the context analysis? Are there specific issues (e.g. digitalisation, disability) which need to be assessed? Is further/specific analysis needed to fine-tune the intervention 	<p>HRBA toolbox</p> <p>Resource Package on gender Mainstreaming</p> <p>EU Staff Handbook on Operating in situations of conflict and fragility</p> <p>EU Guidance for Resilience Analysis</p> <p><i>Guidance note on Civil Society</i></p> <p>Guidelines for the integration of environment and climate change in international cooperation</p> <p>Strategic environmental assessment (SEA)</p> <p>Environmental impact assessment (EIA)</p> <p>Climate risk assessment (CRA)</p> <p>SDG Mapper - DG INTPA</p> <p>Literature review</p> <p>Context analysis – PESTEL</p>

Public policy	<ul style="list-style-type: none"> • What are the policies of the partner region/country relevant to the EU sector of intervention? • Are these policies relevant? Are they credible (e.g. is funding commensurate to goals)? Are they coherent with the country's national and international commitments? • Is a revision of the legal framework necessary to implement the intervention? Should the intervention support this process? • Which are, Is national public policy and legislation compliant with the main international and regional human rights and environmental conventions ratified? • What are the national priorities regarding the 2030 Agenda and SDG implementation, and how are they integrated in relevant policy documents at national level? • What does the space for civil society look like? Is there an enabling environment for civil society to act independently? • Does the country have a national gender strategy? Are the sectoral policy and the proposed interventions aligned with it? • What are the actions foreseen in the sector under the country's nationally determined contributions to the Paris Agreement? • Does the country have a national environmental policy, a national biodiversity strategy and action plan, or an equivalent strategy/action plan under the Rio conventions, and is the sector strategy aligned to these? • Does the country have disaster risk reduction and preparedness plans? 	<p>HRBA toolbox</p> <p>Resource Package on gender Mainstreaming</p> <p>Guidelines for the integration of environment and climate change in international cooperation</p> <p>Strategic environmental assessment (SEA)</p> <p>Environmental impact assessment (EIA)</p> <p>Climate risk assessment (CRA)</p> <p>Guidance for Conflict analysis</p> <p>EU Staff Handbook on Operating in situations of conflict and fragility</p> <p>Public policy analysis</p> <p>Literature review</p> <p>Institutional analysis</p> <p>Institutional assessment and capacity development</p> <p><i>Guidance note on Civil Society</i></p>
Stakeholders	<ul style="list-style-type: none"> • Who are the key stakeholders (institutions, individuals, civil society organisations, formal and informal groups)? (How can they be engaged with and involved to ensure ownership? Does the government represent all beneficiaries? If not, who are the most relevant stakeholders other than the government?) • Are all stakeholders systematically categorized as rights holders or duty bearers? • Have stakeholders likely to be affected (e.g. by environmental changes) been identified? • Are all relevant government stakeholders included (horizontal ministries, line ministries)? Does the intervention need specific coordination mechanisms? • What is the position of stakeholders towards proposed interventions? How can they be engaged with to ensure ownership? Are there existing forums? • Are there specific forums addressing a rights-based approach and cross-cutting issues (e.g. a national human rights commission, ministry of women's affairs, ministry of environment, civil society organisations)? • Do possible implementing partners have the capacity needed? Is partner capacity-building support needed before starting the intervention? • For environmental actions, have stakeholders been identified and engaged in the SEA, EIA and CRA and have their concerns been integrated? • Are there key stakeholders with specific interests in promoting peace or who unduly benefit from conflicts and tensions? 	<p>HRBA toolbox</p> <p>Resource Package on gender Mainstreaming</p> <p>Guidance for Conflict analysis</p> <p>EU Staff Handbook on Operating in situations of conflict and fragility</p> <p>Guidelines for the integration of environment and climate change in international cooperation</p> <p>Strategic environmental assessment (SEA)</p> <p>Environmental impact assessment (EIA)</p> <p>Climate risk assessment (CRA)</p> <p>Intercultural approach</p> <p>Literature review</p> <p>Institutional assessment and capacity development</p> <p>Stakeholder analysis</p> <p>Data Collection Tools (Participatory tools)</p> <p><i>Guidance note on Civil Society</i></p>

Problem	<ul style="list-style-type: none"> • Which are the main SDGs and other interlinked SDGs supported by the intervention (at goal and, where appropriate, target level)? • What are the main economic, social, environmental and climate-related problems affecting the sector /intervention? Where can the EU provide added value? • Which relevant needs and rights are already addressed by national and international partners? Are there complementary needs and opportunities already addressed by other development actors? • What human rights should be addressed through the intervention? How will the intervention address structural barriers (laws, social and cultural norms, practical obstacles, etc.) preventing rights holders from knowing, claiming and enjoying their rights and duty bearers from implementing policies? • Regarding the provision of public services, how does the intervention address service availability, accessibility, acceptability and quality (AAAQ framework)? • Does the gender analysis highlight sector and intervention specific gender-related issues? • Are there specific environmental/climate change problems? How will the intervention address any environmental impacts and sector strategies that will be supported through budget support? • What are the main conflict issues in the country? Do they interface with environmental issues? How will the intervention address conflict risks and issues and ensure promotion of conflict prevention, peace and reconciliation? 	<p>SDG Mapper - DG INTPA</p> <p>Problem/objective tree</p> <p>SWOT analysis - strengths, weaknesses, opportunities and threats</p>
Risks	<ul style="list-style-type: none"> • What are the main risks (economic, political, social, environmental, climate-related, security-related, etc.), affecting the sector/intervention? Are any of these critical risks? • In relation to the intervention, can identified risks be mitigated, and if so, how? Is the Risk Management plan ready, including the risk management monitoring strategy? • If an EIA and/or a CRA was conducted, has an environmental management plan or climate risk management plan been developed to guide and monitor mitigation actions? • At Intervention level, What are the risks of doing harm or having unintended negative impacts fueling tensions and divisions related to ongoing conflict, peace processes or other conflict risks? How can they be mitigated? 	<p>Risk Management in the Commission</p> <p>Budget Support Guidelines 2017 (<i>Annex 7 – Risk Management Framework</i>)</p> <p>Guidance for Conflict analysis</p> <p>EU Staff Handbook on Operating in situations of conflict and fragility</p> <p>Environmental impact assessment (EIA)</p> <p>Climate risk assessment (CRA)</p>
Intervention logic	<ul style="list-style-type: none"> • How does the intervention proposed relate to the sector? What is the rationale for the intervention? 	<p>Logical Framework Approach</p>
Monitoring and evaluation	<ul style="list-style-type: none"> • Have indicators already been developed at the sector level? Are these indicators adopted by the partner in line with EU commitments? • Are there existing indicators relevant to the intervention, including SDG indicators? Do any indicators need to be developed? Is there a baseline? • If an EIA and/or a CRA was conducted, is the environmental management plan and/or climate risk management plan integrated in the monitoring system? • In the case of budget support, do the performance indicators reflect key environmental or climate-related risks and opportunities? • Is the monitoring and evaluation mechanism gender sensitive? • Is implementation of rights-based approach working principles monitored? • Is conflict sensitivity and resilience building monitored? 	<p>Results-oriented monitoring</p> <p>Guidance on Results and Indicators for Development</p> <p>Guidance on internal monitoring for results</p> <p>Evaluation methodology</p> <p>Evaluation in hard to reach areas</p> <p>Logical Framework Approach</p>
Lessons learned	<ul style="list-style-type: none"> • Is there any recommendation from previous EU interventions or other development partners to be considered in relation to the sector/intervention? • Is a monitoring-evaluation-learning strategy in place, and is there a budget for it? 	<p>Literature review</p> <p>Data Collection Tools (Participatory tools)</p>
Budget	<ul style="list-style-type: none"> • Given the above analysis, what is the estimated/final budget for the intervention? How does it compare to the estimate provided in the programming document? • If additional studies are needed (e.g. to produce baselines), have the related costs been budgeted for? Does the intervention require an allocation for contingencies? • How much will the EU contribute? Is there a contribution from government? Is there a contribution from other partners? • What is the budget breakdown by component and implementing modality? 	<p>Activity-based costing (ABC)</p>

Timing	<ul style="list-style-type: none"> • What is the duration of the intervention? Is it sufficient to deliver the expected results? • Do implementation and procurement arrangements affect the duration of the intervention? • Does the duration need to consider seasonality issues (e.g. related to the agricultural sector)? • If the intervention assumes changes in legislative/institutional set-up, does the duration consider the time required? • Are exemptions needed for contracting deadlines? 	Activity plan (indicative implementation schedule)
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- Context analysis
- Public policy analysis
- Stakeholder analysis
- Institutional analysis
- Assumptions and Risks
- Problem analysis
- Monitoring and Evaluation (Under revision)
- Logical Framework Approach
- Context, Public Policy and Stakeholder analysis when drafting the Action Document
- Implementing options and budget

Programming
Implementation