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WORKING PAPER

WORKING TOGETHER FOR CLIMATE RESILIENCE

Challenges and success factors for collaboration
between technical and financial partners in
development cooperation

Imprint

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List of abbreviations

ADB	Asian Development Bank	IKI	Internationale Klimaschutzinitiative (German International Climate Initiative)
AFD	Agence Française de Développement (French Development Cooperation Agency)	ILRI	International Livestock Research Institute
AfDB	African Development Bank	INFONAVIT	Instituto del Fondo Nacional de la Vivienda para los Trabajadores (Mexican Institute of the National Fund for Workers' Housing)
BMU	Bundesministerium für Umwelt, Naturschutz und nukleare Sicherheit (Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU))	IPCC	Intergovernmental Panel on Climate Change
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Ministry for Economic Cooperation and Development)	JFM	Joint Forest Management
BNDES	Banco Nacional de Desenvolvimento Econômico e Social (Brazilian Development Bank)	JICA	Japan International Cooperation Agency
CDB	Caribbean Development Bank	KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
CDC	United States Centers for Disease Control and Prevention	MorSEFF	Morocco Sustainable Energy Financing Facility
CDIA	Cities Development Initiative Asia	MRV	Monitoring, reporting and verification
CMT	Core Management Team	NAMA	Nationally Appropriate Mitigation Actions
CONAVI	Comisión Nacional de Vivienda (Mexican National Housing Commission)	NAP	National Adaptation Plan
DAC	OECD Development Assistance Committee	NDC	Nationally Determined Contribution
DANIDA	Danish International Development Agency	NORAD	Norwegian Agency for Development Cooperation
DFI	Development Finance Institution	ODA	Official Development Assistance
DFID	Department for International Development	OECD	Organisation for Economic Co-operation and Development
DWWT	Decentralised Wastewater Treatment	POPs	Persistent organic pollutants
E.F.O.	Externally Funded Output	PPIAF	Public-Private Infrastructure Advisory Facility
EBRD	European Bank of Reconstruction and Development	PPPs	Public-private-partnerships: PPPs
EIB	European Investment Bank	PRC	Program Review Committee
FA	Financial assistance	REDD	Reducing Emissions from Deforestation and Forest Degradation
FAO	Food and Agriculture Organization of the United Nations	REM	REDD Early Movers
FEI	Facility for Energy Inclusion	SDGs	Sustainable Development Goals
FIP	Forest Investment Program	SECO	Secrétariat d'État à l'économie (Swiss State Secretariat for Economic Affairs)
GCCA+	Global Climate Change Alliance Plus	SEFA	Sustainable Energy Fund for Africa
GCF	Green Climate Fund	SFB	Serviço Florestal Brasileiro (Brazilian Forest Service)
GCIP	Global Cleantech Innovation Programme	SHF	Sociedad Hipotecaria Federal (Mexican Federal Mortgage Society)
GEF	Global Environment Facility	SIDA	Swedish International Development Cooperation Agency
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Development Cooperation Agency)	TA	Technical assistance
GPEDC	Global Partnership for Effective Development Cooperation	TAF	Technical Assistance Facility
GSDRC	Governance and Social Development Resource Center	TC	Technical Cooperation
IEG	Independent Evaluation Group	UN	United Nations
IFAD	International Fund for Agricultural Development	UNDP	United Nations Development Programme
IFC	International Finance Corporation	UNEP	United Nations Environment Programme
IFFIm	International Finance Facility for Immunisation	UNICEF	United Nations Children's Fund
		UNIDO	United Nations Industrial Development Organization
		USAID	United States Agency for International Development
		WB	World Bank
		WHO	World Health Organization

EXECUTIVE SUMMARY

Development in line with all or most of the Sustainable Development Goals (SDGs), the Paris Agreement, Nationally Determined Contributions (NDCs), National Adaptation Plans (NAPs) and country- or sector -specific objectives and frameworks is immensely challenging. **International technical and financial cooperation** can support countries and subnational entities such as cities, states and provinces, in developing capacities and accessing finance for development. The results of such cooperation are likely to be best if organisations work hand in hand to **ensure effective and efficient use of available resources**. However, actors in development cooperation often have heterogeneous and sometimes competing strategic perspectives, institutional set-ups and aid instruments, translating into **high management costs** for recipient governments.

International discussions to foster coordination and harmonisation between donors, which culminated in 2005 with the **Paris Declaration on Aid Effectiveness**, have led to the emergence of a number of good practices for donor coordination. Yet, results on aid effectiveness have stayed behind expectations and the focus of efforts has seemingly shifted back to individual actions the results of which can be clearly assigned to stand-alone organisations. At the same time, more attention is devoted to collaborating with the private sector as a key stakeholder group for fostering and implementing resilience measures.

Acknowledging previous and on-going discussions on aid effectiveness, this working paper seeks to shed light on **challenges and entry points for practical collaboration** between technical and financial development partners in **projects on the ground**. Using insights from several cases of practical collaboration, the paper means to:

- contribute to the understanding of how technical and financial organisations work together practically to create joint impact;
- provide entry points for project managers and donor organisations on how to increase collaborative action between technical and financial partners; and to
- stimulate further consideration, discussion and in-depth analysis of the topic by project managers and organisations wishing to leverage synergies with other actors of development cooperation.

Even though relevant for most fields of development cooperation, the paper is primarily meant to inform **practitioners working on building climate resilience** through climate change mitigation and, in particular,

adaptation. Climate change will exacerbate challenges of sustainable development and increase the need for funding¹, thus making it even more important to use available resources in efficient ways. Collaboration and coordination between technical and financial actors are crucial to maximising the impact of scarce (financial) resources – only concerted efforts will allow building the framework conditions and project pipelines required for an adequate response to climate change in line with increasingly ambitious NDCs.

The paper first provides an overview of the international development cooperation landscape and then analyses the different forms of and challenges for practical collaboration between financial and technical organisations. It concludes with entry points for fostering effective partnerships.

Overview of the international development cooperation landscape

International development cooperation comprises both **technical and financial aspects**. The technical dimension serves to foster individual human skills, strengthen institutions and create systems that allow individuals and institutions to grow and to create a transformation for development. The transfer of financial resources for investments to developing countries, in turn, is referred to as aid, development finance, financial assistance or financial cooperation.

Technical and financial assistance are implemented by various types of organisations. Important actors for development cooperation include multi- and bilateral organisations such as specialised United Nations agencies and bilateral or regional development banks, and their associated theme- or geography-focused initiatives. While some of these organisations focus on providing either technical or financial assistance, others offer both. Beyond the public sphere, private companies and non-governmental or non-profit organisations are also involved in delivering technical cooperation and, to some degree, financial assistance. Many variables, from flexibility in use of funding to the number of local staff, determine how these actors can collaborate with other organisations.

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¹ For example, according to UN Environment's Adaptation Finance Gap Report, USD 140-300 billion annually may be required for adaptation in developing countries alone by 2030, while the finance needs could reach USD 280-500 billion by 2050.

Forms of practical collaboration between financial and technical organisations

Beyond cooperation and coordination on the organisational level, a myriad of formal and informal **partnerships exist on the project level**. Such partnerships can be formal or informal and can take place over significant periods of time or as “one-off” activities (e.g.

for conferences). Involved parties can have the same degree of responsibility and control, or one organisation can be in the lead. Partnerships could be for co-financing of investments, for joint knowledge creation or for other purposes. Overall, each partnership form has its own dynamic.

For this working paper, the following examples of practical collaboration have been analysed:

TABLE 1

Cases analysed for this working paper

Example	Summary
Wastewater management in Vietnam	German Development Cooperation Agency (GIZ) supported urban investments by Asian Development Bank (ADB) and World Bank (WB).
Get.invest – Renewable energy promotion in sub-Saharan Africa	GIZ supports match-making of renewable energy projects with a variety of different financing institutions.
Sustainable forest management in Kyrgyzstan	GIZ supported WB investments into sustainable forestry in Kyrgyzstan.
Financing energy and resource efficiency in Morocco	UN Industrial Development Organization (UNIDO) and GIZ informally supported identifying SMEs eligible for funding from the Morocco Sustainable Energy Financing Facility (implemented by the European Bank of Reconstruction and Development, EBRD).
Tropical forest management in Brazil	GIZ and WB collaborate to implement watershed restoration measures in Brazilian savannahs.
Climate-smart livestock systems in Africa	GIZ, the International Livestock Research Institute and the WB collaborate to foster climate-smart livestock farming.
NAMA Support Project “New Housing NAMA in Mexico”	GIZ and Kreditanstalt für Wiederaufbau (KfW) support(ed) the implementation of energy efficient buildings in Mexico.
Sustainable forest management in Tajikistan	GIZ collaborated with KfW to implement sustainable forest management projects in different regions of Tajikistan.
Cities Development Initiative for Asia	GIZ collaborated with ADB to address gaps in development and financing of sustainable infrastructure projects in cities.
Gavi – The Vaccine Alliance	World Health Organization (WHO), United Nations Children’s Fund (UNICEF), US Centers for Disease Control and Prevention and WB cooperate to increase access to immunisation.
Global Cleantech Innovation Programme	With funding from the Global Environment Facility (GEF), UNIDO fosters start-ups in countries across Africa and Asia.
Public-Private Infrastructure Advisory Facility (PPIAF)	PPIAF is a multi-donor technical assistance facility that is financed by eleven multilateral and bilateral donors.
Village Enterprise Development Impact Bond	Village Enterprise collected funding from banks for local development projects through a results-based “impact bond”.

An analysis has shown that the selected case studies may be clustered into three broad categories:

- A. **Informal cooperation to foster investments by financial institutions:** Actors engaged in one field (e.g. technical cooperation) shape their actions in ways that create (co-) benefits for actors from the “other” field (e.g. financial cooperation) and vice versa.
- B. **Formalised cooperation for joint project implementation:** Technical and financial organisations explicitly team up and combine their strengths to achieve scaled-up impact.
- C. **Technical support with funding from financial institutions:** One organisation pays another to contribute specific expertise or resources.

Other forms and sub-forms of collaboration also exist. While many of the assessed case studies do not specifically focus on building climate resilience, challenges and success factors shared by these projects and organisations can also be applied to collaborative efforts for resilience.

Challenges for technical-financial collaboration

Based on interviews with managers of the projects / organisations listed above, three kinds of challenges have been identified that affect whether and how organisations can work together practically:

- **Tensions between organisations’ requirements or procedures:** Organisations have different requirements and procedures, e.g. with regard to partnership and funding modalities, project lead times, definitions of “technical assistance / cooperation”, and control mechanisms over the activities of potential partners. Partnerships will not form where these requirements and procedures are incompatible or where making them compatible comes at high effort and cost.
- **Lack of structures and resources for bottom-up cooperation:** Even if collaboration between two or more organisations is generally possible and desired, a lack of structures and resources for bottom-up cooperation can negatively affect practical action. For example, the lack of communication platforms and understanding of the potential partners’ needs and capacities can make it difficult to plan projects together. Additionally, the costs of partnership management are often not matched by sufficient (time and financial) resources. Partnerships may thus only

be realised if the involved actors are willing and able to “go the extra mile” for them.

- **Unfavourable local framework conditions for collaboration:** Local project contexts may fail to promote collaboration between technical and financial partners. In certain situations technical or financial assistance may simply not be possible (for certain sectors or in general), e.g. if borrowing limits have been reached or if high-level social, economic and environmental safeguards of development cooperation partners cannot be met by national institutions. This negatively affects potential for collaboration between technical and financial organisations. In some situations, national implementing partners may also be sensitive to close collaboration between financial and technical partners.

Entry points for fostering partnerships

Interviews have also shown that project managers in technical and financial organisations can potentially address these challenges in a number of ways:

- **Planning and standardisation to ease alignment processes:** While general tensions between procedures and processes cannot simply be erased, certain action can be taken to ease the process of finding together. Sufficient time should be planned for project initiation to prevent (unforeseen) delays from negatively affecting joint interventions. A close relationship with implementation partners, both physically and with regard to regular exchange, is very important to achieve impacts together in situations where partners cannot control each other’s activities. Documenting achievements and learning from previous experiences of other projects can allow for “leap-frogging” challenges that have been encountered previously.
- **Maximising use of available structures and resources:** Even if cooperation is not institutionalised, options may exist to improve the use of available structures and resources. Programme managers need to proactively search for collaboration with potential partners that are active in similar fields, e.g. through donor coordination groups. Potential benefits of cooperation need to be identified and communicated widely to increase motivation of all involved stakeholders. Project teams should be built so as to comprise motivated team members with complementary technical and financial skills. Continuous learning, e.g. through trainings, can help to familiar-

ise partners with each other's specific requirements or needs. Finally, practical solutions may exist for certain problems. For example, if project managers from development finance institutions (DFI) lack resources for partnership management, technical partners could cooperate with local consultants hired by the DFI. Overall, personal motivation and willingness to "go the extra mile" for cooperation will also play an important role in managing partnerships without dedicated resources.

- **Working on framework conditions:** Working on a sound policy framework and stable investment environment can help to increase demand for investments in development and open up new opportunities for technical support.

Beyond individual action, **organisation- or programme-wide commitment** and **exchange with other donor organisations / programmes** might help to make technical-financial collaboration more systematic. If collaboration is supported by upper management levels, project teams will have a strong driver to overcome potential barriers. It could be helpful if organisations screen their project portfolios for lessons learned on collaboration, and to communicate them among projects. Procedures, approaches or tools that have successfully worked in individual projects could be standardised for use in other situations. Potential synergies could be systematically valued whenever a new project is planned to highlight their contribution to an organisation's or a programme's overall objectives. Additional financial resources could be provided

for partnership management, i.e. to assess synergies, build strong teams and manage practical cooperation. However, whether or not these suggestions lead to successful partnerships depends to a certain degree on timing and luck – given a certain coordination and harmonisation fatigue among donors, partnerships are most likely to form in moments when objectives and resources are relatively aligned. Building "coalitions of the willing" can help where engagement with a wider group of potential partners is not successful.

Yet, despite the existence of positive examples and ideas from the field, the importance of collaboration (and of bearing the additional costs related to making it work) actually still seems to be widely **underestimated**. Discussions around collaboration mechanisms will thus have to be intensified and become more ambitious, also with a view to successfully supporting NDC implementation at the country level. New technologies, organisational re-structuring and more systematic (financial or non-financial) rewarding of collaboration efforts might be required to bring institutions together more effectively. Overall, this paper provides first insights into a broad topic. More specific and tailored research would be required to derive recommendations for individual organisations.



1

INTRODUCTION

Development in line with the Sustainable Development Goals (SDGs), the Paris Agreement, Nationally Determined Contributions (NDCs), National Adaptation Plans (NAPs) and country- or sector -specific objectives and frameworks is immensely challenging. Many countries face a lack of capacity and financial resources for designing and implementing respective policies, programmes and projects.

Development cooperation can contribute to addressing challenges and building climate resilience. **Technical assistance** (TA) helps countries design solutions for sustainable development and build capacity, institutions and policy frameworks to implement them. **Financial assistance** (FA) provides funding to realise concrete (pilot) investments. Both aspects together contribute to planning and conducting investment projects. However, the globally-increasing number of development partners and projects translates into high management costs for recipient countries. At the same time, growing pressures, such as climate change, make it ever more important to ensure that available resources are used in the most effective and efficient way.

International efforts have been taken to strengthen the effectiveness of development cooperation and harmonise activities between donors. Acknowledging previous and on-going discussions, this working paper seeks to shed light on examples of **practical collab-**

oration between technical and financial partners for projects on the ground. The overall objectives of the analysis are

- to contribute to the **understanding of how technical and financial organisations work together practically** to create joint impact;
- to provide **entry points for project managers and donor organisations** on how to increase collaborative action between technical and financial partners; and
- to stimulate further **consideration, discussion and in-depth analysis** of the topic by project managers and donors wishing to leverage synergies with other actors of development cooperation.

Even though relevant for most fields of development cooperation, the report is meant to specifically inform practitioners working on building **climate resilience** through climate change mitigation and, in particular, adaptation. This is based on the following considerations:

- **Unprecedented challenges:** Climate change is among the most significant threats to sustainable development. While climate change mitigation is required to avoid as many of the predicted negative impacts as possible, adaptation is highly important to secure development outcomes against the unavoidable risks of climate change and to achieve many SDGs, e.g. related to health and jobs.

- **Additional burden for countries with strained resources:** Addressing the unprecedented challenges of climate change requires additional technical and financial resources:
 - On the one hand, technical skills are necessary to identify effective measures. Especially adaptation can be challenging. Since climate change impacts and resulting vulnerabilities are very location-specific, adaptation should be based on in-depth analysis of vulnerabilities as well as costs and benefits of different adaptation options. The design and financing of projects may thus require more in-depth technical expertise than other, more standardised projects, such as in the field of renewable energies.
 - On the other hand, significant amounts of capital are required in the short- to medium-term to adapt existing systems and infrastructures and to foster innovations for more resilient, climate-friendly development. For example, according to UN Environment's Adaptation Finance Gap Report, USD 140 billion to USD 300 billion annually may be required for adaptation in developing countries alone by 2030, while the finance needs could reach between USD 280 billion and USD 500 billion by 2050 (UNEP, 2016).
- **Need for maximum impact and efficiency:** Development cooperation can contribute to building resilience and securing development outcomes against the unavoidable risks of climate change. Financial assistance, for example, can be used to pay for the construction of more resilient infrastructures. However, many countries have insufficient local capacities and structures to access funding and to channel it to where it is most needed (Restle-Steinert et al. 2019). Technical cooperation can help governments

develop technically sound and bankable projects at the speed and volume required to address climate change. Against this background, it is crucial to make best use of synergies between technical and financial dimensions of development cooperation in order to maximise resilience impact of scarce public resources. Only concerted efforts will allow building the framework conditions and project pipelines required for an adequate response to climate change in line with increasingly ambitious NDCs. Moreover, efforts should also be aligned to stimulate private investments.

The paper is based on desk research and interviews with providers of technical and financial assistance working in various fields, such as wastewater, forestry or energy management. While many of them do not specifically focus on building climate resilience, challenges and success factors shared by these projects and organisations can also be applied to collaborative efforts for resilience.

Following the introduction, chapter 2 introduces definitions and actors of the international development cooperation landscape. Chapter 3 illustrates different forms of collaboration between technical and financial partners. Chapter 4 then discusses possible challenges for collaborative action. Chapter 5 outlines initial entry points for project managers and donors to increase collaboration between technical and financial partners. Chapter 6 provides conclusions.



2

OVERVIEW OF THE INTERNATIONAL DEVELOPMENT COOPERATION LANDSCAPE

2.1 Actors and activities in development cooperation

International development cooperation comprises both technical and financial dimensions.

Many **technical assistance** (TA) programmes were initiated after World War II to foster economic development and reduce unemployment. In the 1990s, attention shifted towards human development and transfer of skills and knowledge systems (UN 2003). The World Bank (WB), for example, defined TA as “the transfer or adaptation of ideas, knowledge, practices, technologies, or skills to foster economic development” (World Bank 1991). The term “**technical cooperation**” (TC) became more popular at a later point, among other things because it implies a change in attitude towards a more equal partnership (Governance and Social Development Resource Center, GSDRC, 2009). From there on emerged the concept of **capacity development** which goes beyond fostering individual human skills to strengthening institutions and creating societal values and systems that allow individuals and institutions to grow and to create a transformation for development (United Nations, UN, 2003).

Nowadays, the terms technical assistance, technical cooperation and capacity development are still in

use. Sometimes they are applied interchangeably and sometimes they refer to different aspects of cooperation for sustainable development (GSDRC 2009). More specific definitions depend on the organisations and countries applying them. However, it can be noted that many development finance institutions provide or pay for “technical assistance”, thereby meaning 1) support for project preparation and implementation and 2) general institutional capacity building or policy advice (e.g. Asian Development Bank (ADB), WB). Other actors more commonly speak of “technical cooperation”, referring to cooperation to build sustainable development capacities from the individual level to entire systems (e.g. UN Industrial Development Organization (UNIDO), Organisation for Economic Co-operation and Development (OECD), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)).

The **transfer of financial resources** for investments to developing countries, in turn, is referred to as aid, development finance, financial assistance or financial cooperation. These terms are again defined by the actors using them. The most clear-cut definition is that of “**official development assistance**” (ODA) – it refers

to “flows of official financing administered with the promotion of the economic development and welfare of developing countries as the main objective, and which are concessional in character” (OECD 2003). “**Financial assistance**”, in the context of development cooperation, typically refers to any monetary help from developed to developing country governments. “**Financial cooperation**” implies a more cooperative partnership with countries that goes beyond financial transfers and entails structural support for better management and use of financial resources, e.g. through cooperation on monetary policy and financial market stabilisation (Kreditanstalt für Wiederaufbau (KfW) n.d., Kenen et al. 2004). Besides non-concessional loans or grants, funding may also be paid through other financial instruments, e.g. as a contribution to the partner country’s budget (Bundesministerium für Wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) 2019). “**Development finance**” or “**Financing for Development**” are broader terms that may refer to all financial sources (official and private, concessional or under market conditions) that can help finance the process of development (Alonso and Glennie 2015, UN 2019).

Technical and financial assistance are implemented by various types of organisations. Among the most important players in this field are public **multi- and bilateral institutions** and associated theme- or geography-focused initiatives that have been set up to engage in development cooperation on behalf of multiple or individual governments.

- Multilateral providers of **technical assistance** include, for instance, the OECD and many of the specialised agencies of the UN. GIZ, Danish International Development Agency (DANIDA), Swedish International Development Cooperation Agency (SIDA) and the Norwegian Agency for Development Cooperation (NORAD) are examples of bilateral organisations that focus primarily on supporting capacity and institution building. Governmental departments, such as the British Department for International Development (DFID) and the Swiss Secrétariat d’État à l’économie (SECO), are also involved in the management of technical assistance. Some development cooperation actors, such as Japan International Cooperation Agency (JICA), offer not only technical but also financial assistance. While some organisations have local staff (e.g. GIZ, UNDP), others work through consultants.

- **Development finance institutions** (DFIs), such as the World Bank Group (WB), (sub-) regional development banks (e.g. African Development Bank (AfDB), Caribbean Development Bank (CDB)) and bilateral development banks (e.g. KfW, Agence Française de Développement (AFD)) focus on providing **funding for development**. However, they also often offer or provide grants for technical assistance. While DFIs in many cases have internal technical assistance departments, they more commonly rely on other institutions to provide technical assistance on the ground (e.g. project preparation / technical assistance facilities).

Besides public organisations, technical and financial assistance also comes from the private and non-governmental sectors. **Consulting firms, self-employed professionals and non-profit organisations** are often contracted to deliver technical assistance on behalf of the above organisations. **Private foundations** provide financial assistance at concessional terms.

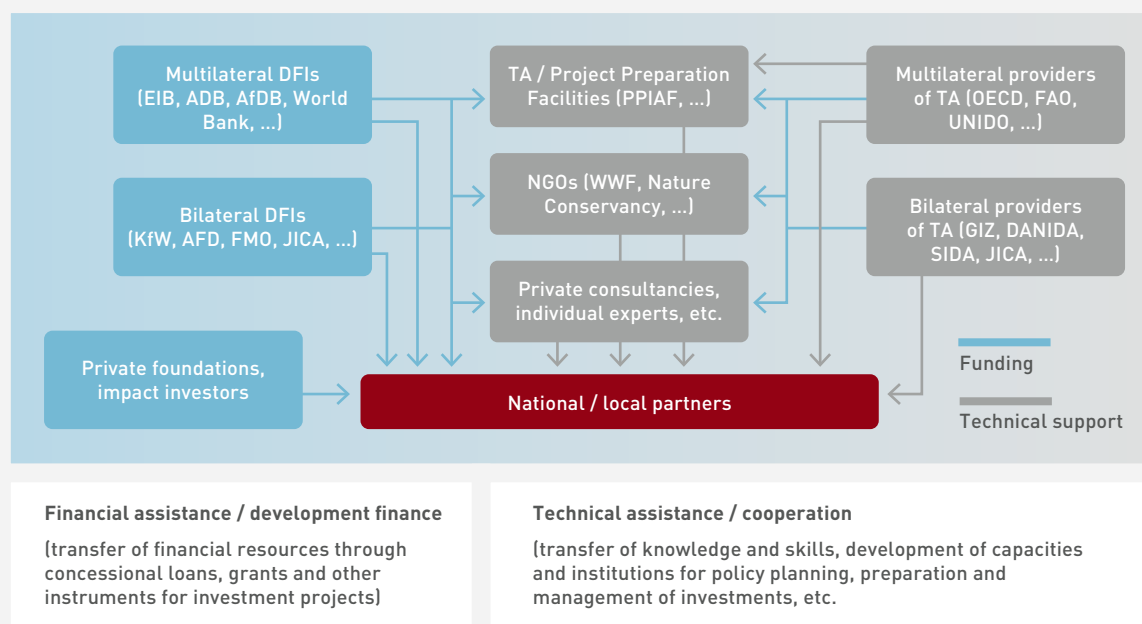
Finally, **multi-stakeholder initiatives** are becoming increasingly popular, including partnerships between governments, DFIs and multi- and bilateral organisations (e.g. Gavi – The Vaccine Alliance, the NDC Partnership, and the EIB-supported and BMU-initiated LUCI Leadership for Urban Climate Investment Initiative).

While some of the organisations and initiatives described above focus mainly on providing either technical or financial assistance, others offer both (e.g. JICA, Gavi – The Vaccine Alliance, and other). Overall, the actors of development cooperation differ by **many variables**, including focus (technical or financial assistance or both), local presence (working with own staff or hiring local external experts) and degree of independence regarding the use of resources (based on specifications by donors or according to own decisions). These and other aspects determine their actions and affect their potential for collaboration with other organisations. Despite many differences, a multitude of actors are already engaged in climate action. Identifying synergies can increase the effectiveness of their work.

Figure 1 provides a simplified overview of the actors involved in development cooperation and how they may relate to each other. Many sub-forms and additional relationships exist.

FIGURE 1

Providers of technical and financial assistance (source: authors)



BOX 1

Use of terms in this report

Throughout the paper we use the terms “**development finance institution**” (DFI) and “**providers of development finance**” to summarise organisations that, as their primary mandate, disseminate funding for development. Actors with a focus on skills development and institution building are referred to as “**technical partners**” or “**technical organisations**”. We acknowledge that such generalisation hides a number of actor- and

country-specific interpretations. However, we perceive the suggested level of detail as sufficient to allow for conclusions by more specialised organisations.

The term “**donor**” will be used to describe actors that provide funding for technical or financial cooperation but are not directly involved in implementing cooperation activities on the ground.

2.2 International efforts for effective development cooperation

Across the globe, well over 300 multi- and bilateral organisations are engaged in development cooperation (Klingebiel et al. 2016). New actors are also emerging in the field of climate action: the Green Climate Fund (GCF), for example, only became fully operational in 2015 and since then has approved more funding for climate change action in developing countries than any other multilateral climate fund (Watson and Schalatek 2019). These organisations often have heterogeneous strategic perspectives, institutional set-ups and aid instruments (Koch et al. 2017). The increasing number of development and climate partners – combined with

other factors, including the decreasing size of projects – thus tends to translate into **high management costs** for recipient countries, e.g. for coordinating aid and reporting on progress (Building Block “Managing Diversity and Reducing Fragmentation” 2014). Aligning development cooperation between different entities can reduce pressure on countries with limited institutional and management capacities.

International discussions to **strengthen the effectiveness of development cooperation** have stretched over a number of high-level fora for aid effectiveness (2003: Rome, 2005: Paris, 2008: Accra, 2011: Busan) and

for the financing of development (2002: Monterrey, 2008: Doha, 2015: Addis Abeba). One of the most notable outcomes is the ‘Paris Declaration on Aid Effectiveness’ (2005) which establishes five principles (ownership, alignment, harmonisation, mutual accountability and managing for results) and 56 commitments from both donors and aid recipients to increase the effectiveness of aid. Under the principle of “harmonisation”, donors commit to “work[ing] together to reduce the number of separate, and duplicative, missions to partner countries”, or to “implement[ing], where feasible, common arrangements at country level for planning [and] funding” (OECD 2008).

These processes have led to the emergence of a number of **good practices**, including donor coordination and policy consultation fora, joint assessments of multilateral organisations’ performance, joint programming and general budget support (Building Block “Managing Diversity and Reducing Fragmentation” 2014). The Global Partnership for Effective Development Co-operation (GPEDC), established in 2011 as a direct result of the Busan Partnership for Effective Development Co-operation, serves as a clearing body for the exchange of relevant information (OECD 2011a). Among other things, a considerable amount of work has been conducted to identify the conditions under which development cooperation instruments fit together and where they can and should be used most effectively.²

Yet, such efforts have had **limited success**. The results of the 2011 Survey on Monitoring the Paris Declaration showed that, for example, only 19 per cent of donor missions to the field were undertaken jointly, compared to a goal of 40 per cent (OECD 2011b). There is increasingly strong evidence of “coordination and harmonisation fatigue” among donors (Leiderer 2015; Klingebiel et al. 2016). Among the potential reasons for this may be that donor agencies typically need to demonstrate individual successes in line with the priorities of their owners or shareholders to safeguard their funding and their very existence. Most DFIs, for example, are under constant pressure to disburse predetermined amounts of credit in certain countries. Results achieved by joint programming or joint projects are not clearly attributable to a single organisation’s input. Aligning priorities and procedures with other donors, in turn, makes organisations an “easy” target for criticism, particularly by the political opposition in the donor country (Koch et al. 2017). With the political atmosphere becoming increasingly conservative and risk averse in many donor countries, the focus of the aid effectiveness agenda has shifted towards **results and value for money** and, thus, on measurable outputs that can be directly linked to individual organisations’ activities (Klingebiel and Janus 2014). New forms of partnerships are also being called for, e.g. with the private sector as an important player for implementing and supporting adaptation (Cochu et al. 2019). Civil society, foundations and new state players are other examples of new potential partners and there is increasing support for South-South cooperation (Abdel-Malek 2015). Overall, however, efforts to improve collaboration between the actors of “traditional” development cooperation should not be discarded. There seems to be a **need to revitalise and scale up discussions** around collaboration mechanisms in order to achieve the SDGs and NDC goals.

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² For further information, please see the work of the Global Partnership for Effective Development Co-operation, especially the work conducted by the Building Block “Joint Programming, Managing Diversity, and Reducing Fragmentation”.

3

FORMS OF PRACTICAL COLLABORATION

Many types of public and private organisations provide development cooperation services and efforts have been made to address duplication and increase effectiveness. Beyond the organisational level, actors from both the technical and financial sides of development cooperation have entered into innumerable formal and informal partnerships for specific countries or topics.

Partnerships can take **multiple forms**. They can be formal or informal and can take place over significant periods of time or as “one-off” activities (e.g. for conferences). Involved parties can have the same degree of responsibility and control, or one organisation can be in the lead. Partnerships could be for co-financing of investments, for joint knowledge creation or for other purposes. Overall, each partnership form has its own dynamic.

Chapter 3 presents an overview of several case studies of practical collaboration which have been analysed for this working paper (see Annex I for more information). These exemplary case studies may be roughly clustered into **three broad categories**:

- A. Informal cooperation to foster investments by financial institutions
- B. Formalised cooperation for joint project implementation
- C. Technical support with funding from financial institutions

In the following, these categories will be described in more detail.

BOX 2

Background on categories and case studies

The **three categories** for practical collaboration between financial and technical organisations outlined in this working paper have been derived from a limited number of cases. **Other forms** of collaboration, including many sub-forms also exist. Examples cannot always be attributed to one or the other category with absolute certainty.

The paper presents a **snapshot** of collaborative projects in a wide and diverse landscape of partnerships between the various actors of development cooperation. It is meant to provide inputs for further discussion

and research. The examples come from sectors such as wastewater, forestry or energy management. Even if not explicitly addressing resilience, all examples are relevant for projects that partly or fully focus on **strengthening resilience** through adaptation and mitigation.

Finally, although many of the selected examples involve GIZ as technical cooperation agency, the results of the analysis may also **inform other organisations** currently involved in or looking for joint projects with technical or financial partners.

3.1 (A) Informal cooperation to foster investments by financial institutions

DFIs have significant amounts of capital which they need to spend in accordance with their mandates. While needs are large – the International Finance Corporation (IFC) (2016) estimates that the NDCs of 21 emerging market economies alone represent USD 23 trillion by 2030 in investment opportunities – it can be difficult for DFIs to identify relevant projects in the countries they provide funding to.

Hence, one option for technical organisations is to

shape their interventions in such ways that they support DFIs' pipeline development efforts and contribute to establishing policy frameworks that can make funding flows more effective and efficient. Table 2 provides examples of case studies where technical cooperation actors contributed to the preparation of projects for financing by DFIs (see Annex I-(A) for more details). These partnership examples are / were mostly informal (i.e. without formal contract or payment).

TABLE 2

Examples of category A collaborations

Example	Summary
Wastewater management in Vietnam	GIZ Vietnam implemented a number of measures to include GIZ-supported cities into ADB's urban resilience investment programme. Amongst other things, it supported establishment of regulation that allowed ADB to invest more easily. GIZ Vietnam also supported WB investments into Decentralised Wastewater Treatment (DWWT) systems by providing technical assistance for the design of DWWT systems.
Get.invest – Renewable energy promotion in sub-Saharan Africa	Get.invest supports match-making of renewable energy projects with a variety of different financing institutions (incl. specialist financing vehicles of DFIs), e.g. by providing expert advisory and coaching, support to milestone studies and capacity development of key stakeholders.
Sustainable forest management in Kyrgyzstan	GIZ supported WB investments into sustainable forestry in Kyrgyzstan by conducting feasibility studies, local pilots and capacity building activities to ensure effectiveness and local ownership of the financing programme.
Financing energy and resource efficiency in Morocco	UNIDO and GIZ informally supported the European Bank for Reconstruction and Development (EBRD) in identifying SMEs eligible for funding from the Morocco Sustainable Energy Financing Facility (MorSEFF, implemented by EBRD). While UNIDO identified technical measures eligible for MorSEFF financing and supported loan applications, GIZ conducted energy audits with a small number of potential clients of MorSEFF.

This form of collaboration is relevant for adaptation as a major component of resilience-building. A number of DFIs have established goals for spending on climate change adaptation projects. The WB, for example, announced that under its new Action Plan on Climate Change Adaptation and Resilience it will disseminate USD 50 billion in direct adaptation finance between 2021 and

2025, more than double what was achieved during fiscal years 2015-18 (World Bank 2019). Investment opportunities and favourable framework conditions for adaptation across all sectors are thus urgently needed. It would be helpful if adaptation-related technical cooperation projects used their strengths to contribute to these objectives, even if no formal cooperation with DFIs exists.

3.2 (B) Formalised cooperation for joint project implementation

Technical and financial organisations are in many cases active in the same countries, both with own facilities and resources. Based on their mandates they have developed specific fields of expertise, which can be complementary to each other.

Another option for collaboration is thus for technical and financial organisations to enter into partnerships to implement or finance projects together. Table 3 provides examples of projects in which at least two types of partners have entered into formal cooperation (see Annex I-(B) for more details).

TABLE 3

Examples of category B collaborations

Example	Summary
Tropical forest management in Brazil	GIZ collaborates with WB to implement watershed restoration measures in Brazilian savannahs. GIZ provides the Project Implementing Unit and implements the technical component. WB finances the water management projects and is closely involved in shaping and structuring projects and ensuring their success.
Climate-smart livestock systems in Africa	GIZ collaborates with the International Livestock Research Institute (ILRI) and the WB to identify approaches to climate-smart livestock farming. Best practices will be integrated in new or enhanced livestock investment projects with WB funding. GIZ focuses on capacity building for improved investment planning. The project is funded by BMZ.
NAMA Support Project “New Housing NAMA in Mexico”	GIZ and KfW support(ed) the implementation of the “New Housing NAMA” for energy efficient buildings in Mexico. Delays in initiating the financial component required GIZ to advise on both technical and financial aspects for the housing subsidy scheme. The financial component, once it started, used tools developed with support from GIZ. Both actors collaborated to coordinate awareness raising and capacity building activities for the housing sector.
Sustainable forest management in Tajikistan	GIZ collaborated with KfW to implement sustainable forest management projects in different regions of Tajikistan. While GIZ focused on strengthening framework conditions, e.g. relevant decrees, KfW accompanied project implementation locally.
Cities Development Initiative for Asia (CDIA)	From 2007-2018, GIZ collaborated with ADB to address gaps in development and financing of sustainable infrastructure projects in cities. While GIZ focused on capacity development, ADB focused on project development activities, supported networking with financial institutions and served as potential funder for urban infrastructure projects.
Gavi – The Vaccine Alliance	Gavi was launched in 2000 as an informal alliance between WHO, UNICEF, US Centers for Disease Control and Prevention (technical partners) and WB (financial partner) with the aim to increase access to immunisation. After a governance reform, Gavi is now an independent Swiss foundation. Among its employees are many seconded experts from the founding organisations.
FELICITY: Financing Energy for Low-carbon Investment – Cities Advisory Facility	FELICITY is implemented by the GIZ in cooperation with the European Investment Bank (EIB) and commissioned by the Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU). It is active in Brazil, China, Indonesia and Mexico and provides tailored support to financial intermediaries and project promoters to make their low-carbon urban infrastructure projects bankable for lending from the EIB.

Formalised, long(er)-term partnerships could be used, for example, to foster more transformational approaches to climate change adaptation as a key element for building resilience. This is against the understanding that incremental adaptation (i.e. small adjustments to maintain current systems) may not be sufficient to reduce climate risks and may even lead to maladapt-

tation, e.g. if causing people to continue seeking for livelihood opportunities in locations that they should rather migrate from (Castells-Quintana et al. 2018, cited from IISD 2019). Partnerships that are based on a joint impact logic and secured resources could be better positioned to tackle such challenges than informal collaborations.

3.3 (C) Technical support with funding from financial institutions

Finally, another option is for DFIs to pay for technical assistance provided by other organisations. Relevant partners may include, for example, established organisations such as UNIDO, NGOs or private consultancy firms. DFIs can also establish own technical assistance facilities, funds or companies. In any case, the technical partner is formally contracted by the DFI and receives funding from it.

Category (C) can also be relevant for the identification of investment opportunities – whereas in category (A) the technical organisation uses its own money to identify investment pilots and shape projects in ways that make them attractive to DFIs, category (C) implies that the technical partner is formally commissioned and paid for by the DFI. Table 4 provides examples (see Annex I-(C) for more details).

TABLE 4

Examples of category C collaborations

Example	Summary
Global Cleantech Innovation Programme	The Global Cleantech Innovation Programme (GCIP) fosters start-ups and innovation ecosystems in countries across Africa and Asia. GCIP is implemented by UNIDO with funding from the Global Environment Facility (GEF).
Public-Private Infrastructure Advisory Facility (PPIAF)	PPIAF is a multi-donor technical assistance facility that is financed by 11 multilateral and bilateral donors . Its small Program Management Unit provides technical assistance and knowledge grants to governments to support private sector infrastructure services. It collaborates with the WB Country Units to deliver its assistance.
Village Enterprise Development Impact Bond	Village Enterprise collected funding from DFIs for local development projects through a results-based “impact bond”.

This category of cooperation is typically relevant for technical assistance related to individual investment projects or clearly delineated investment programmes for adaptation. Funding may, however, also be provided to support development of policy frameworks for resilience more broadly.

4

CHALLENGES FOR TECHNICAL-FINANCIAL COLLABORATION

The previous chapter shows that technical and financial organisations can collaborate in different ways. Yet, such collaboration is not without challenges. The following barriers have been derived from interviews

with the projects / organisations introduced in chapter 3. Where helpful, results are complemented by insights from a review of available literature.

4.1 Tensions between organisations' requirements or procedures

Organisations have different organisational requirements and procedures. Partnerships will not form where these requirements and procedures are incompatible or where making them compatible comes at high effort and costs.

- **Different partnership and project implementation modalities:** Organisations work by different rules and regulations that are often determined by their donors or shareholders and by the national or regional contexts they are established in. Such rules (e.g. internal regulations of procurement services) may apply to how and with whom they can cooperate, how funding is used, which activities can be implemented and costs covered, etc. Against this background, it can be difficult to find partnership models that are acceptable to both sides and have an attractive cost-benefit ratio. If possible at all, signing of contracts for formal collaboration may thus require intensive discussions. Different definitions of what technical assistance or cooperation is meant to achieve, and how, further complicates agreeing on joint approaches.
- **Different project lead times:** DFIs typically need longer than technical cooperation partners until projects / investments can be implemented³. This

time lapse could make it difficult for technical cooperation partners to plan projects together with DFIs because their standard project initiation procedures do not allow them to plan far in advance. Additional issues emerge if project initiation is delayed beyond the foreseen planning phase because of unforeseen challenges for either one of the partners (typically the DFI). In this case, one of the partners has to start working without the contribution of the other organisation. Synergies cannot be used and project activities have to be adapted on short-notice, thus threatening jointly defined outcomes.

- **(Perceived) Lack of control over outcomes:** Both technical and financial entities have to ensure that the results of their work are in line with what has been planned, both to satisfy their owners / principles and to avoid risks (e.g. potential reputation and liability risks if technical interventions serve as a basis for concrete investment or financing decisions). In case of informal partnerships or partnerships without a dedicated "lead" partner, neither side has sanction mechanisms if the partner does not deliver as expected (e.g. because of time delays or lack of efforts). This makes it difficult to rely on outputs from the other organisation and to engage in joint planning. Consequently, some organisations prefer to contract private consultants over whom they have more control.

³ DFIs need to conduct several steps on the way towards negotiating and agreeing on financing frameworks. Once financing has been agreed internally and / or by the donor / principle, DFIs have to conduct a feasibility study and project appraisal, negotiate contracts with national project partners / implementing entities, wait for official ratification of the governmental agreement by the partner country, etc. Moreover, DFIs rely on the capacities

of the project implementing entity. If the partner entity needs time to understand and set up the required capacities, this may further delay the start of the project.

4.2 Lack of structures and resources for bottom-up cooperation

Even if collaboration between two or more organisations is generally possible and desired, a lack of structures and resources for bottom-up cooperation can negatively affect practical action.

- **Lack of standardised and integrated platforms for communication / information:** In order to identify adequate partners, organisations need information about who does what and how in a certain country or sector. Sometimes such information is not available or shared. Whether or not partnerships can emerge thus depends to a certain degree on whether individual people can, coincidentally, find the right contact person (i.e. motivated, able to initiate collaboration) at the right point in time (i.e. when resources are available and priorities are aligned). The lack of communication may lead to similar institutions competing for the same projects.
- **Lack of reward and motivation for collaboration:** Finding partners and implementing joint action often requires project managers and staff to take efforts that go beyond their specific tasks. If such efforts are not compensated for or rewarded, partnerships depend on whether the involved actors have sufficient motivation to manage them. Dependence on willingness to cooperate can make it difficult to plan ahead and ensure that shared goals are achieved in time and to full satisfaction. If counterparts lack flexibility and enthusiasm, collaboration can be cumbersome for the other side.

- **Unmatched practical expertise and experience:** If the technical entity lacks know-how on financing mechanisms and the functioning and requirements of financial institutions, it might be challenging to successfully support pipeline development and project financing. For instance, financial modelling and project structuring are among the skills that the technical side often lacks if its team members have not worked with financial institutions before. It can thus be difficult to contribute in ways that are truly helpful for the DFI. DFIs, in turn, may not be aware of the requirements of technical partners, e.g. the need for participatory approaches and stakeholder engagement.
- **Insufficient resources for partnership management:** Managing partnerships with organisations that have different work procedures and capacities requires more time than collaborating with rather similar partners. Organisations that work with a relatively small number of employees and do not have own staff on the ground, such as many DFIs, lack resources for closely coordinating with the local staff of partners and providing feedback. As a consequence, the results of partners' work may not be easily usable. Without local staff, it is also difficult to build the necessary relationships for collaboration. Overall, low levels of resources for cooperation, including strategic donor relations and general communications, are major hurdles.

4.3 Unfavourable local framework conditions for collaboration

Local project contexts may fail to promote collaboration between technical and financial partners.

- **National limitations to (integrated) financial or technical cooperation:** In certain situations, technical or financial assistance may be very difficult or even impossible to realise (for certain sectors or in general), thus also affecting potential for collaboration between organisations. Some countries have reached their overseas borrowing ceiling or may no longer be eligible for development finance. Other countries lack necessary policy frameworks, institutional capacities or social, economic and environmental safeguards to comply with the high-level requirements of many multi- and bilateral development cooperation organisations. This may prevent

certain institutions from taking action in the respective country and from collaborating with other partners on the ground.

- **Scepticism of national partners towards cooperation:** In some situations, national implementing partners may also be sensitive to close collaboration between financial and technical partners, e.g. because it makes it more difficult for the government officers to make individual requests to both types of organisations and shape their activities. Challenges could also emerge if technical and financial donor organisations typically work with different implementing partners on the ground who are not used to collaborating with each other.

4.4 Relevance of challenges for partnership forms

The identified challenges may have different effects on the forms of collaboration derived in chapter 3. These are tentatively outlined in table 5.

TABLE 5

Potential effects of challenges on different forms of collaboration

	(A) Informal cooperation to foster investments	(B) Formal cooperation for joint projects	(C) Technical support with funding from DFIs
Different partnership and project implementation modalities		×	×
	Other than informal partnerships, formal partnerships have to fulfil certain requirements with regard to partnership and project implementation modalities		
Different project lead times	×	×	
	This issue could emerge in both informal and formal arrangements. It may be less relevant for category (c) collaboration given that probably only those organisations would be contracted that can accommodate for their client's procedures.		
(Perceived) Lack of control over outcomes	(×)	×	
	This challenge is particularly relevant in situations where partners clearly / strongly depend on each other's work but do not have control / sanction mechanisms.		
Lack of platforms for communication/information	×	×	×
	This challenge makes it difficult to find the right partners, irrespective of which form of partnership is sought.		
Lack of reward and motivation for collaboration	×	×	
	A lack of reward and, hence, motivation for partnership management can affect any collaborative action that is beyond the partners' primary mandate. It could prevent category (a) collaboration and make category (b) collaboration relatively difficult.		
Unmatched practical expertise and experience	×	×	
	This issue could emerge in both informal and formal arrangements.		
Insufficient resources for partnership management	×	×	
	This issue could emerge in both informal and formal arrangements. Lack of motivation could potentially prevent category (a) collaboration and make category (b) collaboration relatively difficult.		
National limitations to (integrated) financial / technical cooperation	×	×	×
	If technical or financial cooperation is generally not possible, none of these partnership forms can be implemented.		
Scepticism of national partners towards cooperation		×	×
	This issue could probably prevent technical and financial organisation from entering into formalised partnerships but would rather not keep them from working informally in ways that contribute to both organisations' objectives.		



5

ENTRY POINTS FOR FOSTERING PARTNERSHIPS

This chapter explores how technical and financial organisations could use their resources to increase the number and effectiveness of partnerships for development cooperation. Chapters 5.1-5.3 summarise

entry points that project managers could use prior to or during project implementation. Chapter 5.4 outlines more general considerations for entire organisations or programmes.

5.1 Planning and standardisation to ease alignment processes

While general tensions between procedures and processes cannot simply be erased, certain action can be taken to ease the process of finding together.

- **Realistic planning and expectations:** Sufficient time has to be planned for the initiation of collaborative projects in order to ensure that all required contracts are signed prior to the planned beginning of implementation. Alternatively, the technical and financial assistance components should be planned in such a way that they can start individually to bridge potential delays in the initiation of the (technical or financial) partner's work. Overall, it is rather not helpful to enter collaboration with tight and inflexible time lines.
- **Close collaboration to build a joint "story" and ownership:** A close relationship (both physically and with regard to regular or ongoing exchange) with implementation partners is very important to achieve impacts together in situations where part-

ners cannot control each other's activities and rely on trust. Collaboration should start from the earliest phase possible, i.e. planning. Early discussions on a common impact framework and conducting joint fact finding missions can help to ensure that all partners are on the same page and develop a feeling of ownership.

- **Documenting achievements:** Project managers who encounter challenges with the own organisation's or the partners' requirements and procedures need to find out whether similar hurdles have been encountered before and how they were solved. Generally, results of negotiations should be documented for future use and replication. Where possible, standardisation should be sought, e.g. by developing template agreements. Lessons learned can be shared with existing and potential partners, e.g. through communication and donor coordination platforms.

5.2 Maximising use of available structures and resources

Even if cooperation is not institutionalised, options may exist to improve the use of available structures and resources. However, personal motivation and willingness to “go the extra mile” will also play an important role in managing partnerships without dedicated resources.

- **Proactive engagement and discussion:** It is important that project managers proactively search for collaboration with technical and financial partners that are active in similar fields. Coordination and collaboration should ideally start before projects are launched. Both sides need to find out who else is active in the respective sector and country, e.g. by speaking to country delegations, representative offices and existing coordination fora of international organisations in the country, public institutions or local experts. Partnerships may form rather spontaneously. It is thus crucial for both sides to build and maintain strategic contacts in order to ensure that partners can be found when the time is right and opportunity for collaboration is high. Moreover, approaches and achievements should be documented and shared widely so that potential partners can get into contact when interested. Donor coordination groups provide room for organisations to get to know each other and share project documentation. Building contacts when there is no apparent need or opportunity for collaboration makes it easier to approach each other when the circumstances change and collaboration becomes attractive. On the side of

the technical partner, it can be helpful to take the first steps and provide concrete ideas in order to show willingness to collaborate and highlight potential benefits of collaboration. Then, programme representatives need to identify how they can work together. This can be done, for example, through meetings or workshops. If direct involvement is not possible or desired, development partners should at least discuss progress and get feedback. Such exchange could take place, for example, in donor coordination fora or through bilateral exchange between specific programmes.

- **Identifying, using and communicating synergies:** Collaborative action is particularly desirable if interventions contribute to scaling up each partner’s impact. For example, by investing into capacity building, technical organisations can ensure that the lessons learned from pilot projects financed by DFIs are anchored on the ground. Working on policy frameworks can even make it possible for DFIs to invest in areas where this was not possible before. In such “win-win” situations, both partners will likely be willing to cooperate and lack of control will be less of an issue. Advantages of collaboration should be identified and communicated openly to ensure that involved stakeholders see the benefits of collaboration. Technical and financial organisations could even consider calculating mutual leverage potential prior to or during projects in order to make benefits more tangible.

BOX 3

Potential complementary strengths of technical and financial partners

Typically, technical and financial partners have complementary skills and resources which they can use to contribute to joint impact.

Relevant strengths of technical partners may include:

- **Skills, networks:** Sound technical expertise and local networks can be used to foster frameworks for financing and to provide bottom-up information. Some technical organisations have more (native) staff with national and regional expertise than DFIs, making it easier to manage long-term relations with stakeholders and to replicate success in multiple locations. Local structures also help to verify and

cross-check the reliability of project partners; this is attractive for financiers with public funds.

- **Flexibility, mandate:** Technical organisations are sometimes allowed to conduct interventions that DFIs can typically not take, e.g. use funding for own research and capacity building.

Relevant strengths of DFIs may include:

- **Access to finance:** For technical organisations it is attractive to work with DFIs because it improves their beneficiaries’ chances to access funding. This, in turn, makes such projects more attractive to the respective beneficiaries. Policy dialogue, for example,

becomes much more interesting to governments if linked to resources.

- **Leveraging effect:** DFIs have large potential for leveraging the results of successful cooperation by integrating lessons learned in other investment projects.
- **Convening power:** DFIs often have the power to convene high-level political dialogue due to their standing and relation to relevant ministries and decision makers.

Which features are relevant for certain collaborations depends on the situation and the needs of the respective counterpart. In English- or French-speaking countries, for instance, language is not as much of a challenge and, hence, there is less need for development cooperation partnerships. However, having local staff still remains very important for the reasons mentioned above (local networks, understanding of the local context, etc.).

- **Building the right team:** As outlined before, the success of partnerships also depends on the motivation and skills of the involved individuals. It is important to establish a solid team with leaders and staff who are motivated and have complementary skills on both the technical and financial side. Partners should have a sound understanding of the other side's capabilities, needs and limitations. Given less flexibility and resources on the side of DFIs, it can be particularly helpful if the employees of the technical entity are familiar with the financial sector, e.g. in order to translate investment opportunities into the language spoken by financiers. Relevant expertise could be secured, for example, by involving at least one staff member who has worked with or in the financial sector before or by contracting individual short-term experts as required. The location of the team is also important – partnerships and results can typically be managed more effectively if staff is based on the ground for longer periods of time rather than travelling to the country sporadically.
- **Ensuring continuous learning:** Beyond ensuring that

team members already have a solid understanding of the partner and its work at the outset of the project, it is also important to foster continuous learning. Among other things, the partners' capacities and needs should be clarified at the beginning of the project and in regular intervals throughout project implementation. If trainings on relevant aspects of the partner's rules and procedures (e.g. procurement rules) are available, staff from the partner should be invited to participate in those. Alternatively, specific trainings could be developed, e.g. an on-boarding training to be held shortly after the start of the joint project and additional trainings on specific aspects that team members need training on.

- **Finding practical solutions:** If the project manager at the DFI does not have sufficient resources for partnership management, the technical partner could work more closely with the local consultants hired by DFIs. In this case, terms of reference for the consultant could be developed together to ensure that they fit both the technical and the financial organisations' needs.

5.3 Working on framework conditions

Finally, working on framework conditions can help to increase demand for investments and open up new opportunities for technical support.

- **Promoting an enabling environment for development finance:** Development cooperation, especially when involving the direct transfer of financial resources, depends upon the existence of conducive regulatory frameworks. Technical organisations can foster such an environment, e.g. by working with governments on sound credit regulation that reduces the risk of default for DFIs and thus makes it more attractive for them to invest in climate and development. Moreover, they can contribute to the

establishment of comprehensive project pipelines for funding by DFIs. Technical partners should have a very good understanding of market participants' and financial institutions' needs when working on the design of policy frameworks and pipelines. At the same, DFIs themselves can and should also use their convening power and resources to work on enabling framework conditions for development financing. Such engagement necessarily extends beyond the duration of individual financing agreements and requires longer-term engagement with stakeholders, including multi- and bilateral technical cooperation agencies.

5.4 Organisation- or programme-wide entry points

Efforts taken by individual project managers will increase the number of best practice examples but will rather not trigger a more systematic approach to building partnerships. **Organisation- or programme-wide commitment and exchange with other organisations/programmes** would help to make technical-financial collaboration more systematic and build the required trust and understanding for long-term relationships. The following actions could be taken by the strategic departments, partnership management teams or upper management levels of organisations (e.g. any DFI or climate fund, multi- or bilateral implementing entities of development cooperation, NGOs) or programmes (e.g. German International Climate Initiative (IKI), Global Climate Change Alliance Plus (GCCA+)) involved in development cooperation:

- **Identifying and circulating lessons learned:** If collaboration is supported by the upper management of an organisation, teams involved in initiating and implementing the projects will have a strong driver to overcome potential barriers. It could be helpful to screen the existing project portfolio for lessons learned on collaboration, and to communicate them among projects. The entry points discussed in chapter 5.1-5.3 are first examples of such lessons. However, in order to make them fully useful to project managers, they need to be specifically tailored to the characteristics, resources and requirements for projects under the respective organisation / programme.
- **Fostering standardisation:** It would also be relevant to identify or derive specific procedures, approaches or tools that can be standardised and used by project teams. Examples could include templates for financing agreements, manuals for joint reporting, etc. Such standardised instruments would have to be managed centrally and should, for example, be

accessible to projects with similar structures and thematic foci.

- **Systematically valuating synergies:** Collaborative action is particularly desirable if interventions contribute to scaling up each partner's impact. Organisations could consider calculating mutual leveraging potential prior to or during projects in order to make benefits more tangible and to increase the "reward" for engaging in such action. Benefits could be measured in financial or non-financial terms, e.g. considering the additional funding leveraged or the number of beneficiaries reached.
- **Providing additional financial resources:** Those in charge of approving funding for specific projects could disburse additional financial resources for partnership management (if such resources can be made available). Funding could be used by project managers to identify partners and mutual benefits, build teams that complement the partners' capacities and manage practical cooperation. The amount of funding could depend on the assessment of leveraging potential.
- **Building "coalitions of the willing":** The previous actions help to motivate and support project managers which the organisation or programme can directly reach and, to some degree, steer. Additionally, partnership opportunities could be discussed more broadly with other organisations or programmes to make it easier to identify partners on the ground. As the discussion in chapter 2.2 has shown, willingness to coordinate activities on an organisational level is limited among donors. Hence, it could be an option to search for organisations that are more open to collaboration in a specific region or priority sector and to agree on framework programmes or joint objectives.

FIGURE 2

Overview of challenges and entry points for collaboration (source: authors)



6

CONCLUSION

Joint action between the different actors of development cooperation is highly important to ensure efficient use of available resources and to take pressure from recipient countries. While global efforts have focused on coordinating donors' contributions on country- or sector-wide levels (with mixed or even unsatisfactory results), this working paper analyses concrete collaborative projects and provides hands-on guidance for improving collaboration between technical and financial partners on the ground. Several key conclusions can be drawn:

Firstly, technical and financial organisations can **collaborate in different ways**. This may include shaping their actions in ways that create (co-) benefits for the “other” side, explicitly teaming up and combining their strengths to achieve scaled-up impact, or contracting actors that can contribute specific expertise or resources. These forms of collaboration are relevant across many sectors of development cooperation, including resilience-building.

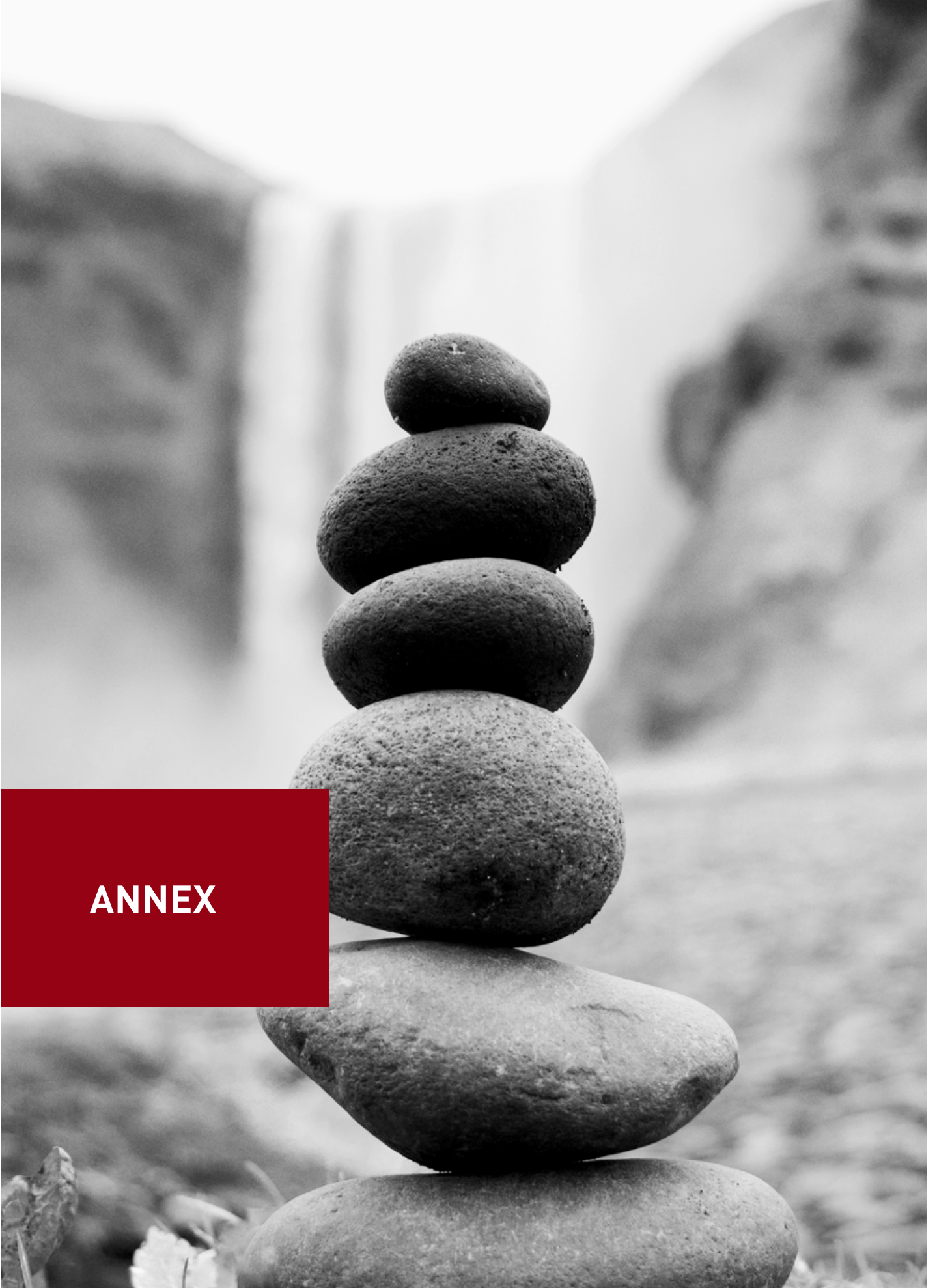
Secondly, collaborative action for sustainable development and climate action suffers from a number of **barriers**, ranging from tensions between organisations' procedures to a lack of structures, resources and local framework conditions for bottom-up cooperation.

Thirdly, the paper shows that certain **measures can be taken to increase the number and effectiveness** of partnerships.

- From the perspective of **project managers**, this may include activities such as building a joint narrative together with other projects, identifying and communicating synergies, and ensuring that project teams feature a good mix of skills.
- **Organisation- or programme-wide entry points** also exist and could be used by strategic departments, partnership management teams or higher management levels of entities and initiatives, such

as the German International Climate Initiative (IKI), to address the barriers to technical-financial collaboration more systematically. Examples include fostering organisation-wide standardisation of partnership frameworks and building “coalitions of the willing”.

Yet, despite the existence of positive examples and ideas from the field, the importance of collaboration (and of bearing the additional costs related to making it work) actually still seems to be widely **underestimated**. The potentially **devastating consequences of climate change**, especially if met unprepared, make it absolutely crucial that all available resources are used as efficiently as possible. A lack of coordination between the technical and financial organisations of development cooperation does not only weaken the effectiveness of their (respective) interventions but might also lead to a situation where their work in general is being questioned. If organisations created to foster positive impact for others cannot join forces for the benefit of exactly this goal, there might be a growing need for them to demonstrate that they are still adequate instruments for sustainable development. Discussions around collaboration mechanisms will thus have to be intensified and become more ambitious, also with a view to successfully supporting NDC implementation at the country level. New technologies, organisational re-structuring and more systematic (financial or non-financial) rewarding of collaboration efforts might be required in order to bring institutions together more effectively. Overall, this paper provides first insights into a broad topic. More specific and tailored research will be required to derive recommendations for individual organisations.



ANNEX

ANNEX I

EXAMPLES OF COLLABORATION

The following examples of collaboration between technical organisations and development finance institutions (DFIs) were selected in collaboration with the GIZ Support Project for the Paris Agreement and upon recommendation by other GIZ colleagues. They represent different categories of collaboration. Data on these case studies was gathered through desk review, 12 phone interviews and four written feedbacks (March–July 2019, see Annex II).

(A) Informal cooperation to foster investments by financial institutions

Wastewater management in Vietnam

Short project summary	<p>GIZ Vietnam helped establish networks and framework conditions⁴ to foster upscaling of project activities and pilot projects on Wastewater Management and Flood Protection in Vietnam. Based on this work, collaborations with KfW, CDIA, ADB and WB were established.</p>
Project partners and organisational structure	<ul style="list-style-type: none"> • GIZ worked with KfW on drainage and waste water but eventually KfW stopped new investment in this sector in Vietnam • GIZ regularly met with banks and the donor working group to present the potential for investment in 13 GIZ supported provinces. Based on the regulatory framework which GIZ helped establish, ADB eventually included most of GIZ's project provinces in their climate resilience programme. Total funding is expected at 1.8 billion USD. • GIZ cooperated with WB on Decentralised Wastewater Treatment Systems (DWWT). Based on requests from two provinces, GIZ prepared the design of the DWWT systems (10,000 USD). The Can Tho City People's Committee and WB's Urban Upgrading Project Funding provided funding for the acquisition of land and construction of the DWWT system.
Challenges for collaboration	<p>Lack of necessity / complimentary fit</p> <ul style="list-style-type: none"> • Collaboration between WB and GIZ was not very intensive. Albeit the actual reasons for this are unknown to GIZ, a lack of necessity and complimentary fit could be one of the plausible explanations. WB has a history of contracting private consultants rather than bilateral technical assistance agencies with own agendas. WB was, at that time, also well connected in Vietnam, thus potentially not needing GIZ's local network. <p>Framework conditions</p> <ul style="list-style-type: none"> • KfW stopped new investments on drainage and waste water projects in Vietnam, and there were many gaps and inconsistencies in the legal policy framework and the sector was a political priority for the government. These challenges caused significant delays in the formulation, approval and construction of investment projects. GIZ supported the government to establish a practical legal policy framework and provincial regulations.

⁴ 1) GIZ developed a strategy for engagement with government and donors;

2) Together with the Ministry of Construction it developed the national legal and policy framework to ensure it was practical and in line with the requirements of donors;

3) It then supported provinces establish a regulatory framework that accorded with the national framework and as well looked attractive to investors

<p>Success factors for collaboration</p>	<p>Attitude / willingness / expertise</p> <ul style="list-style-type: none"> • It is important to have a solid leadership and team with skilled people who are motivated (on both the technical and financial side) and have complementary skills • GIZ didn't have problems understanding ADB because they had already worked with KfW and knew the complexities of banks <p>Potential for synergies</p> <ul style="list-style-type: none"> • GIZ and ADB have complementary skills in three key areas, i.e. technical (engineering), financial and institutional (i.e. regulatory and policy) • One of GIZ's important strengths is its connection to governments at national and sub-national levels: It is very important for collaboration with financiers to foster conducive regulatory frameworks (e.g. in order for the drainage and wastewater systems to be attractive for investment it must be clear where the funds are coming from to cover the full cost of operations and maintenance). GIZ has extensive expertise and was thus able to help shape the regulatory framework; this allows DFIs to "tick this off their list" when preparing credit lines <p>Stakeholder engagement</p> <ul style="list-style-type: none"> • Vietnam has the donor coordination group for sanitation and drainage issues that meets every 3 months. GIZ participated in these events to share results from GIZ activities at national and provincial levels, share information about policy advocacy with government partners, and understand what others are doing. It then followed up bilaterally and maintained strategic contacts. These contacts were later on used to establish closer collaboration with certain DFIs when the time was right. • All GIZ work was documented and shared with every member of donor group. Through this GIZ developed very close relations with certain key people from DFIs and contributed to establishing a sound basis for financing programmes. • Important to the success of GIZ's technical support, and thus its contribution to expanding relations with finance providers, was a comprehensive consultation process to ensure planning and implementation responded to the needs and demand of national and provincial decision-makers, state management officials and service companies.
<p>Sources</p>	<p>Interview (Tim McGrath, GIZ, 08.03.2019)</p>

GIZ Vietnam also collaborated with the **Cities Development Initiative Asia (CDIA)**. With funding from CDIA, it prepared a pre-feasibility study in three Vietnamese cities. This collaboration is not described in more detail here because it was more formalised than the collaboration with WB and ADB and included funding flow from CDIA to GIZ (hence rather falling into category C).

Get.invest – Renewable energy promotion in sub-Saharan Africa

<p>Short project summary</p>	<p>GET.invest supports investment in decentralised renewable energy in sub-Saharan Africa and other developing and emerging markets through 1) private sector mobilisation (stimulating partnerships and new project / business development) and 2) pipeline development (getting existing projects and businesses ready for financing).</p> <p>Under its pipeline development component, Get.invest provides expert advisory and coaching (“Finance Catalyst”); support to milestone studies; and capacity development of key stakeholders (but no direct financial support). The objective of the Finance Catalyst is that “projects are accepted by financiers”. The needs of financiers inform pipeline development.</p> <p>FIGURE 3</p> <p>GET.invest Approach (GET.invest 2019)</p> <p>(B2B: Business to business)</p>
<p>Project partners and organisational structure</p>	<p>Get.invest works with a broad range of development finance instruments that address the target size of investment projects in the range of 1-70 million EUR:</p> <ul style="list-style-type: none"> • Spin-offs of DFIs or subsidised, specially tailored financing instruments, e.g. ElectriFI (EU), ResponsAbility (KfW), Facility for Energy Inclusion (FEI/AfDB), Renewable Energy Performance Platform, Sustainable Energy Fund for Africa (SEFA/AfDB) • Impact-oriented foundations, family offices, high net worth individuals (directly or through specific financing vehicles, e.g. SunFunder, a spin-off of Acumen with money from investors such as Leonardo DiCaprio Foundation) <p>Key characteristics of the financial institutions / instruments relevant for Get.invest are that they provide concessional finance, since many investment projects do not (yet) match the requirements of commercial financial institutions, and that they provide funding to smaller(er)-scale private project developers.</p>
<p>Challenges for collaboration</p>	<p>Get.invest, among other things, supports companies in getting projects accepted by financial institutions / instruments. Hence, the following are challenges for pipeline development:</p> <p>Expertise</p> <ul style="list-style-type: none"> • Staff of development organisations often lacks specific know-how on project development and financing of energy projects <p>Demeanour towards target group</p> <ul style="list-style-type: none"> • Project developers and other stakeholders are confused by the large amount of acronyms and the proliferation of initiatives and instruments, • There are instances where private financiers are criticising a “crowding out” by development finance, • Project developers do not identify with “climate” finance; financing is needed for energy or transport projects, i.e. for specific business models that have climate impacts.

Success factors for collaboration

Mutual understanding and trust

- Technical organisations need to understand exactly what sustainable energy project developers and finance providers need and how they can use their strengths and opportunities to support meeting those needs; close working relationships are required
- Especially advisors and projects working under the umbrella of “climate change mitigation / adaptation” need to first understand the target audience; this can be achieved, for example, by participating in energy networks
- “People business”: From a variety of possible financial institutions and their loan officers the right institution and person must be selected and convinced; a standardised approach to sustainable energy projects and to matching them with finance providers is possible and helpful only to a limited degree, much depends on personal relationships.
- Expertise / “language”: Technical organisations need to be able to translate investment opportunities into the language spoken by financiers; support should be delivered through a team of highly experienced professionals. Get.invest works with consultants who have relevant work experience.

Flexibility

- Support should be as flexible and demand-driven as possible, as well as lean and accessible procedurally; “prescriptive” approaches (e.g. in terms of technologies and business models) should be avoided (highly dynamic market!)
- Financial institutions need time to ensure that all their requirements are complied with; it is thus helpful “not to promise a financial close date”, i.e. not to go into collaboration with too fixed time lines and expectations

Influence on enabling conditions / framework conditions

- Once it is clear what market participants need, this should also be taken into account when working in the policy space, e.g. designing policy frameworks that reflect the needs of mobilising finance (“bankable regulation”); NDC processes should be more market-driven
- However, support to policy and regulatory frameworks should be provided by actors without conflict of interests, incl. “downstream” financing of investment projects; technical organisations must be independent and provide independent advice to project developers

Making use of wider network and local anchoring

- When collaborating with finance providers it is very helpful to have extensive capacities and country offices in order to be able to benefit from economies of scale; close working relationships with “peers” (similar support providers) and industry (e.g. energy associations) are extremely helpful
- GIZ has local structures to verify and cross-check the reliability of project proponents; this is attractive for financiers with public funds

Sources

Get.invest. <https://www.get-invest.eu/>

GET.invest (2019): Mobilising Decentralised Renewable Energy Investment. (not available online)

Interview (Michael Franz, GIZ, 12.04.2019)

Sustainable forest management in Kyrgyzstan

Short project summary	<p>Since approximately 2010, GIZ and WB collaborate to foster sustainable forest management projects in Kyrgyzstan.</p>
Project partners and organisational structure	<p>WB</p> <ul style="list-style-type: none"> • Upon request of the Government of Kyrgyzstan, WB agreed to finance sustainable forest management pilot projects. • In the preparatory phase for this financing (approx. 1-1,5 years), WB focused on developing sound implementation arrangements with the Government of Kyrgyzstan and the development partners; it also supported the government in establishing regulatory framework conditions that were conducive for forest management projects <p>GIZ</p> <ul style="list-style-type: none"> • GIZ contributed to preparing the WB financing by conducting feasibility studies, local pilots and capacity building activities; it also supported national approval of the financing framework by ensuring a smooth flow of information to all relevant stakeholders • Overall, GIZ's focus was on contributing bottom-up information and perspectives to ensure effectiveness and local ownership of the projects
Challenges for collaboration	<p>Lack of valuation of collaborative action</p> <ul style="list-style-type: none"> • The benefit of such a collaboration – i.e. leveraging financial resources – was not always easy to illustrate to higher management levels. • One of the reasons for this might have been the time lapse between preparation and implementation of the WB funding: The initial contacts between GIZ and WB were established in 2010 but financing of forest management projects only started in 2017 <p>Dependence on individual motivation and willingness</p> <ul style="list-style-type: none"> • Cooperation was not systematic / institutional but rather based on personal relationships and motivations. The lack of institutionalised structures makes collaborations dependent on whether the involved people have the required motivation and resources. • This specific WB-GIZ collaboration was based on very good personal relationships and high individual motivation. However, people are sometimes more “territorial” and less open to collaboration • One of the reasons for lack of willingness to collaborate may be reluctance to give away control and to (seemingly) share the credit / reward for successful outcomes • Additionally, technical officers from the Government of Kyrgyzstan were sensitive to the fact that WB closely collaborated with GIZ for individual reasons. • One of the reasons for this sensitivity may be that it became more difficult for the government officers to shape WB's and GIZ's activities in Kyrgyzstan and to make individual requests to both organisations <p>Increasing competition</p> <ul style="list-style-type: none"> • Collaboration between multi- and bilateral development organisations seems to be less common than it used to be. The reasons for this are unclear. A changing world order with increasing competition may be one of them.

<p>Success factors for collaboration</p>	<p>Communicating and using synergies</p> <ul style="list-style-type: none"> • Both advantages and disadvantages of collaboration should be identified and communicated openly to ensure that all involved stakeholders see the benefits of collaboration (in case of this collaboration, financing of sustainable forest management would probably not have taken place without the collaboration between GIZ and WB). GIZ may be in a better position to do so if it already has more established networks and expertise in certain sectors and countries than WB. • Some of GIZ's strengths for this collaboration include: <ul style="list-style-type: none"> • Neutrality: GIZ has a reputation as an honest broker with fewer particular interests than UN agencies in Kyrgyzstan because it was less closely linked to state agencies in Kyrgyzstan; it was able to mediate between all sides even in case of conflict • Bottom-up perspective / local anchoring: GIZ already had many years of experience in the country, including capacity building for land management, and had a sound basis for long-term stakeholder dialogues and collaboration with local consultants; its staff members also spoke the local language (in other countries, i.e. the English- or French-speaking ones, language is not as much of a challenge and, hence, there is less need for development cooperation partnerships); GIZ was thus able to provide bottom-up information; this was helpful for WB (e.g. to ensure that manuals are truly on-demand) which was more active on the macro level in collaboration with the government • Flexibility / funding for preparation: GIZ has greater flexibility than WB; other than WB, GIZ can finance, for example, preparatory workshops and research • Some of WB's strength for this collaboration include: <ul style="list-style-type: none"> • Power to convene very high-level political dialogue • Financial power: GIZ was also working on policy dialogue with government and such dialogue becomes much more interesting to governments if linked to resources; hence, this was a productive "marriage" between GIZ and WB <p>Personal contacts and engagement</p> <ul style="list-style-type: none"> • Personalities and experiences of team leaders are important. It is important to find the right people who are interested in collaborating. Teams should have same philosophy and shared objectives. People even have to be willing to make compromises to develop a joint "story". • On the side of the technical partner, it can be helpful to take the first steps and provide concrete ideas in order to show willingness to collaborate and highlight potential benefits of collaboration. <p>Systematic approach to cooperation</p> <ul style="list-style-type: none"> • It could be helpful to conduct a systematic screening of the technical portfolio and determine (standardised) entry points for collaboration which can then be built into the design of new projects. • On both sides, flexibility is needed for collaboration (e.g. for GIZ it could be helpful to be able to work as sub-contractor rather than project lead) – this requires 1) commitment, pressure and support / incentives by high management levels and 2) dialogue between both sides in order to develop a joint vision
<p>Sources</p>	<p>Interview (André Fabian, GIZ, 03.06.2019)</p> <p>Interview (Nathalie Johnson, World Bank, 08.07.2019)</p>

Financing energy and resource efficiency in Morocco

Short project summary

EBRD, in cooperation with EIB, KfW and AFD and with support from the EU, implements the Morocco Sustainable Energy Financing Facility (MorSEFF), a credit facility dedicated to financing energy efficiency and small-scale renewable energy investments of private companies in Morocco.

The EBRD informally cooperated with **UNIDO** to link MorSEFF to MED TEST II, a component of the EU-funded SwitchMed Programme that supports SMEs in eight Southern Mediterranean countries to switch to sustainable consumption and production methods. This collaboration was initiated by the EU to ensure that synergies between the two EU funded programmes could be realised. It was not formalised.

The EBRD also informally cooperated with **GIZ** in Morocco. This collaboration was not planned by either side but emerged when both EBRD and GIZ realised the benefits of joint action (see “lessons” below). GIZ supported MorSEFF Programme through providing energy audits to a few potential clients of MorSEFF that have not identified their project yet. The EBRD also approached GIZ with regard to other topics, e.g. solar water pumping.

Project partners and organisational structure

EBRD:

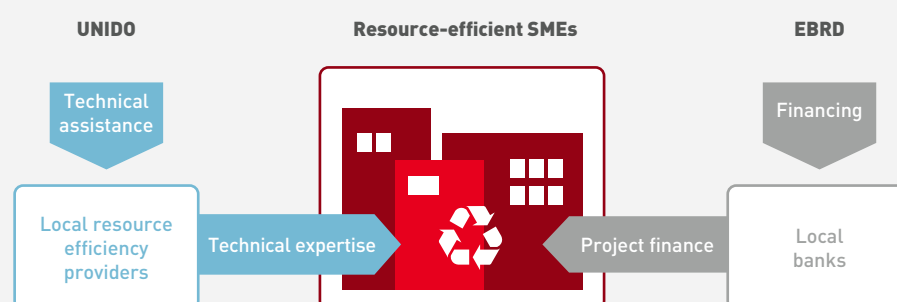
- In cooperation with other partners provides project financing to local commercial banks
- Works with local commercial banks on identifying potential projects
- Supports companies in preparing bankable projects and facilitates engagement with local commercial banks
- Provides experts for training and capacity building under MED TEST II programme
- Supports Government of Morocco in improving regulatory framework

UNIDO:

- Provides training and capacity building under MED TEST II programme
- Identifies technical measures eligible for MorSEFF financing and works with EBRD Project Consultant on loan application to banks that have received MorSEFF funding for on-lending from EBRD

FIGURE 4

EBRD-UNIDO cooperation scheme in Morocco (UNIDO 2018)



GIZ:

- Supports in-depth energy audits of companies which apply for funding from MorSEFF

Challenges for collaboration	<p>Lack of information / discussion</p> <ul style="list-style-type: none"> • Sometimes information on technical partners' projects is not available / shared so it is difficult for EBRD to partner already at project design stage. <p>Uncertainty</p> <ul style="list-style-type: none"> • It can be difficult to plan programmes together jointly given that it is quite difficult to predict what will happen in 2-3 years.
Success factors for collaboration	<p>Proactive engagement and discussion</p> <ul style="list-style-type: none"> • It is important that programme managers proactively search for collaboration with technical and financial partners that are active in similar fields. Coordination and collaboration should ideally start before programmes are launched. • Both sides need to find out who else is active in the respective sector and country, e.g. by speaking to EU delegations, representative offices of international organisations in the country, public institutions or local experts. • Then, programme representatives need to identify how they can work together. This can be done, for example, through meetings or workshops. In case of the collaboration between the EBRD and GIZ, EBRD's local team of consultants met with GIZ and exchanged information on GIZ's programme for energy audits. • Overall, it would be very helpful if programmes made more information on their goals and planned activities available so that potential partners can approach them when interested. • If direct involvement is not possible or desired, development partners should at least discuss progress and get feedback. Such exchange could take place, for example, in donor coordination fora or through bilateral exchange between specific programmes. <p>Recognizing collaboration</p> <ul style="list-style-type: none"> • Excellent cooperation needs to be recognised publicly. In case of MorSEFF, both GIZ and UNIDO received awards for excellent collaboration under the MorSEFF Programme. <p>Motivation and potential for synergies</p> <ul style="list-style-type: none"> • If cooperation is not established during the programme design phase, then cooperation often depends on the motivation and willingness of individual people, e.g. the programme manager to establish formal or informal cooperation during the programme implementation phase. • Lack of control over the partner's activities is not really a problem if collaboration leads to win-win situations and if both sides are motivated. • For the EBRD, collaboration with technical partners provides many benefits, e.g. because such technical partners have close relations with governments and work with a large number of local technical staff / experts that can help DFIs understand the local context and shape financing projects more closely to local realities. For technical organisations it is also attractive to work with the EBRD because it improves their beneficiaries' (e.g. local companies) chances to access funding.
Sources	<p>Interview (Miroslav Maly, EBRD, 29.07.2019)</p> <p>MorSEFF: http://www.morseff.com/</p> <p>UNIDO (2018): UNIDO's Industrial Development Partnerships With Financial Institutions. https://isid.unido.org/files/DFI%20UNIDO%20Partnership%20Brochure.pdf</p>

(B) Formalised cooperation for joint project implementation

Forest and savannah management in Brazil

Short project summary	<p>The GIZ's Tropical Forest Programme in Brazil entails 12 projects, all of which have a financial assistance (FA) component. The following three examples can be highlighted:</p> <ol style="list-style-type: none"> 1. Land and environmental management (Cadastral Ambiental Rural, CAR): Programme to strengthen the operational capabilities of the Brazilian Forest Service (SFB) with regard to environmental regularisation and rural management. 2. REDD⁵ Early Movers (REM): Payment-by-results programme by KfW to support participatory sustainable forest management; in Brazil, two federal states participate in REM; GIZ supports them with technical assistance (TA) 3. Amazon Fund: Donor-funded financing mechanism for REDD+ in Brazil; GIZ provides TA to the fund manager (Brazilian National Bank for Economic and Social Development, BNDES) and to the funds' stakeholders, e.g. applicants
Project partners and organisational structure	<ol style="list-style-type: none"> 1. Co-financing and close cooperation between WB and BMZ: Starting in 2019, the project will incorporate part of the WB's Forest Investment Program (FIP) portfolio in Brazil: WB has recently committed USD 20 million for the replication of watershed restoration measures in savannahs; GIZ provides the Project Implementing Unit and implements the TA component; WB is fully involved in the content implementation and provides the credit for the water management projects 2. Close, systematic cooperation between KfW and GIZ: With funding from the REM programme, GIZ organises consultations with indigenous people and advises federal states to set up REM programs; KfW closes contracts with the government (specifying, e.g., how much money is spent and according to which rules) and provides results-based financing through REDD funds 3. Close, systematic cooperation between KfW and GIZ: GIZ advises the Brazilian development bank (BNDES) on implementing the fund; KfW finances the fund; intensive exchange on control aspects of the fund (up to questions like "Should KfW make a disbursement or not?"), reports are shared and commented by each other; contract negotiations, in turn, are conducted by KfW
FA & TA collaboration challenges	<ul style="list-style-type: none"> • Time requirements: Contract negotiations for FA are often lengthy, especially if a local bank is required as implementing partner; closing contracts between technical and financial institutions can also be very lengthy as mutual requirements have to be checked and complied with • Capacities: Collaboration with new TA projects that have to be built from scratch can be difficult for financial institutions as the TA partner is still weak • Dominance: Financial institutions can be very dominant; they sometimes prefer to be in the lead and have the authority to interpret; this can be challenging for the TA agency • Communication: Different "language" (i.e. concepts, definitions and objectives) between TA and FA providers

⁵ REDD refers to reducing emissions from deforestation and forest degradation; REDD+ refers to conservation of forest carbon stocks, sustainable management of forests, and enhancement of forest carbon stocks

FA & TA collaboration lessons	<p>Motivated team</p> <ul style="list-style-type: none"> • Team members have to be motivated and willing to spend their time in order to initiate collaborative projects <p>Careful, joint planning</p> <ul style="list-style-type: none"> • There should not be too many dependencies between TA and FA: TA should be able to work without depending on FA component; if this is not possible the start of the project must be postponed so that, ultimately, both components can go hand in hand • Collaborative projects should be set up jointly, e.g. by involving the other parties in the “Fact finding mission” and by sharing reports / results of the project preparation phase <p>Using and communicating strengths</p> <ul style="list-style-type: none"> • GIZ has several strengths that FA providers recognise: Among other things, it acts transparently, has established teams on site (with significantly more national employees than, for example, KfW) and is familiar with local networks <p>Strategic contacts / waiting for the right moment</p> <ul style="list-style-type: none"> • When the WB’s classic instruments stopped working (because Brazil was unable to take on further debt) it started looking for new partners and approached previous contacts; GIZ was established locally and available for collaboration <p>Using lessons learned</p> <ul style="list-style-type: none"> • GIZ Brazil has held legal and administrative negotiations with the WB on questions such as “How can money flow between GIZ and the WB? Which overheads can you settle?”; such collaborations can now be replicated <p>Fostering enabling conditions for collaboration</p> <ul style="list-style-type: none"> • Partner needs structures to bring together TA and FA: Ministerial directors need to have the mandate to do so and to involve various sector ministries • German ministries should also promote cooperation, e.g. through the BMZ officers at the German embassy
Sources	<p>GIZ: Land and environmental management – Cadastro Ambiental Rural (CAR). https://www.giz.de/en/worldwide/34060.html</p> <p>GIZ: REDD+ for Early Movers. https://www.giz.de/en/worldwide/73732.html</p> <p>GIZ: Amazon Fund for Forest Conservation and Climate. https://www.giz.de/en/worldwide/12550.html</p> <p>Interview (Anselm Duchrow, 26.04.2019)</p>

Climate-smart livestock systems in Africa

Short project summary	The BMZ-funded project “Programme for climate-smart livestock systems” (PCSL) supports key stakeholders in the livestock sector in selected sub-Saharan African countries to establish practices, sector strategies and policies for climate-resilient and low-emission livestock development.
Project partners and organisational structure	<p>International Livestock Research Institute (ILRI)</p> <ul style="list-style-type: none"> • Through scientific data collection and solution-oriented field research, ILRI investigates how climate-smart livestock systems can be designed under different climatic and agro-ecological conditions in the focus countries • ILRI will train 10,000 livestock keepers on climate-smart livestock measures (Training-of-Trainers approach) • ILRI will realise participative scenario planning with decision makers to define development pathways for climate-smart livestock systems • In addition, ILRI supports partner countries with monitoring and reporting of livestock related mitigation and adaptation measures within the framework of the Paris Agreement and in shifting their monitoring and reporting systems to Tier 2 approaches in the livestock sector⁶ <p>WB</p> <ul style="list-style-type: none"> • The WB will provide training of project task teams, government staff, and private sector entities on integrating climate-smart approaches in existing or new large-scale investment projects in the livestock sector • WB will implement analytical work in support of WB-funded project formulation and implementation • WB will promote awareness raising and multi-stakeholder consultations at the national level • The WB will collaborate with selected operations • WB will support the definition of climate smart investment criteria and proposal preparation to access climate finance, e.g. GCF <p>GIZ</p> <ul style="list-style-type: none"> • GIZ supports dissemination of findings through training-the-trainer measures and inclusion of investment criteria in the curricula of relevant training and extension organisations in the financial sector • At policy level, possible development paths in the livestock sector are being designed as part of multi-stakeholder working groups, and participatory scenario planning for targeted decision-making is used. • GIZ is in charge of overall project management in accordance with BMZ requirements
Challenges for collaboration	<p>The overall project, managed by GIZ, started in January 2018. Contracts with WB and ILRI were signed in autumn 2018. Time delays were caused, among other things, by two major hurdles:</p> <ul style="list-style-type: none"> • Legal discordance: Contract provided by WB had to be amended with special EU requirements (sanctions list clause) before GIZ could sign it. Intensive high level discussions were required before both sides accepted the contract. • Contractual limitations: Collaboration with World Bank based on an Externally Funded Output (E.F.O.) contract which does not give GIZ much room for taking influence over the outcomes and ensuring successful achievement of objectives > GIZ had to obtain written confirmation from BMZ that it was aware of this

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⁶ According to the 2019 Refinement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories (IPCC 2019), “a tier represents a level of methodological complexity. Usually three tiers are provided. Tier 1 is the basic method, Tier 2 intermediate and Tier 3 the most demanding in terms of complexity and data requirements”.

<p>Success factors for collaboration</p>	<p>Potential for strong synergies</p> <ul style="list-style-type: none"> • WB and GIZ make a “natural fit” for the project: <ul style="list-style-type: none"> • While WB is not entitled to budget for own research and capacity building, GIZ is very familiar with these tasks; by contributing to the project it can support World Bank in making its climate finance more effective • WB, in turn, has large potential for leveraging the results of the project and GIZ’s work by integrating lessons learned in other investment projects • WB also saw GIZ strengths: local presence; strong experience in shaping and implementing projects in accordance with BMZ requirements <p>Time for contracts</p> <ul style="list-style-type: none"> • For projects that depend on contracts a lot of time has to be planned for initiation; expected impacts need to be modelled accordingly <p>Joint understanding of expected impacts</p> <ul style="list-style-type: none"> • Good understanding of and relationship with implementation partners is very important to achieve impacts together in projects without legal effect > Early discussions between GIZ and partners on impact logic ensured that all partners are now on the same boat and that a feeling of joint ownership has developed <p>High level project sponsor</p> <ul style="list-style-type: none"> • Collaboration with the WB was based on an explicit wish of the German Minister for Development Cooperation; there was hence a strong drive for GIZ to overcome potential barriers
<p>Sources</p>	<p>GIZ: Programme for climate-smart livestock systems. https://www.giz.de/en/worldwide/68770.html</p> <p>Interview (Stephanie Heiland, GIZ, 06.05.2019)</p>

NAMA Support Project “New Housing NAMA in Mexico”

<p>Short project summary</p>	<p>In 2012, the Mexican National Housing Commission (CONAVI) initiated the world’s first Nationally Appropriate Mitigation Action (NAMA) to promote energy-efficient housing construction. Upon request by the Mexican Government, the NAMA Support Project “Implementation of the New Housing NAMA in Mexico” was initiated in 2014 to support Mexican efforts for the implementation of the NAMA.</p> <p>The project combines TA to CONAVI with FA in cooperation with the Mexican social housing development bank Sociedad Hipotecaria Federal (SHF) and the Institute of the National Fund for Workers’ Housing (INFONAVIT). The project is implemented by GIZ and KfW who had already previously cooperated with CONAVI and SHF for the development of the Housing NAMA.</p>
<p>Project partners and organisational structure</p>	<p>The TA component (GIZ, CONAVI) was implemented from 2014 to 2017. During this time, GIZ advised on the Housing NAMA implementation on three levels:</p> <ul style="list-style-type: none"> • Political framework and support mechanisms: advisory support to CONAVI for aligning its federal housing subsidy scheme to the Housing NAMA framework • Supply side: training for housing developers (SMEs); implementation of Housing NAMA pilot projects; technology transfer and development of environmentally friendly construction materials and energy-efficient technologies • Demand side: awareness raising and information for end consumers and local authorities <p>The purpose of the FA component (KfW, SHF, 2016–2021) was to provide financial incentives and technical advisory to make energy-efficient residential buildings more economically attractive for project developers and financial institutions. However, the extensive preparation stage delayed the start of the FA component by approx. 2 years.</p> <p>Due to this delay, GIZ concentrated on advising CONAVI both on technical and financial aspects for its federal housing subsidy scheme, including technical criteria for the Housing NAMA implementation, appropriate energy efficiency packages for the different housing prototypes and climate zones and monitoring, reporting and verification (MRV) of projects.</p> <p>Collaboration / linkages between technical and financial partners included:</p> <ul style="list-style-type: none"> • Sector coordination on the NAMA housing policy through CONAVI’s Housing Round Table platform and on NAMA tools through INFONAVIT’s Committee for the Maintenance of the Sisevive-Ecocasa Tool⁷. • TA component developed sustainable urban development criteria for Housing NAMA implementation. Based on this, the FA component developed a tool which is applied for the EcoCasa-Programme⁸. • The NAMA simulation tool Sisevive-Ecocasa was further developed by TA and FA. • Awareness and capacity building activities were implemented jointly in 2017.

⁷ SiseviveEcocasa is an evaluation system that allows for examining and evaluating the overall energy efficiency and environmental compatibility of buildings, taking into account architectural design as well as energy and water consumption (GIZ: Sustainable Energy Programme. https://www.giz.de/projektdaten/projects.action?request_locale=en_GB&pn=201120914)

⁸ The EcoCasa Programme contributes to the Mexican Sustainable Housing NAMA by providing financial incentives for energy efficiency investments and low carbon houses to the low and middle income population (KfW: Mexican Efficiency House. <https://www.kfw.de/stories/kfw/stories/society/housing/sonderpreis-mexiko-bauen-2017/>).

Challenges for collaboration	<p>Time delays</p> <ul style="list-style-type: none"> • The FA component started around 2-3 years later than planned, due to complex negotiations of the project agreements (NAMA financing derives from two different sources and is provided in two currencies) and issues around tender conditions for consultants. • The delay of the FA component delayed the TA's ability to advise the financing preparation of SHF from the beginning. • When the FA component needed support on quality control and MRV for implemented financing, the TA had already concluded its implementation. <p>Different implementing partners</p> <ul style="list-style-type: none"> • Each component had its own implementing partners (CONAVI; SHF and INFONAVIT). This limited the coordination between the technical and financial aspects of the housing NAMA implementation. However, the overall housing sector NAMA activities were coordinated through CONAVI's Housing Round Table platform. Moreover, working with partners separately had the advantage of having a sector wide approach for transforming the housing sector with different housing financiers.
Success factors for collaboration	<p>Time planning, flexibility</p> <ul style="list-style-type: none"> • Setting up realistic implementation time frames – it usually required quite some time to prepare financing frameworks / agreements • Plan more time for TA advice on implemented financing activities and MRV beyond the implementation of the FA component (ex-post evaluation). The budget for this activity could be lower than that for the main TA implementation phase. Alternatively, the FA component could have more responsibility for MRV. • If time delays cannot be ruled out, a certain amount of flexibility should be built into the technical and financial components to also allow them to take place separately from each other <p>Coordination mechanisms</p> <ul style="list-style-type: none"> • Create strong coordination mechanisms between implementation partners if they are different for the TA and FA components. GIZ ended up advising on both technical and financial aspects. This worked because of coordination through CONAVI's Housing Round Table platform and because GIZ conducted its annual planning workshops with the participation of both partners. However, working with only one implementation partner for both TA and FA could have made cooperation stronger (while, on the other hand, making it more difficult to apply a sector wide approach for transforming the housing sector with different housing financiers).
Sources	<p>NAMA Facility: Mexico – Implementation of the New Housing NAMA. https://www.nama-facility.org/projects/mexico-implementation-of-the-new-housing-nama/</p> <p>GIZ: NAMA Support Project for New Housing. https://www.giz.de/en/worldwide/13882.html</p> <p>KfW: Energy Efficiency – Mexico. https://www.kfw-entwicklungsbank.de/PDF/Entwicklungsfinanzierung/Veranstaltungen/DFE2017_Mexiko_EcoCasa_EN.pdf</p> <p>Interview (Zac Greear, NAMA Facility, 03.05.2019)</p> <p>Written feedback (Andreas Gruner, GIZ)</p> <p>Written feedback (Almut Ahlers, Sanna Stockstrom, KfW)</p>

Other NAMA support projects were also considered as case examples but proved less relevant for this study because they were either still in the appraisal phase or because they were not based on clear cooperation between TA agencies and DFIs.

Sustainable forest management in Tajikistan

Short project summary	<p>Joint project by KfW and GIZ (funded via the German Energie- und Klimafonds) for joint sustainable forest management in Tajikistan. The collaboration was based on a request by GIZ which had already been working on joint forest management in Tajikistan and looked for options to scale up the impact of its work. The project proposal was then developed jointly by KfW and GIZ and presented to BMZ. Such bottom-up collaboration between GIZ and KfW is rather not very common. Instead, BMZ usually requires KfW and GIZ to plan and work together in priority sectors ("joint programming").</p>
Project partners and organisational structure	<p>The project was implemented with the following division of work:</p> <p>GIZ:</p> <ul style="list-style-type: none"> • Provided technical assistance to enhance framework conditions for the implementation of the sustainable forest management approach, and further developed the approach on the ground. • GIZ had an office at the in-country partner organisation, which allowed for close collaboration at all levels. • The KfW-project started 1.5 years later due to the different requirements needed (conclusion of governmental agreement and ratification by Tajikistan, conclusion of financing and separate agreement between KfW and Ministry of Economic Development and Trade respectively Forest Agency, tendering of local implementation consultant). • GIZ used its flexibility several times to quickly help achieving better joint results / address short term needs of the partner (Forest Agency). <p>KfW:</p> <ul style="list-style-type: none"> • Supported afforestation and forest rehabilitation through Joint Forest Management (JFM) and Direct Afforestation (DA) on about 6500 ha in different regions of the country. Project components were 1) identification and planning (i.a. identifying and leasing areas to local people, conducting resource assessments, pasture management plans, doing a full forest inventory and management planning in one forest district), 2) implementation (i.a. renovation of buildings, procurement of cars, tractors, equipment, etc., supporting and developing tree nurseries, supply of planning material, implementation of incentive measures for afforestation / reforestations as well as pasture management, survival monitoring), 3) Capacity building and monitoring (i.a. development and implementation of training of different groups, development and implementation of a monitoring concept) • KfW supported GIZ through investing in the forest region of Penjikent where GIZ was active. • KfW Project Manager came to Tajikistan 1-2 times a year. Local KfW Office kept contact with all relevant parties. Regular conference calls between KfW and Forest Agency and Consultant were held. In the country itself KfW has contracted a consulting company with an on-site team (Project Implementation Unit), situated at the same office floor as the GIZ and partner organisation teams.
Challenges for collaboration	<p>Different time horizons:</p> <ul style="list-style-type: none"> • Once the financing is agreed by BMZ, GIZ can start working rather immediately. KfW, in turn, needs to conduct several steps, such as a feasibility study and project appraisal, negotiate contracts with project partners (i.e. national implementing entities, here: Ministry of Economic Development and Trade and the Forest Agency) and wait for official ratification of the governmental agreement by the partner country. • KfW relies on the capacities of the project partner. If the partner needs time to understand and set up the required capacities, this may further delay the start of the project. GIZ, in turn, relies mostly on its own capacities and can start projects more quickly. <p>Shortcomings in mutual understanding:</p> <ul style="list-style-type: none"> • GIZ is not typically involved in preparing KfW projects and thus often lacks understanding of how KfW projects function and what such projects require; consequently, it is difficult for both sides to split the work in such a way that GIZ prepares concepts which KfW is supposed to implement then. Private consulting firms are often more experienced in working with KfW and can use this knowledge to their advantage.

<p>Challenges for collaboration</p>	<p>Different time availability of employees</p> <ul style="list-style-type: none"> • A KfW Project Manager in Frankfurt typically manages many projects at the same time and thus lacks resources for coordinating with GIZ more closely and providing feedback on their inputs; consequently, it is difficult for KfW to support GIZ in improving its understanding of KfW. <p>Issues over lack of control</p> <ul style="list-style-type: none"> • Neither side has sanction mechanisms in case the partner (GIZ / KfW) does not deliver as expected. So, it is difficult to rely on an output from the other organisation which makes joint planning challenging. <p>Institutional hurdles for systematic collaboration</p> <ul style="list-style-type: none"> • Bottom-up collaboration between the two organisations is rather not very common and is not specifically promoted • Joint programming, i.e. collaboration based on requests by BMZ, seems rather difficult sometimes, e.g. because GIZ's and KfW portfolios in certain countries or sectors do not fit together naturally
<p>Success factors for collaboration</p>	<p>Building mutual understanding:</p> <ul style="list-style-type: none"> • Both partners should have a sound understanding of the other side's capabilities, needs and limitations. Given less flexibility and resources on the side of KfW, it can be especially helpful if GIZ has a sound understanding of what KfW needs and gears its activities towards meeting these needs. If the financial institution does not communicate its needs, GIZ should ask. • GIZ staff was able to participate in a KfW training workshop on procurement; this supported understanding of KfW processes. Such trainings could be expanded to provide more general introductions of KfW and GIZ. <p>Joint planning and close collaboration:</p> <ul style="list-style-type: none"> • Collaboration should start from the earliest phase possible, i.e. planning. A joint fact finding mission and joint development of terms of reference for the consultant served as the basis for smooth collaboration between GIZ and KfW in Tajikistan. • Closely working together (both physically and with regard to regular exchange) is helpful for establishing trusted relationships and joint ownership of projects. GIZ could focus its efforts on collaborating with local consultants hired by KfW. <p>Forward-looking planning and flexibility</p> <ul style="list-style-type: none"> • Projects have to be planned in such a way that delays on the side of KfW do not negatively affect the work of GIZ and vice versa. • Focus of collaboration could be on smaller, hands-on activities that can be implemented in the short- to medium-term and that are not absolutely critical to the success of the partner's work. Once both sides are aware of the other's limitations and possibilities, these could be used to each other's advantages. • During implementation, KfW is closely bound to established contracts. GIZ is rather more flexible and only needs to achieve expected impacts. GIZ should use this flexibility to adapt its activities in case of delays or other issues. <p>Personal motivation and incentives:</p> <ul style="list-style-type: none"> • Collaboration is first of all a question of willingness to collaborate and often a matter of personality on both sides.
<p>Sources</p>	<p>Interview (Benedikt Ibele, GIZ, 07.06.2019) Interview (Frank Mörschel, KfW, 29.07.2019)</p>

Cities Development Initiative for Asia (CDIA)

<p>Short project summary</p>	<p>CDIA was established in 2007 by the ADB and the German Government. CDIA works closely with medium-sized cities to address gaps in development and financing of infrastructure projects that emphasise poverty reduction, environmental improvement, climate change mitigation or adaptation, and good governance:</p> <ul style="list-style-type: none"> • Providing TA in structuring priority infrastructure projects • Strengthening local institutional prerequisites for infrastructure projects • Promoting regional dialogue and cooperation on urban management in Asia • Systematic liaison with financial institutions
<p>Project partners and organisational structure</p>	<p>GIZ</p> <ul style="list-style-type: none"> • Focused on capacity development activities • In December 2018, the direct engagement of GIZ as an implementer of the initiative ended. GIZ is supporting the CDIA project in 2019 by financing a project preparation study and by assigning a development worker to the Philippines to support capacity building on private sector engagement in infrastructure projects at the local level. <p>ADB</p> <ul style="list-style-type: none"> • Focuses on project development activities; supports networking with financial institutions; and serves as potential funder for urban infrastructure projects • Since 2019, CDIA is fully operating as an ADB-managed Trust Fund. <p>CDIA Financing Partners (ADB, German Government, European Commission, Federal Ministry of Finance (Austria), Department For International Development (UK), State Secretariat For Economic Affairs (Switzerland), The Rockefeller Foundation, Swedish Regional Development Cooperation, United States Agency For International Development (USAID)) act as a governing board, providing policy guidance to CDIA on how it should fulfil its long-term aim.</p>
<p>Challenges for collaboration</p>	<p>Capacity issues</p> <ul style="list-style-type: none"> • Limited finance and financial structuring skills in CDIA Core Management Team (CMT) and consultant teams, particularly with regard to Public-Private-Partnership (PPP) finance <p>Structural issues</p> <ul style="list-style-type: none"> • Communication between Program Review Committee (PRC) and CMT not effective enough • Structure of CMT not sufficiently formalised <p>Conceptual issues</p> <ul style="list-style-type: none"> • Difficult cost recovery because CDIA services too far from financial closure of financing the investment projects - typically cost recovery for a feasibility study is easier • Lack of integration into ADB and KfW systems and planning because of <ul style="list-style-type: none"> • inherent tension between CDIA's demand-driven approach and ADB and KfW multi-year country programming; • lack of appropriate linkage systems [e.g. "PPP systems" for ADB and integration of urban projects into national bilateral strategies in case of KfW].

<p>Success factors for collaboration</p>	<ul style="list-style-type: none"> • Basic governance structure of CDIA appears to be working reasonably well: <ul style="list-style-type: none"> • Governing “Board” of funders (i.e. the PRC) means that agreed-upon policy directions can be backed by resources; • CMT with management structure integrated across various funding lines ensures coherence of direction; • Office moved to ADB in Manila to facilitate cooperative relationship with ADB • Operational distinction between GIZ and ADB contributions clarified • Skills mix of the CDIA CMT as well as in the consultant teams mobilised at the city level adapted to project realities (additional staff with financial background, training opportunities for original CMT staff, closer linkages with ADB PPP specialists, continued contracting of additional short-term expertise as required) • National partner organisations engaged to address growing need for support, reach out to more cities, reduce costs, and further strengthen the relevance of CDIA approaches to national settings • Work with a wide range of financial institutions to improve the chances of successful project implementation • (Increasingly regionally based) grant resources used to cover total costs
<p>Sources</p>	<p>CDIA (2018): CDIA Strategy 2018–2022. http://cdia.asia/wp-content/uploads/2018/01/CDIA-Strategy-2018-2022.pdf</p> <p>CDIA (2015): CDIA Strategy and Business Plan 2013–2017, (as endorsed by PRC members) amended on 27 August 2014. http://cdia.asia/wp-content/uploads/2015/07/CDIA_Strategy-and-Business-Plan-2013-2017_final.pdf</p> <p>GIZ: Cities Development Initiative for Asia. https://www.giz.de/en/worldwide/14338.html</p>

Gavi – The Vaccine Alliance

Short project summary	<p>Gavi's mission is to protect people's health by increasing access to immunisation in poor countries. This is achieved by pooling demand for vaccines from the world's poorest countries, securing long-term funding and shaping vaccine markets.</p>
Project partners and organisational structure	<p>Gavi's core partners include WHO, UNICEF, the United States Centers for Disease Control and Prevention and the WB.</p> <p>Technical partners</p> <ul style="list-style-type: none"> • UNICEF provides technical assistance and management support to Gavi. It promotes vaccine security by working with manufacturers to ensure a reliable supply of quality and affordable vaccines and with developing governments to assess their vaccine needs. • WHO sets down technical specifications for vaccines and prequalifies all vaccines that Gavi supports. Gavi benefits from WHO input on issues ranging from cold chain and vaccine management, to training and post-introduction analysis of vaccines. In the field, the Vaccine Alliance depends on collaboration with WHO's six regional offices and country offices present in all countries that receive Gavi support. • The Centers for Disease Control and Prevention (CDC) participates in working groups in scientific capacity. It has staff seconded to the Gavi headquarters in Geneva as well as to other Alliance partners, including WHO and UNICEF. On the country level, it interacts directly with countries via ministries of health, WHO, UNICEF and other partners at the national, regional, and global levels. <p>Financial partner</p> <ul style="list-style-type: none"> • The WB is a key partner in and fiduciary agent for Gavi's innovative finance mechanisms. It gives strategic advice on capital market dynamics and plays a key role in innovative financing. It helped to set up, and is now financial advisor and treasury manager to, the International Finance Facility for Immunisation (IFFIm) that leverages long term financing commitments pledged by governments to issue bonds. The Bank also supports the Advance Market Commitment, i.e. financial commitments to subsidise the future purchase of a vaccine which is not yet available – on condition that an appropriate vaccine is manufactured for developing countries and that there is demand. <p>Increasingly, the Alliance is sharing its investments in health systems through collaboration with other global health players such as the Global Fund and the Global Financing Facility.</p>
Challenges for collaboration	<p>A Global Program Review of the WB's Partnership with the Gavi Alliance has distilled a number of challenges that emerged throughout their collaboration.</p> <p>The following are challenges as perceived by the WB:</p> <ul style="list-style-type: none"> • Tensions between partner's corporate priorities and governance: A governance reform in 2008 diminished the influence of the founding partners and led to concerns about handing control to an entity that might not be fully aligned with WB's priorities and that, at times, appeared to treat it as a contractor more than a complementary partner. • Lack of discussion and transparency: WB staffers have a perception that there has been limited time for discussion and critical questions at Gavi Board and committee meetings. The lack of discussion about vaccine choice in the larger context of public health and development priorities, combined with WB's decision not to accept further funding from Gavi and take on specific obligations in Gavi's Strategy and Business plan, negatively affected the Bank- Gavi relationship. • Missed opportunities in providing technical assistance: The relationship with Gavi has been collegial and constructive in countries where there is engagement, but in many countries WB has little direct involvement in immunisation. WB has de facto "left the immunisation subsector to Gavi." An Independent Evaluation Group (IEG) considers this a missed opportunity on the analytical side. While direct vaccine support is fully covered by Gavi, the WB, as a trusted partner at the country level, could add significant value on issues of immunisation analytical work, policy and strategy, particularly on ensuring sustainability and equitable access to immunisation, and in investments in health systems strengthening. These are areas of WB comparative advantage that other partners do not systematically cover.

Success factors for collaboration

The Global Program Review of the WB draws a number of notable lessons from their collaboration with Gavi.

The following are lessons learned by the WB:

- The central lesson for the WB's relationship with Gavi is the **need to discuss, update, and re-affirm the principal partnership arrangements** to reflect the changing realities in which both partners operate. The 2008 governance reform profoundly changed the governance structure, and with it the dynamics of the relationship. WB has not, to IEG's knowledge, reviewed what if any consequences the governance reform should have for its own contributions to Gavi's governance; e.g., it might be warranted to review whether the Bank should change its status from voting member to observer.
- A second lesson is to **manage governance of partnership programmes more proactively and systematically**, particularly during initial setup and reform. Gavi's governance reform in 2008 was essential but had unforeseen consequences for the relationship between Gavi and WB. Rather than promote efforts to resolve the issues, the Bank kept a cautious distance in its engagement with Gavi. As also mentioned in the WB strategy, WB could benefit from managerial oversight of how its major partnerships are governed. More robust corporate attention to how major partnerships are governed and structured is warranted and should be aligned with key decision points such as setup and restructuring.
- Third, WB and the wider international community may want to **carefully weigh the pros and cons of creating new independent organisations versus housing partnerships in existing organisations**. The governance reform process which transformed Gavi from an informal alliance hosted by UNICEF into a new independent Swiss foundation, involved complex governance issues and legal concerns. The choice of creating a new independent organisation can also create an expansionary institutional dynamic, as new organisations strive for budget and recognition.
- A fourth lesson is that WB should **use its competence and experience in concessional development finance** in future attempts to set up innovative development finance on behalf of partners. It should carefully consider if the short-term benefits of any innovative financial mechanism justify the long-term consequences for the Bank and its partners; find ways to maintain simple governance arrangements; and ensure adequate recognition as well as reasonable protection against reputational risks associated with its work on behalf of partners.
- A fifth lesson is that **clearer definition of roles and responsibilities at country and global level could enhance the impact** of WB, Gavi, and other organisations' work. The limited WB involvement at the country level point to missed opportunities for both WB and Gavi to improve their development effectiveness. **Selection of priority countries and an agreed and documented understanding between the Bank and Gavi staff on division of labour and modes of engagement** would be helpful. This division of labour should be flexible and acceptable to both partners; it should permit WB to pursue its comparative advantages in policy dialogue and analytical work tailored to country contexts and avoid restrictive contractual approaches.

Gavi itself has also drawn lessons and has put in place a range of new tools and approaches which allow it to better collaborate with partners

- Introduced in 2016, the **partners' engagement framework** brings a country-centric, bottom-up approach to technical assistance provided by Alliance partners, helping to better leverage their comparative strengths and to increase accountability. This new approach has led to a progressive increase in country-level funding, which now constitutes 59% of funding to all partners. Today, Gavi supports nearly 240 national and sub-national WHO and UNICEF staff through engagement frameworks.

Sources

Gavi, the Vaccine Alliance. <https://www.gavi.org/>

Independent Evaluation Group of the World Bank Group (2014): Global Program Review: The World Bank's Partnership with the GAVI Alliance. Main Report and Annexes. https://ieg.worldbankgroup.org/sites/default/files/Data/reports/wbp_gavi_alliance2.pdf

FELICITY: Financing Energy for Low-carbon Investment – Cities Advisory Facility

Short project summary	<p>FELICITY is implemented by GIZ in cooperation with the European Investment Bank (EIB) and is currently active in Brazil, China, Indonesia and Mexico with the objective to promote the access to international climate finance for sub-national, low-carbon infrastructure projects in the energy, transport, waste and wastewater sectors. FELICITY's activities include:</p> <ul style="list-style-type: none"> • Technical advisory to developers of municipal projects in the preparation of their infrastructure projects; • Capacity development at the sub-national and national levels, at project developers, financial intermediaries and others; • Improvement of national framework conditions for sub-national climate finance through advisory; and • Global learning and exchange on sub-national climate finance. <p>The German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) through the International Climate Initiative (IKI) is the donor of FELICITY.</p>
Project partners and organisational structure	<p>GIZ</p> <ul style="list-style-type: none"> • Technical assistance and capacity development to the project developer during project preparation (urban infrastructure projects) <p>EIB</p> <ul style="list-style-type: none"> • Share knowledge and requirements, project appraisal and funding, TA in financial strategy development; networking with financial institutions.
Challenges for collaboration	<ul style="list-style-type: none"> • Differing timeframes of technical assistance in project preparation and the investment decision which is taken after appraisal. At the time of project preparation activities, the financing of EIB cannot be guaranteed to the project promoter. At the same time, the loan is not secured for EIB and therefore EIB has to invest their time in a project that is not guaranteed to lead to a loan. • Volatile markets and changing political priorities and mandates of the EIB, which can be externally influenced (e.g. reduced investment volume in China due to China-EU trade disputes) • Differences in priorities between the technical partner (long term capacity development), financial partner (increasing their market for loans) and the donor (climate investments at the sub-national level) lead to a relatively narrow common ground.
Success factors for collaboration	<ul style="list-style-type: none"> • Close cooperation between the technical and financial partner in project selection and during the advisory process, among others through secondments • Deep understanding of each other's (political and non-political) pressures and priorities and the willingness to find ways to make sure the cooperation is in line with mandates and interests at both sides • Complementing roles and structures of the technical and financial partner: <ul style="list-style-type: none"> • Presence of the technical partner in the countries where the projects are under preparation, allowing close cooperation with the project developer, which cannot be implemented by the more centrally organised financial partner. • The option of the technical partner to work partly with own experts (staff) as opposed to consultants only, allowing a more stable and more intensive cooperation.
Sources	<p>FELICITY https://www.eib.org/en/products/advising/felicity/index.htm</p>

(C) Technical support with funding from financial institutions

Global Cleantech Innovation Programme

<p>Summary</p>	<p>The Global Cleantech Innovation Programme (GCIP) promotes an innovation and entrepreneurship ecosystem in nine countries (from South Africa to Thailand) by</p> <ul style="list-style-type: none"> • identifying and transforming early-stage cleantech innovations and solutions into technically and commercially viable business models, through a cleantech innovation and entrepreneurship accelerator; • building capacity within national institutions and partner organisations for the sustainable implementation of the cleantech ecosystem and accelerator approach; and by • supporting and working with national policy makers and private sector stakeholders to strengthen the national cleantech ecosystems to create an enabling environment for cleantech commercialisation. <p>GCIP is funded by the Global Environment Facility and executed by the United Nations Industrial Development Organization in collaboration with national counterparts</p>
<p>Structure</p>	<p>Global Environment Facility (GEF)</p> <ul style="list-style-type: none"> • Allocates resources on a country basis and in four-year cycles <p>United Nations Industrial Development Organization (UNIDO)</p> <ul style="list-style-type: none"> • For the roll-out of GCIP, UNIDO supports identification of projects that are in line with strategic priorities of the respective country and that have impact potential for global environment benefits • UNIDO also engages with other development finance institutions (DFIs, see below) to improve access to finance for SMEs and start-ups and support DFI's pipeline development. It involves identifying opportunities for early-stage companies with cleantech solutions and linking them to relevant DFIs as appropriate. <ul style="list-style-type: none"> • Such engagement is either formalised (i.e. through MOUs) or based on a prioritisation of broad issues for collaboration • Albeit depending on the respective partnership / project, practical collaboration with DFIs is typically on a rolling basis as opportunities arise <p>Other DFIs (WB, ABD, etc.)</p> <ul style="list-style-type: none"> • Increasing involvement of DFIs in this space shows that innovation is becoming more relevant for climate action and energy transition • DFIs can engage with the GCIP process in several ways, e.g. as judges, mentors or discussion partners (so that start-ups appreciate what financiers are looking for)
<p>Challenges</p>	<p>Different priorities</p> <ul style="list-style-type: none"> • Being a UN organisation, UNIDO focuses on providing technical assistance to achieve economic, environmental and social impact. It does not require its beneficiaries to compensate financially for services. Other actors, such as banks, may have different approaches. It could thus be interpreted that it may be difficult for technical and financial partners to plan projects together and to agree on common expected outputs. • DFI's task managers need to disseminate certain amounts of funding. If collaboration with technical partners does not help in this regard, then such collaboration is not prioritised.

Lessons	<p>Raising potential partners' awareness</p> <ul style="list-style-type: none"> Organisations, such as UNIDO, which are involved in technical development cooperation and which want to collaborate with DFIs can attract their attention by identifying very concrete activities that they could conduct in support of the DFI's objectives. Such activities would allow both partners to establish an initial working relationship that can later-on be scaled up to a more comprehensive partnership. <p>Managing expectations</p> <ul style="list-style-type: none"> Needs, capacities and potential hurdles need to be discussed prior to joint action to ensure that partners can prepare accordingly and conduct activities which reflect both their own and the partners' characteristics. If, for example, the DFI takes relatively long to set up a project, the technical partner could become engaged in the pre-implementation phase by conducting feasibility studies, rather than having to wait for project implementation. This would avoid issues related to different planning cycles. <p>Aligning priorities and strengths</p> <ul style="list-style-type: none"> Collaboration is about people seeing the opportunities of collaboration. Hence, partnerships will be most successful if individual people's priorities are aligned.
Sources	<p>Interview (Alois Mhlanga, Sunyoung Suh, UNIDO, 31.07.2019)</p> <p>UNIDO, GEF (2018): Global Cleantech Innovation Programme - Promoting climate and clean energy technology innovation and entrepreneurship. https://www.unido.org/sites/default/files/files/2018-12/GCIP-Brochure-2018.pdf</p>

Additional information on GEF-UNIDO cooperation:

Since the 1990s, UNIDO has acted as an **Executing Agency** of GEF projects implemented by the original GEF Agencies (United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and World Bank). Since 2000, UNIDO has **direct access** to GEF resources for projects related to persistent organic pollutants (POPs). In 2006, the GEF Council acknowledged UNIDO's comparative advantage in its capability to address sustainable development within the context of industrial activities and thus granted it direct access to GEF Trust Fund resources for projects related to other fields, including climate change and biodiversity (UNIDO n.d.).

In addition to the GEF-funded projects that are solely implemented by UNIDO, the organisation frequently cooperates with other GEF agencies, including the European Bank for Reconstruction and Development (EBRD), the Food and Agriculture Organization of the United Nations (FAO), the International Fund for Agricultural Development (IFAD), UNEP, UNDP, and the WB (UNIDO n.d.).

Public-Private Infrastructure Advisory Facility

Short summary	<p>The Public-Private Infrastructure Advisory Facility (PPIAF) is a multi-donor technical assistance facility financed by 11 multilateral and bilateral donors. It provides TA and knowledge grants to governments to support the creation of a sound enabling environment for private sector infrastructure services.</p>
Partners and organisational structure	<p>PPIAF is managed by a small Program Management Unit housed in the Washington DC office of the WB. It has approx. 20 staff members.</p> <p>PPIAF works in collaboration with the WB Country Units to deliver its assistance.</p>
Challenges / lessons	<p>Not identified</p>
Sources	<p>PPIAF: About us. https://ppiaf.org/about-us</p>

Village Enterprise Development Impact Bond

Short project summary	Village Enterprise, a non-for-profit company dedicated to ending extreme poverty in rural Africa, raised USD 4.28 million by emitting a "Development Impact Bond". The aim of the funding is to raise the income levels of extremely poor rural households in Kenya and Uganda by equipping 13,800 rural Africans with the resources to become successful entrepreneurs. Funding is tied to independently verified increases in household income levels.
Project partners and organisational structure	<p>The consortium of funders and international development experts backing the Village Enterprise Development Impact Bond includes:</p> <ul style="list-style-type: none"> • Service provider: Village Enterprise • Outcome payers: USAID Development Innovation Ventures, the UK Department for International Development (DFID), an anonymous philanthropic fund • Working capital providers: Various impact investment funds • Trustee: Global Development Incubator • Project management and process evaluator: Instiglio • Outcome evaluator: IDinsigh
Challenges for collaboration	<ul style="list-style-type: none"> • Relatively high transaction costs driven by additional activities associated with Results-Based Financing such as results verification and process inefficiencies. • Changes to Village Enterprise's preliminary impact estimates created doubts about Village Enterprise's ability to deliver results. • Capacity constraints made assessment of the project challenging for USAID and DFID. • Superficial presentation of rationale for outcomes hindered outcome payer decision-making. • Lack of upfront alignment in trustee selection: Conversations with trustee candidates began without clear alignment among Instiglio and the outcome payers on the functions of the trustee. This led to unmet expectations. • Engaging multiple outcome payers at different times created inefficiency. • Negotiations lacked clear protocols for ensuring the right level of inclusivity. • Insufficient communication among actors involved. • Lacking coherence in approaching the service delivery and verification.
Success factors for collaboration	<ul style="list-style-type: none"> • Strong project management to ensure inclusive and efficient design process needed. • Pay-for-success model requires practitioners to demonstrate cost-effective delivery. • Approach gives providers more freedom to innovate and tailor programs to local needs and achieve better outcomes for vulnerable people. • Data-driven decision-making: evidence about impact generated financiers' interest. • Stakeholders should consider how to document knowledge and communicate learnings for future fund service providers.
Sources	<p>Village Enterprise: The Village Enterprise Development Impact Bond. https://villageenterprise.org/our-impact/development-impact-bond/</p> <p>Village Enterprise (2018): Village Enterprise Development Impact Bond for Poverty Alleviation. https://villageenterprise.org/wp-content/uploads/2018/02/VE-DIB-Design-Memo-Public_14FEB2018.pdf</p>

ANNEX II

OVERVIEW OF INTERVIEWS

Interviews

1. Tim McGrath, GIZ, 08.03.2019
2. Michael Franz, GIZ, 12.04.2019
3. Anselm Duchrow, GIZ, 26.04.2019
4. Zac Greear, NAMA Facility, 03.05.2019
5. Stephanie Heiland, GIZ, 06.05.2019
6. André Fabian, GIZ, 03.06.2019
7. Benedikt Ibele, GIZ, 07.06.2019
8. Nathalie Johnson, World Bank, 08.07.2019
9. Frank Mörschel, KfW, 29.07.2019
10. Miroslav Maly, EBRD, 29.07.2019
11. Alois Mhlanga, Sunyoung Suh, UNIDO, 31.07.2019
12. An additional background interview was conducted to gather information regarding category (C) "Technical support with funding from financial institutions". However, no fact sheet was included in Annex I.

Written Feedback

13. Andreas Gruner, GIZ
14. Almut Ahlers, KfW
15. Sanna Stockstrom, KfW
16. Ina de Visser, GIZ

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- GIZ: Cities Development Initiative for Asia. <https://www.giz.de/en/worldwide/14338.html>
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