

BMO

Partnerships

Project Management Manual

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List of Abbreviations

AHK	Auslandshandelskammer (Bilateral German Chamber of Industry and Commerce)
ANBestP	Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung (General Incidental Provisions for Project Promotion Grants)
BDA	German Federation of Employer Associations (www.bda-online.de)
BDI	Federation of German Industries (www.bdi.eu)
BGR	Federal Institute for Geosciences and Natural Resources (www.bgr.bund.de)
BHO	Bundeshaushaltsordnung (Federal Budget Code)
BMO	Business Membership Organisation
BMZ	Federal Ministry for Economic Cooperation and Development (www.bmz.de)
CIM	Centre for International Migration and Development (www.cimonline.de)
DAC	Development Assistance Committee of the OECD (www.oecd.org)
DC	Development Cooperation
DCED	Donor Committee for Enterprise Development (www.enterprise-development.org/)
DED	German Development Service, since 2010: GIZ (www.giz.de)
DEG	Deutsche Investitions- und Entwicklungsgesellschaft (www.deginvest.de)
DIHK	Association of German Chambers of Industry and Commerce (www.dihk.de)
EU	European Union (http://europa.eu)
FC	Financial Cooperation
FRG	Federal Republic of Germany
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (www.giz.de)
GTZ	German Agency for Technical Cooperation (since 2011: GIZ)
InWEnt	Capacity Building International, since 2011: GIZ (www.giz.de)
IMF	International Monetary Fund (www.imf.org)
KfW	German Development Bank (www.kfw.de)
KVP	Kammer- und Verbandspartnerschaft – BMO Partnership
LTE	Long-term Expert
MDGs	Millennium Development Goals
NGO	Non-Governmental Organisation
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development (www.oecd.org)
PCM	Project Cycle Management
PPC	Project Progress Control
PPM	Project Planning Matrix
PTB	Physikalisch-Technische Bundesanstalt (National Metrology Institute of Germany) (www.ptb.de)
SDGs	Sustainable Development Goals
SED	Sustainable Economic Development
SES	Senior Expert Service (www.ses-bonn.de)
SEWOH	Special Initiative "One World - No Hunger"
SDGs	Sustainable Development Goals
SME	Small and Medium-sized Enterprises
STE	Short-term Expert
TC	Technical Cooperation
UN	United Nations (www.un.org)
VENRO	Association of German Development NGOs (www.venro.de)
VOL	Vergabe- und Vertragsordnung für Leistungen (Regulations on Service Awarding and Contracts)
ZAV	Zentrale Auslands- und Fachvermittlung der Bundesagentur für Arbeit (International Placement Service of the Federal Employment Agency)
ZDH	German Confederation of Skilled Crafts (www.zdh.de)

INTRODUCTION

Introduction

The BMO Partnership Programme (Kammer- und Verbandspartnerschaftsprogramm – KVP Programme) is a tried and tested tool of German development cooperation for the promotion of sustainable economic development. It was created by the Federal Ministry for Economic Cooperation and Development (BMZ) with the aim of mobilising the know-how and experience of German business organisations for development cooperation. sequa has been an implementing agency for the BMO Partnership Programme (KVP-Programme) since 1991. More than 50 German chambers of skilled crafts, chambers of industry and commerce, sector associations as well as employer organisations have since implemented more than 300 projects in around 80 developing countries, emerging markets and transition economies. In 2010, the sister programme "Vocational Education and Training Partnerships with the German Private Sector (BBP) was launched as a complement to the KVP programme to mobilise the skills and know-how of German chambers and associations and their institutions in the field of vocational education and training.

A specific strength of the KVP Programme is the direct and independent cooperation between similar organisations. The **German partner chambers and associations** (BMOs) are therefore in charge of the project management; they assume direct **responsibility for the implementation of the project** and target achievement. sequa acts as a service provider to the German project partners and is responsible for quality assurance as well as content-related and financial monitoring towards the BMZ.

For a long time, sequa has been providing its project partners with a handbook which gives answers to questions related to project administration and accounting. The present Manual complements this handbook and focuses on content-related issues of project management. It is meant as a practical and comprehensive **guide to the professional implementation of a BMO Partnership Project** according to international standards for staff which have been assigned the tasks of project backstopping and coordination by the responsible German partner organisation.

The **first chapter** of the Manual describes the targets and principles of international development cooperation; they serve as the basis for the BMZ guidelines on development policy and, thus, for the KVP-Programme itself. In a next step, it briefly introduces the structure and players of German development cooperation (DC) as a backdrop for the KVP-Programme and its actors. The chapter concludes with an overview on the background, objectives and elements of the KVP-Programme.

The basis for a BMO Partnership Project (KVP-Project) is usually formed by an already existing partnership or a contact between a German partner and one or several partner(s) abroad. The **second chapter** describes how the initiative for a KVP Project evolves, which requirements should be met by the German and foreign partners and what the formal steps up to project application at the BMZ look like.

The **third chapter** of the Manual looks at the division of tasks between sequa and the German partner, explains the fundamental principles of project implementation and describes the individual duties and responsibilities of project backstopping as well as of the project staff in the target country.

The question of impact is pivotal to development cooperation - not only when it comes to recording and measuring successes or failures, but also in regard to the timely identification and combating of undesirable developments. The concluding **fourth chapter** of the Manual defines those development-political targets which form the groundwork for performance measurement and provides an introduction into the basic concepts and principles of impact monitoring. In a last step, it describes on-going monitoring in KVP Projects as well as the targets, functions and procedures of Project Progress Controls (PPC) in the KVP Programme.

The Manual is specifically geared to the implementation of KVP Projects¹ and intended to have a high practical value. To that end, the **Appendix** contains selected samples and examples which can be used as resources for project implementation.

¹ A separate project management manual is available at sequa for Vocational Education and Training Partnership (BBP) projects.

CHAPTER 1

The BMO Partnership (KVP) Programme in the Context of German and International Development Cooperation



1. The BMO Partnership (KVP) Programme in the Context of German and International Development Cooperation

1.1 Goals and Principles of International Development Cooperation

International DC is based on the realisation that many present-day challenges in a globalised world can only be solved through concerted action by the community of states. The agenda is set by the **international organisations** that lead the coordination of multi- and bilateral development activities and offer development programmes as well as funds for the support of their partner countries. In the course of various high-level conferences the individual steps on the way to jointly defined **development goals** were determined by means of agreements and treaties. These agreements constitute the framework of international DC, which the German activities are part of. The following targets and guidelines for international cooperation therefore form the standard for the implementation of KVP projects:

1.1.1. The Development Goals of the International Community: Millennium Declaration and Agenda 2030

In September 2000 high-ranking representatives - most of them heads of state or government leaders - from 189 countries gathered in New York at what was then to the largest summit meeting of the UN ever. At the outcome of the conference they adopted the so-called **Millennium Declaration**, a comprehensive list of the challenges for international politics in the 21st century. The Declaration introduces a new global partnership for development. Subsequently, **eight** international development goals were derived on its basis, the Millennium Development Goals (**MDGs**), which the international community wanted to reach by concerted efforts by 2015.

The Millennium Declaration and MDGs were a new chance for the partner as well as donor countries to create a more successful DC and overcome legitimacy problems. They were the expression of a worldwide consensus between developing countries and industrial nations and, for the first time ever, constituted a joint, verifiable frame of reference for international cooperation.

The international community of states had agreed to examine the implementation of the Millennium Declaration at regular intervals. To make the MDGs more concrete and measurable, 21 targets and 60 indicators were defined. At follow-up conferences held in New York in 2005 and 2010, the progress made in regard to the MDGs by then was discussed. Each year the UN submit a report which showcases the degree to which the stipulated goals have been reached. Despite considerable progress, especially in the field of poverty reduction, not all goals could be attained by 2015.

As a result, the international community of states negotiated the further development of the MDGs. In September 2015, the "**Agenda 2030 for Sustainable Development**", which will follow the MDGs, was adopted at the UN summit in New York. The Agenda 2030 is borne by the spirit of a new global partnership. Instead of the classic division into donor and recipient countries, a global partnership is envisioned in which all countries and stakeholders assume responsibility. The Agenda stipulates 17 global **Sustainable Development Goals (SDGs)** which link the principle of sustainability with economic, ecological and social development for

the first time, thus combining the goals of poverty alleviation and sustainability in one Agenda. The individual objectives of the Agenda 2030 are to:

- End poverty and hunger and combat inequalities,
- Strengthen the self-determination of people, achieve gender equality and ensure healthy life and wellbeing for all,
- Promote prosperity for all and create sustainable lifestyles everywhere,
- Respect the ecological limits of the earth: combat climate change and safeguard and sustainably use natural resources,
- Protect human rights – guarantee peace, good governance and access to justice,
- Create a global partnership.

The **central stakeholders** in the conception, discussion and design of the Agenda 2030 and the agreements that are based on it are the **international organisations**. They are funded by the contribution of their member countries, which are thus given the opportunity to contribute their positions and experiences to international cooperation. Among the most important international organisations are the UN, the World Bank, the International Monetary Fund (IMF) as well as the Organisation for Economic Cooperation and Development (OECD) with its Development Cooperation Directorate (DAD). In the field of private sector promotion, the Donor Committee for Enterprise Development (DCED) plays a decisive role. To be distinguished from the international organisations are the German **bilateral implementation organisations**, such as the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) or the German Development Bank (KfW).

1.1.2 The Monterrey Consensus and the ODA step-by-step plan for development funding

At the 2002 United Nations Conference on Financing for Development in the Mexican city of Monterrey (**Monterrey Consensus**) the international community of states deliberated on the elemental aspect of the MDGs adopted in 2000. It emphasised the importance of the private sector and trade in mobilizing the necessary funds, At the same time, the international community was called on to increase its financial commitments for DC and grant partial debt relief to debt-ridden developing countries as part of the so-called *Heavily Indebted Poor Countries Initiative*. This agreement was endorsed on the follow-up Doha Conference in 2008 and complemented by the use of innovative funding sources, e.g. income generated by emissions trading and the natural resources sector. Further important topics were the increase in efficiency of existing financial resources and the necessity to establish efficient tax systems in the cooperating countries.

On the basis of this agreement, government representatives from European Community (EU) countries agreed on a binding step-by-step plan to increase public funding, or Official Development Assistance (ODA), for DC in May 2005: Member states which joined the EU before 2002 pledge to reach an ODA quota of 0.7 % of their GNP by 2015. Member states that already fulfil that quota pledge to keep their contributions above that target. EU members which joined after 2002 endeavour to reach a quota of 0.33 % of their GNP by 2015.

1.1.3 The *Aid-Effectiveness* Agenda – Increasing the impact of development cooperation

The targets set by the MDGs have triggered a thought process among donor and partner countries about how DC can be made more efficient so that the largest possible effects can be reached. The BMZ has actively supported and co-shaped the preparation of the following **Aid Effectiveness conferences** and therefore the discussion about the **effectiveness of cooperation**. Four high-level meetings have taken place so far.

In the 2003 **Declaration of Rome** donor countries committed themselves to adapting their DC more stringently towards the strategies, structures and institutions of the partner countries and bring about better mutual coordination to increase the effectiveness of the individual measures.

Two years after the first forum a follow-up conference took place in Paris in the spring of 2005. More than 100 representatives from industrial, emerging and developing countries, international development organisations as well as the private sector and civil society adopted the **Declaration of Paris** and its **5 basic principles of effective cooperation**:

- Developing countries strengthen their own commitment ("**Ownership**").
- Donor countries utilise the institutions in the partner countries and adapt their programmes to the strategies and procedures of the latter ("**Alignment**").
- Donors coordinate and harmonise their development programmes and procedures among themselves ("**Harmonisation**").
- Aid measures are geared towards specific targets ("**Managing for Results**"). This means that it is the result of development activities which are measured and judged, not the services themselves.
- Donors and partners account more transparently for their development work towards the public and national parliaments ("**Accountability**").

In the Declaration of Paris, the 2003 concepts for an increase of effectiveness were developed further. It also stresses the necessity of achieving, measuring and documenting impacts.

A further forum aimed at increasing aid effectiveness took place in Accra, Ghana, in 2008. The resulting **Accra Action Plan** complemented the Paris Declaration by adding the issues of human rights, gender equality, environmental protection and good governance as fundamental principles of effective development cooperation. It also defined what cooperation with fragile countries should look like and how its transparency can be improved through stronger participation of civil society and national parliaments. The composition of local structures and organisations has an even greater significance.

At the end of 2011, the international community of states finally met in the South-Korean city of Busan for the Fourth High-Level Forum on Aid Effectiveness. For the first time, the resulting **Busan Partnership Agreement** included new stakeholders such as the private sector and the so-called "new donors" from the emerging nations in an international framework agreement. The Busan Forum made it clear that today's development policy is much more than the classic public-sector cooperation between rich Northern countries and poor countries from the South. As a result, the number of public, civil society and private sector players has seen a strong increase.

All actors share a growing realisation that a joint development agenda grounded in shared principles and goals is required.

1.1.4 Promoting sustainable development– the Agenda 21

At the 1992 **UN conference in Rio de Janeiro** representatives of 178 countries gathered to discuss the most vital environment and development issues of the 21st century. It was on this occasion that sustainable development was first internationally recognized as a guiding concept. The background to this was the realization that economic efficiency, social justice and the protection of natural resources are equally essential, complementary, and crucial for the survival of future generations.

The central result of the Rio conference was the **Agenda 21**, an action programme with recommendations for all areas of environmental and development policy, that calls for new partnerships between the industrialised nations and the poor countries. Important development goals such as poverty reduction and sustainable management of natural resources like water, soil and forests can be found just as environmental targets such as the reduction of the greenhouse effect. The Agenda 21 requires all social groups to take part in political decision-making. It defines sustainability as an overall political goal.

The commitment of the international community to sustainability was reconfirmed at the 2002 **World Summit for Sustainable Development in Johannesburg**. Today the guiding concept of sustainable development has been accepted around the globe and the international players continue their efforts to put the resolutions of the Agenda 21 into practice.

10 years after the first UN conference in Rio de Janeiro the international community assembled again there in June 2012 for the so-called **Rio +20 Conference**. In the final declaration titled „The Future We Want“, the importance of sustainability in development cooperation is once again emphasized and complemented by the concept of „**Green Economy**“. The central goal is to ensure economic growth that is ecologically and socially sustainable. Furthermore, the community agreed to propose generally accepted **Sustainable Development Goals (SDGs)** and to strengthen the UN Environment Programme.

1.2 German Development Cooperation

1.2.1 Guidelines and Trends

Responsibility for **German DC** lies with the **Federal Ministry for Economic Cooperation and Development (BMZ)**. There are about 980 people working at the BMZ's offices in Bonn and Berlin. In the fiscal year of 2015 the BMZ had a budget of 6.509 billion Euro., the major share of which (at 46 %) was allotted to so-called bilateral development cooperation. The remainder was split up between civil society and local groups and the private sector (11.9%), the European Development Fund (11.3 %) as well as other international and national institutions and topics.

The BMZ determines the **guidelines and concepts** of German development cooperation in accordance with the targets of the international community. In the December 2013 Coalition Agreement the German government confirmed its commitment to the international development targets as well as its main objective to alleviate poverty and structural deficits as stipulated in the Millennium Declaration as well as the follow-up goals defined in the post-2015 UN development agenda.

The BMZ was not only a major player in the development of the Agenda 2030 (see above). It also triggered and facilitated a broad-based social dialogue about the goals of German DC that was based on the international negotiations. This dialogue led to the development of the **Charter for the Future "ONE WORLD – Our Responsibility"**, which formulates the guiding principles for future BMZ policies. The goal of the Charter for the Future is to bring together as many social stakeholders as possible in order to make a broad-based country-owned German contribution to sustainable development possible. The Charter for the Future advocates partnerships between governments, civil society, research communities and the private sector which develop sustainable solutions to the major challenges of the future.

The **eight key areas** of the Charter for the Future are:

1. Ensure a life of dignity for all everywhere.
2. Protect natural resources and manage them sustainably.
3. Combine economic growth, sustainability and decent work.
4. Promote and ensure human rights and good governance.
5. Build peace and strengthen human security.
6. Respect and protect cultural and religious diversity.
7. Drive transformational change through innovation, technology and digitalisation.
8. Forge a new global partnership and develop multi-stakeholder partnerships for sustainable development.

As in the past, **cooperation initiatives with the private sector**, such as chambers and associations partnerships and vocational education and training partnerships, will continue to be strengthened in the future. In principle, these can occur in all countries named in the OECD/DAD country list. However, development aid currently has regional and thematic emphases in which countries from Africa and the South-eastern Mediterranean are given the priority. In this context, the special initiatives **"One World - No Hunger" (SEWOH)** and **"Tackling the Root Causes of Displacement, Reintegrating Refugees"** should receive special mention.

Through the **special initiative "ONE WORLD - No Hunger" (SEWOH)**, the BMZ addresses the issue of eradication of hunger and malnutrition in the partner countries. The initiative clearly focusses on African countries south of the Sahara. In order to sustainably improve people's lives there, the BMZ supports, among other things, activities that are geared towards ensuring food security, innovations in the agricultural and nutrition sector, the protection of natural resources as well as structural change in rural regions.

The goal of the **special initiative "Tackling Displacement, Reintegrating Refugees"** is to help reduce the causes of displacement in the partner countries and alleviate its negative consequences. On the one hand, the BMZ wants to improve the living conditions of people in the partner countries and stabilize their

economies so that an exodus of refugees can be prevented. On the other hand, the initiative provides humanitarian aid to refugees and helps the host communities cope; it also includes measures that facilitate the reintegration of refugees into their home communities.

1.2.2 Focus: Sustainable Economic Development

Sustainable, **broad-impact economic growth** is an important pre-condition for successful poverty reduction: It generates employment opportunities that help the poorer sections of the population to secure their livelihood independently. To achieve that independence, the poor must be given a better chance to become economically active. This requires better integration of small, medium-sized and micro enterprises into economic cycles. In addition, growth processes must have a positive long-term effect. Growth thus not only needs to have a broad impact but must be **sustainable** as well – on the economic, social and ecological level.

In this sense the promotion of sustainable economic development is one of the priorities of German development cooperation. The Federal Republic has agreed on cooperation in this focus area with circa 40 partner countries. Sustainable economic development builds on the principles of the social and ecological market economy: Aside from people's economic, political and social living conditions, it also aims at securing vital natural resources in the long term. The goal is a market regime which is complemented by a social policy mandate and also comprises the ecological dimension of economic development. The **Sustainable Development** focus has four **core areas** of cooperation:

- Economic policy,
- Promoting private businesses,
- Financial system development,
- as well as vocational training and labour market policy.

The BMO Partnership (KVP) Programme is thematically part of the priority area of sustainable economic development. One of its foundations is the sector concept of private sector promotion launched by the BMZ in 2011. The programme fosters direct cooperation between non-governmental actors to strengthen the private sector in the partner countries and mobilises the extensive experience of German chambers and associations for development cooperation.

1.3 The Organisations of German Development Cooperation

Germany's development cooperation rests on two pillars: It is either initiated, organised and financed by the German government or devised and implemented independently by non-governmental organisations, often with co-financing via the BMZ when certain conditions are met. While the number of public players is limited to a small number of organisations, a multitude of NGOs is active in DC.

1.3.1 Organisations of Public Sector Cooperation

Official bilateral cooperation between Germany and its partner countries falls into the two categories of **Technical Cooperation** (TC) and **Financial Cooperation** (FC). Both TC and FC projects are based on direct contracts between the governments of the partner countries which are concluded at the regular bilateral govern-

ment negotiations. The BMZ then commissions its implementing agencies to take over their realisation.

It is the **main task of FC** to support partner countries in the financing of individual activities and projects. The organisations responsible for FC are the KfW Entwicklungsbank and the Deutsche Investitions- und Entwicklungsgesellschaft (DEG). Both are part of the state-owned **KfW banking group**.

The **KfW Entwicklungsbank** promotes public investment in infrastructure, financial systems and environmental protection (incl. protection of natural resources). It appraises the projects to determine whether or not they are eligible for public funding, and subsequently finances and evaluates those to which it provides long-term financing (usually loans). Implementation of the projects is always carried out by an institution in the partner country. The KfW Entwicklungsbank is headquartered in Frankfurt/Main and has some 500 employees. As of mid-2010, the KfW Entwicklungsbank was supervising some 2,000 projects in more than 110 countries. In 2009, around 3.5 billion Euro were newly earmarked for development funds. The monies provided to this end from the national budget are supplemented by funds raised by KfW on the capital market.

The **DEG** has the task to promote private business initiatives in developing and transition countries. It invests in profitable, sustainable projects in all sectors of the economy as an outside and proprietary capital investor: from agriculture to the manufacturing industry and the service sector to infrastructure and the financial sector. Based in Cologne, the DEG employs a staff of some 500 people.

When it comes to financial volume, FC is the most important instrument of German development cooperation. The BMZ provided 1.658 billion Euros for the financial year 2014.

German TC has the task to impart technical, economic and organisational knowledge and skills and thus boost the capacities of people and organisations in the partner countries. Accordingly, it mostly provides advisory services as well as equipment and materials. Responsibility for TC lies with the **Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)**. The GIZ was formed in 2011 as a new, non-profit company owned by the Federal Republic of Germany. In 2014, the GIZ employed a staff of 16,410 in over 130 countries; more 70 % of them were local labour. The GIZ resulted from a merger of the following three organisations, all of which have long been active in German DC, and continues their operations:

- German Agency for Technical Cooperation (GTZ),
- German Development Service (DED),
- Capacity Building International (InWEnt).

The **Centre for International Migration and Development (CIM)** is another organisation of governmental DC. It is a joint venture of GIZ and the Federal Employment Agency in Frankfurt/Main. CIM places highly qualified experts from Germany and the EU to companies and organisations in developing and transition countries. It also provides advice and a placement service to individuals from developing countries and emerging nations who live in Germany but are interested in reintegrating into a professional career in their home countries.

In addition to these organisations, there are other implementing agencies of Technical Cooperation which have specialised in individual tasks, such as the **Federal**

Institute for Geosciences and Natural Resources (BGR) in Hanover or the **National Metrology Institute of Germany (PTB)** in Braunschweig.

1.3.2 Organisations of Non-public Cooperation

Apart from bilateral cooperation, Germany also promotes projects which are independently implemented by private organisations such as **non-governmental organisations, political foundations, church-run institutions or private sector organisations**. These projects are not part of bilateral government negotiations but result from the initiative of the participating organisations. They are funded partly by the input of the organisations themselves and partly by public grants.

For several years, cooperation with **NGOs** has assumed a more and more important role in Germany's development cooperation. The strength of NGOs lies in the fact that they are in close contact with the civil societies in the partner countries, even with such countries in which cooperation with the government is difficult or impossible for political reasons. The most important fields of activity of NGOs are poverty reduction, the promotion of opinion building and participation processes, the establishment of social and institutional structures, food emergency and refugee aid as well as development-policy education and PR work. 118 German NGOs active in development policy are currently members of the umbrella organisation **Association of German Development NGOs (VENRO)**.

The **political foundations** support institutions and social groups in countries in developing and emerging nations and the former Eastern Bloc. It is their goal to make a contribution to strengthening the democratic structures and human rights in the partner countries. They promote civil society participation in political decision-making and the economic autonomy of the partner countries. One focus of the development-policy activities of the political foundations is strengthening the trade unions and political parties, e.g. through the promotion of their educational institutions and the promotion of the free media. Moreover, foundations support self-help organisations such as professional and private sector-oriented groups, especially in rural regions. They also promote political adult education measures and social sciences research capacities in the partner countries.

Church-run organisations have been working within the framework of development cooperation for more than 50 years. In many parts of the world they have been able to ease the poverty of the people and improve their living conditions. Churches are able to mobilise civil societies worldwide and can thus exert a strategic influence on political awareness building. The fields of civil conflict management and crisis prevention as well as the protection of human rights have been a focus of their development work for many years.

For the BMZ, the promotion of a social market economy in the partner countries is a major factor for sustainable development. For this reason, the Ministry believes that **cooperation with the private sector** is crucial for development cooperation. When the private sector becomes active in developing countries, it can, among other things, reduce red tape, support the fight against corruption and advance vocational education and training. Establishing networks which help their members procure information and organise advocacy activities leads to an increase of the competitiveness of SMEs in particular. With sequa and the Senior Expert Service (SES), Germany can boast of two **private sector organisations** which are successfully involved in development cooperation projects:

sequa gGmbH is a non-profit development organisation that operates worldwide. Its shareholders are Germany's top business membership organisations (DIHK, ZDH, BDI and BDA) and the GIZ. sequa promotes the development of the private sector and its institutions as well as the qualification of skilled employees and managers through projects and programmes of international development cooperation. sequa works in the following business segments:

- Private Sector Development,
- Business Membership Organisations (BMOs),
- Vocational Education and Training,
- Social Dialogue.

Since 1991 sequa has been the BMZ implementing agency for the BBP programme; in 2010 it also assumed responsibility for the BBP programme. Since 2000 sequa has also been responsible for the implementation of the develoPPP.de Programme² (previously: PPP Programme) of the BMZ. Since 2009, it has concentrated mainly on the priority area "Vocational Education, Training and Qualification" in this segment. Moreover, sequa manages numerous projects for the EU Commission, GIZ and other organisations in its various business segments and also offers consultancy services.

The **Senior Expert Service (SES)** is an international cooperation volunteer service that is funded by the SES Foundation of the German Industry for International Cooperation. The SES makes it possible to mobilise the technical experience of individuals who have retired from professional life for development cooperation. Its senior experts concentrate on resolving acute technical and business problems at SMEs. An SES assignment lasts an average of two months but never more than six months. As a general rule, the client in the partner country is expected to shoulder the costs of the assignment. In case the client cannot do so, BMZ funds can be used to pay part of the expenses.

1.4 The BMO Partnership (KVP) Programme as an Instrument of German Development Cooperation

As self-governing organisations of the private sector, business membership organisations such as chambers and associations are central players when it comes to achieving sustainable economic development in BMZ partner countries. Not only can they make a crucial contribution to the improvement of economic framework conditions. They also offer a range of services targeted at strengthening the competitiveness of their member companies, most of which are small and medium-sized enterprises (SMEs). In addition, BMOs often take over delegated authorities from the government, e.g. in the field of vocational education and foreign trade.

To mobilise the know-how of German business organisations for development cooperation, the BMZ has established the **BMO Partnership Programme (KVP Programme)** as an instrument for cooperation with the private sector. The object of BMZ funding is the „partnership-based cooperation of independent business mem-

² Information about the develoPPP.de Programme can be found at www.developpp.de and on the sequa website www.sequa.de.

bership organisations³ from Germany and a BMZ partner country. BMZ funding (usually 100% of the project budget) is based on a project proposal. Applications are submitted via sequa which acts as the central implementing agency of the BMZ for the BMO Partnership (KVP) Projects.

KVP Projects **aim** at contributing to poverty reduction in the BMZ partner countries through sustainable economic development. The projects focus on providing support and advice to the foreign partner organisations, that will enhance their competence as SME service providers as well as advocates for the private sector towards government institutions. They expressly call for synergy effects for the German private sector such as those that can result from business delegations or the utilisation of local contacts.

KVP Projects result when chambers and associations voice their readiness (via sequa) to participate in development cooperation. They contribute their own ideas to the project proposal. In most cases they have already established contact with possible partner organisations abroad and informally deliberated about the cooperation and its targets. Together with sequa they then develop the concrete project.

First and foremost, KVP Projects are aimed at **know-how transfer**. Their individual activities are more manifold than those of many other project types and support the foreign partner organisation in whatever development it has selected. **Core areas of cooperation** are:

- The improvement of internal structures and the management,
- The development of new services for member enterprises,
- Support for advocacy efforts directed at better framework conditions.

In this context, the German project partners can make use of the extensive and specific expertise of their own staff. The utilization of external German and international experts is possible as well and can be financed from the project budget. Ultimately, the German project partner and its foreign partner will decide which kind of support will be selected.

As **implementing organisation** for the KVP Programme, **sequa** carries out the following programme administration tasks:

- Advocacy for chambers and associations towards the donor BMZ,
- Consulting services for BMOs in regard to project development and implementation,
- Responsibility arising from sequa's function as primary grant recipient (legal and commercial responsibility),
- Project management (organisation of fact-finding missions, monitoring of activity and financial planning, monitoring of annual reports, support for the German partners through project progress control).

The KVP Programme is a tried and tested instrument of development cooperation.⁴ More than 300 projects have been implemented in about 80 developing and transi-

³ Cf. BMZ Richtlinien zur Förderung entwicklungswichtiger Partnerschaften mit Einrichtungen der Wirtschaft in „Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern“, Ch. 9, as of 2005.

⁴ Cf. e.g.: Nachhaltigkeitsstudie des Kammer- und Verbandspartnerschaftsprogramms – Synthesebericht, Rolf Speit, May 2011, or Querschnittsstudie Partnerschaftsprojekte in „klassischen Entwicklungsländern“; Karl-Christian Göthner und Gero Winkler, July 2000 at www.sequa.de/Publications (in German only).

tion countries so far. Over 50 German regional chambers of skilled crafts, chambers of industry and commerce, sector associations and employers' organisations have been acting as German project partners to directly support more than 400 chambers and business organisations in developing and transition countries. At present, some 25 BMO Partnership Projects are being implemented in South America, Africa, Asia, Southeast Europe and Eastern Europe.

CHAPTER 2

Planning and Development of a KVP Project – from Conception to Approval



2. Planning and Development of a KVP Project – from Conception to Approval

2.1 Project Conception and Project Proposal

2.1.1 Initiative for a KVP Project

The **initiative** for cooperation in a KVP Project usually comes from the **German or foreign project partner**:

- A German chamber or association shows its interest in, or readiness to, contribute to the establishment of a market economy or the development of economic relations in a specific country or region.
- Or a foreign chamber or association is interested in a partnership with a German chamber or association. On the side of the foreign partners, it is usually existing or emerging BMOs – sometimes also semi-public institutions – which are looking for a foreign partner to support their development towards a professional and effective advocacy organisation in a market-based environment.

Frequently, the project idea is preceded by a long-standing relationship between the partner countries, certain regions or cities or the project partners themselves.

In exceptional cases, the BMZ, another government organisation (GIZ, KfW) or a German embassy or consulate may suggest a KVP Project as a complement to bilateral measures. In these cases, it is sequa's task to find an eligible German partner and/or to identify suitable partner structures.

2.1.2 Requirements for German and Foreign Project Partners

In order for a KVP Project to succeed, both partners have to fulfil certain requirements. The BMZ Guideline for Partnership Programmes of German Private Sector Organisations stipulates that the partner organisation must be „capable of ... implementing the project targets.“⁵

- **Both partners** should declare their **willingness to cooperate** more than just verbally. Instead, they should be prepared to conduct an open dialogue, be transparent regarding their financial and personnel situation as well as ready to fulfil their obligations towards the other partner.
- They must be able to contribute their own ideas to the joint project concept and to identify with the project contents (ownership). Partnership does not mean that only the German partner becomes active as knowledge provider, but that both partners work together according to the principle of **participatory cooperation**.
- They should possess **a minimum of personnel, financial and organisational resources**. The foreign partner in particular should be in a position to guarantee the continuity and gradual expansion of its achievement potential.
- It is important for both partners to familiarise both their professional staff and their volunteers with the BMO Partnership Project and get their support for it.

Moreover, the **foreign partner** should:

⁵ Cf. BMZ, Richtlinie zur Förderung entwicklungspolitischer Partnerschaften von Einrichtungen der deutschen Wirtschaft, Chap. 4.1, p. 2.

- operate in a political environment which offers realistic chances for the development of an **independent business organisation**,
- share the idea of a social market economy and be willing to systematically and gradually reduce any existing state control and dependence of his organisation,
- not consider its own organisation as an end in itself but be ready to refine it as an instrument of business service provision,
- make **substantial own contributions** in terms of ownership and financial sustainability of the project. The extent and the type of these contributions should match the capacities of the given partner. The contributions should be defined and documented jointly (e.g. as part of project assessment and/or the planning workshops). They can consist of: e.g. the provision of personnel or premises, payment of travel or interpreting expenses, co-funding of project activities, payment of customs duties, taxes, etc. or other types of organisational support.

Aside from projects that have a bilateral **partner structure**, there are also KVP Projects in which the German partner cooperates with several foreign partner organisations. Such a **multi-partner structure** makes the project less dependent on the performance of one individual partner and may create useful synergy effects. On the other hand, cooperation with several partners increases the complexity of the project and requires greater coordination efforts. The decision for one or the other of these partner structures is made in the course of a project fact finding mission.

After all, assuming responsibility for a complex project in a developing or emerging nation places considerable demands on the **German project partner**:

- The successful and efficient implementation of a KVP project depends on the level to which the more the German partner manages to utilise the whole range of skills and experiences its professional and volunteer staff have to offer, the more successful and efficient the implementation of the project.
- For organisational and personnel reasons, it is advisable that a staff member of the German project partner take over the overall coordination (steering or backstopping) of the project. Experience shows that this will usually be a staff member who is directly assigned to the managing director or a staff member of the department responsible for foreign trade. The complexity of backstopping tasks requires this staff member to possess a sufficient amount of practical experience in the field of project management. It is highly desirable that this task be assigned to a staff member who not only has sufficient experience with the BMO system but have also worked abroad and can therefore offer a knowledge of (a) foreign language(s). Ideally the staff should also be familiar with development policy issues.
- Project responsibility not only comprises a professional implementation of the project, but also responsible administrative and commercial project execution.⁶ As with the other domestic German tasks of the project implementing agency, this requires the responsible cooperation and **participation of the relevant administration experts** of the partner organisation.
- For BMO-political, legal or business reasons, BMOs frequently have **subsidiaries** (mostly in the form of a GmbH, i.e. a limited liability company) to which they

⁶ For extensive tips on the financial and administrative management of BMO Partnership projects consult the Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, which is handed to the German project partners at the start of the project.

have assigned special tasks and/or which carry out special tasks for third parties. This can also be the case in BMO Partnership Projects. In principle, project implementation may also be conferred to such subsidiaries if certain conditions are met.⁷

- The German partner must be based in Germany to ensure a know-how transfer from Germany to the partner country. A **Bilateral German Chambers of Industry and Commerce (AHK)** can be included into the project with their expertise (e.g. in case of short-term assignments or event organisation) but cannot act as a German or local partner.

2.1.3 Producing a Project Proposal

After a project idea has been developed, the German project partner submits a first draft of the project proposal to sequa. This project draft provides information about the proposed project, its contents and players. The following **outline** can be used as a guideline for the development of an **informal project proposal**:

1. Introduction (0.5 pages)
 - Motivation of the project management partner
 - Origin of the project idea
2. Initial situation and problem in the partner country (ca. 1 page)
 - Economic and political situation in the partner country (poverty relevance)
 - Core problems of development
 - Situation of the private sector, especially of small and medium-sized enterprises
 - Priority areas of German development cooperation
 - Importance for the German private sector
3. Project aim and possible key areas (ca. 1 page)
 - Project aim
 - Priority areas of project activities
4. Expected effects (0.5 pages)
 - Results to be achieved by the end of the project
 - Contribution of project results to development goals
5. Project partners (1-2 pages)
 - Short presentation of the German partner: brief, services, member structure, experiences with project work and in the region (if applicable), experiences in development cooperation
 - Short presentation of the foreign partner/s: commentary on organisational structure, member structure, services
 - if applicable, other organisations which may be potential cooperation partners.

This proposed outline is not compulsory, but meant as a guide to the elaboration of the project proposal draft submitted to sequa. The draft will be used by sequa as a basis for an initial project assessment as well as for negotiations with the BMZ. The draft serves as the basis of which the BMZ and sequa jointly assess whether the planned venture is generally eligible for funding or not. Possible criteria are its potential incorporation into existing BMZ priority areas and strategies, competing project

⁷ Cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 1.4.5.

proposals, the availability of funds, etc. In case the ministry voices basic approval for the venture, the draft is refined further by sequa and the German partner. A final version will ultimately be submitted to the BMZ to apply for a fact finding mission.

2.2 Project Assessment

As soon as the BMZ has signalled its approval, a Fact Finding Mission will be organised and conducted. It comprises an analysis of both the project management agency and the partner/s⁸ and serves the comprehensive assessment and planning of the envisioned KVP project.

2.2.1 Organisation and Process of Project Assessment

sequa will select and contract an external expert to carry out the project assessment. The contract comprises the *Terms of Reference* for the assignment of the expert. In order to **prepare the fact finding mission**, a preliminary meeting with the expert will be conducted at which a representative of the German partner will usually also be present. The main topics of this meeting are the targets, contents, and process of the project assessment. In addition, expert will receive the necessary documents and the organisational division of tasks in the run-up to the *fact-finding mission* will be determined. As a general rule, sequa will organise the fact-finding mission (e.g. flight bookings, scheduling, hotel bookings). If the German partner is already well-connected in the field, it makes sense for him to take over the above-mentioned activities.

The **travel schedule**, which sequa will coordinate with the independent expert and the German project implementing agency comprises meetings with the potential project partners as well as with relevant public, private-sector and civil society institutions that play a central part in the given industrial sector of the target country. The programme of a fact-finding mission also includes meetings with German institutions such as the German embassy, the Bilateral German Chamber of Industry and Commerce and the GIZ. In some cases, coordination with foreign project implementing agencies that carry out projects with a similar aim as the planned KVP project may be necessary.

Depending on the complexity of the project, **project assessment in the field** will require between one and two weeks. Aside from the expert, the staff member selected for project backstopping at the German project implementing agency as well as a sequa staff member will usually also take part in the project assessment. If desired, the expert may also conduct some meetings alone.

In case it becomes clear during the fact-finding mission that the implementation of a project makes sense, the project assessment should be directly followed by a first joint **planning** session with the local partner/s, in which the targets, results and indicators of the subsequent project are defined; they can then be used for the project application. If the assessment produces additional questions or if the analysis of the German project partner does not lead to a clear result, the planning process with the foreign partner should be conducted at a later date.

⁸ Tools for partner analysis are available at www.sequa.de.

Subsequent to the in-the-field project assessment, the expert will write an **assessment report** which follows the **structural outline** specified by sequa (see **Appendix 1**). The results jointly defined at the end of the assessment will be added to the report. In case of a positive assessment, the report will include a recommendation by the expert for the start of a project and defines the key success parameters for such a project. sequa will forward the assessment report to the BMZ as a basis for decision-making.

2.2.2 Project Assessment Criteria

The contents of the project assessment are stipulated in the Terms of Reference that are part of the expert contract. Aside from an analysis of the project environment and conceptual planning of the project, the project assessment also involves a close examination of the German and the foreign project partner organisation(s). In most cases, the German and foreign project partners have already been determined prior to the project assessment. If required — especially when doubts exist whether the proposed partners will be able to meet the requirements of the project — alternatives can and should be examined. In addition, the assessment report should include recommendations in regard to suitable steering models for the partners and, if necessary, other preconditions that still need to be fulfilled. Last but not least, the project assessment process should also involve initial coordination with other projects and project agencies in the field.

The **Terms of Reference** will usually comprise the following points and thus determine the contents of the project assessment:

- Analysis of the existing political and economic conditions for the implementation of the project with special attention to private sector institutions in the individual countries,
- Inventory-taking regarding selected business organisations and evaluation of their capabilities,
- Analysis of the project environment (earlier measures, links to other measures, potential synergies and cooperation possibilities with German and international projects),
- Basic evaluation of the relevance of the project, taking into account the existing demand, core problems as well as the development policy priorities of the BMZ.

If a recommendation of the implementation of the partnership project becomes likely, the **project assessment** should also provide answers to the following questions:

- Preparation of proposals for the project design for an initial main project phase of three years:
 - Partner set-up: Which organisations of the institutionalised economy are recommended as project partners?
 - Targets, results, indicators and activities: Which project objectives, results and indicators are to be achieved with the project? What kind of activities (short-term assignments, training courses, study trips etc.) are advisable to achieve the targets?
 - Which assumptions and risks form the basis for target achievement?
 - Impact chain: What effects will the project have? How can they be achieved?

- Detailed planning: What recommendations are made in regard to the implementation of the project redesign? Which of the representatives of the institutions involved in the project should participate? What timeframe is recommended? Where should the project planning take place?
- Sustainability: How can sustainability be achieved?
- Recommendations for project organisation:
 - Project management: Should the project be managed by a local or an international long-term expert? Should he/she be present in the field permanently or intermittently? Where should the project office be located?
 - Project personnel: What is the demand for project backstopping staff (number, functions, fulltime/part-time) at the German project partner and locally?
 - Project implementation: How should responsibilities be divided between the project backstopper, the possible long-term expert and / or the local project coordinator? Are special steering and monitoring instruments required?
 - Own contributions: Which services and contributions will be taken over by the foreign partner?

2.3 Planning a KVP Project

2.3.1 Functions and Use of Project Planning

It is a central concern of development cooperation that existing funds and resources are used as efficiently and effectively as possible. The project activities should also have as great an **impact** as possible. To achieve this, thorough project planning and the development of a suitable strategy are essential.

The planning process should moreover generate a shared understanding for the aims and strategies of the project among all participants. This means that the planning process as well as the discussions about project options, aims, measures, and risks that it includes should create a shared **project identity** among all participants.

The planning process thus ultimately serves as the central frame of reference to which the project partners can refer during future decision-making and forms the basis for the subsequent **progress process control** (PPC, cf. Ch. 4) of a project. However, it should be noted that planning is a flexible system which should be able to adapt to changes in the project environment at any time, i.e. planning should regularly be checked against current developments and altered whenever required in coordination with sequa.

2.3.2 Planning in the Context of the Project Cycle

It is important for project planning that those involved be familiar with the project cycle concept: Each project undergoes a sequence of phases, from identification to planning and implementation to evaluation. The evaluation results will be used as input for new or following projects — which is why one can call it a cycle. The project cycle of KVP Projects comprises the following **phases** (cf. Fig. 1):

Phase 1: As described above (cf. Ch. 2.1), the **initiative for a KVP Project** usually comes from a German or foreign partner which submits an initial project proposal draft to sequa.

Phase 2: On the basis of the project proposal draft sequa, after approval by the BMZ, will organise a **fact finding mission** in the field (cf. Ch. 2.2). In this phase the basic relevance of a KVP Project is determined with the help of an external expert. In case of a positive vote, the **planning process** will then commence in this phase already, i.e. the partners, the expert and sequa define the fundamental project concept in the form of a planning matrix with targets, results and indicators.

Phase 3: On the basis of the **recommendations of the expert in the assessment report, sequa then submits an application to the BMZ** which, aside from the content-related concept, also contains the previously defined target and result indicators as well as a financial budget plan for the project (cf. Ch. 2.4). Implementation on site can only start **once the project has been approved**.

Phase 4: At the start of the project implementation a participatory planning workshop will be conducted on site to carry out the **detailed planning** (cf. Ch. 2.3.3. and 2.3.4). If a project concept already exists — which is usually the case — it will undergo revision and further refinement on that occasion. The essential aim here is the concretisation of the **target and result indicators** which will form the basis for the subsequent performance measurement. In addition, project measures and responsibilities will be established.

Phase 5: The German project partner is responsible for the implementation of the project (cf. Ch. 3). It will provide the personnel for **project backstopping** in Germany as well as for project coordination on site. The basis for project implementation is the **operational plan** of the project; together with the project planning matrix it will be used for the annual planning of concrete actions concerning material, personnel, and financial issues. In addition to the operational plan, a suitable **monitoring system** (cf. Ch. 4.3.1) should be developed which will allow the project management agency to measure the progress of project actions, results and impacts and, if necessary, carry out **planning adjustments**.

Phase 6: About six months before the conclusion of a project phase, sequa will organise a **project progress control** (PPC) through an external expert (cf. Ch. 4). The results of the PPC then form the basis for decision-making regarding a possible continuation of the project in a further phase (PPC at the end of 1. project phase) or recommendations for the sustainable perpetuation of the results achieved (PPC at the end of 2. project phase).

Fig. 1: Graphic representation of the project cycle



KVP Projects usually comprise **two funding phases** of three years each, which can be followed by a consolidation phase of up to 12 months. Depending on the type and the demands of the project, funds of 600,000 to 800,000 Euros are available for the main three-year project phase.

The project cycle shown above is based on the **Project Cycle Management (PCM)** concept, an analytical framework for the management of technical cooperation projects. The European Commission introduced the PCM in 1992 as a compulsory element of project design. It is based on the lifecycle of a project, i.e. the phases of identification, conception and implementation. These are not to be understood as linear or sequential but a flexible structure in which it is possible to go back to previous steps at any time. The target system can be adapted at any time if circumstances demand it. The required criteria for such a feedback loop call for systematic monitoring during the implementation process.

2.3.3 Planning Basics

Project planning for the main project should occur in a **participatory process** in cooperation between the foreign and German project partners as well as sequa and, if applicable, other project-relevant players. Experience has shown that in order to achieve a communication process that has a maximum of transparency, harmony, and target-orientation, project planning should be carried out in the form of a facilitated **planning workshop**. An external moderator can be commissioned to take over the facilitation. Such a workshop requires between one and two days and will usually take place at the start of the project. In practice, a rough draft is usually produced at the end of project assessment which is then refined further and operationalized in a project planning workshop at the start of the project. Just how, and in

what sequence, the planning process will occur depends on the individual project, the partners and existing conditions.

The results of the planning process should be documented in a **project planning matrix** (cf. Ch. 2.3.4) with the following elements: overall target, project aim, results, indicators as well as contributions by the foreign partner as well as assumptions and risks for target achievement. If there is not enough time at the planning workshop to produce a complete planning matrix, the procedure and responsibilities for the coordination of necessary changes must be defined. A first, basic version of the planning matrix is the result of the project assessment and is submitted to the BMZ together with the project proposal. This version is specified and refined further by and with the partners at the planning workshop at the start of the project and finally serves as a basis for the project implementation and reporting. Changes are possible but have to be coordinated with sequa in advance and documented. If necessary, sequa will submit a request for change to obtain the approval of the BMZ.

The planning matrix as well as the budget plan based on it form the groundwork for the annual **operational planning** of the project (cf. Ch. 3) which is carried out by the foreign and German partners. It also serves as a basis for the planning of the concrete activities (factual, personnel, and financial) scheduled for a given year. Operational planning must be documented.

2.3.4 The Project Planning Matrix (PPM)

The basis for, and central result of, the planning process is a tabulated documentation, the so-called **project planning matrix (PPM)**. The PPM is a planning framework for preparation of complex measures such as BMO Partnership Projects. The method goes back to the Logical Framework Approach (LFA) developed in the USA during the later 1960s, which is characterised by a high degree of systematisation.

The PPM provides a **summary of the project**. It contains all necessary information for project management, while usually only comprising between one and four pages. That means that a PPM requires sufficient details to clearly define the project logic but should not be overloaded with such details and thus possess overly rigid structures that would make project implementation more difficult rather than easier. A typical PPM for a BMO Partnership Project will correspond to the following **sample**:

Target hierarchy	Indicators	Sources of verification	Assumptions/Risks
Overall target: xxx	n.a.	n.a.	xxx
Project target: xxx	xxx	xxx	
Result 1: xxx	xxx	xxx	
Result 2: xxx	xxx	xxx	
Result y: xxx	xxx	xxx	
Activities:	xxx		
Contributions of the foreign partner:	xxx		

An example of a PPM can be found in Appendix 2.

The PPM thus comprises a vertical as well as a horizontal logic. The vertical logic defines the target hierarchy of the project:

- **Overall target:** Which development policy targets are to be reached?
- **Project target:** Which direct impacts is the project intended to have? What are the benefits for the target group?
- **Results:** Which intended project results are to be realised to meet the project target? Which concrete, measurable results is the project supposed to yield?
- **Activities:** Which actions are planned to achieve the intended results?

The **horizontal logic** consists of the **indicators** that should be defined to measure target and result achievement as well as the respective data which are to be subjected to the analysis (**sources of verification**). In addition, it is necessary to identify and name the most important external factors (**assumptions and risks**), which cannot be influenced by the project, but co-determine its success.⁹ In a final step, the planning matrix is completed by the definition of planned **project actions** as well as the **contributions of the partners**.

The process of **PPM production** can be divided into the following steps:

First step: **Target definition**

PPM production will start with the definition of targets within the target hierarchy — from overall target to project aim to planned project results.

Second step: **Activities**

Subsequent to the definition of objectives and results, the measures or activities which will be carried out in the course of the project to achieve these pre-defined results will be determined. This produces the input which the project is supposed to provide. The planned measures/activities can either be documented separately (as shown in the chart above) or as sub-items of the individual results. The definition of activities should also comprise a discussion and documentation of the contributions which are to be made by the foreign partner.

Third step: **Examining logical connections**

To self-monitor the logical consistency of the plans hitherto produced, the next step should consist of assessing whether the desired project targets can really be derived from the pre-defined project results — and whether these can, in turn, be derived from the defined activities — or whether logical errors may have been committed that necessitate a change of planning.

Fourth step: **Assumptions and Risks**

Project planning should also include an examination and estimate of any other influences and resistances that could arise in the course of project implementation. These so-called **external impact factors** influence project target and result achievement without being themselves affected or controllable by the project. In spite of this, they must be considered during project implementation and documented during the planning process. Assumptions are positively phrased expectations while risks are negatively phrased expectations in regard to the development of project framework conditions that cannot be influenced.

⁹ Cf. Ch. 4.2. re PPM logic and concept.

Fifth step: **Indicators and Sources of Verification**

Indicators that enable measuring of the target and result achievement should be defined for the project aim as well as for the planned project results. In addition, the source (the type) of verification should be defined for each indicator so that it can actually be measured during project implementation. Indicators form a fundamental basis of impact monitoring. Their definition and formulation is one of the most complex challenges of project planning. Chapter 4 therefore provides extensive tips for correct formulation of indicators.

Sixth step: **Financial Assessment**

A calculation of the project budget is not part of the PPM. However, an assessment of the required quantity structure should be carried out on the basis of the planned project activities and then compared with the possible budget. In case the expected budget and the expected costs deviate markedly, planning adjustments need to be made.

2.3.5 Possible Foci and Actions of a KVP Project

All KVP Projects focus on **capacity development** of the foreign partner organisation(s) to strengthen them as interest representatives and service providers for their members. Those areas for which the German partner can provide expertise and experience should be given prominence here. Partnership projects usually concentrate on the following **main subjects**:

- **Organisational development:** e.g. enhancement of (sub-)functions of organisational and operational structures, improved communication with and between the members (membership administration, membership promotion, publications, forums), strategy development.
- **Creation of demand-oriented services for SMEs:** e.g. assessment of the requirements of SMEs, (further) development of income-generating services (training courses, trade fair visits, business matching, establishment of contacts, economic data, legal counselling etc.).
- **Strengthening of politico-economic SME advocacy:** e.g. founding / development of a partner network for joint representation of interests, identification of new network partners, founding / development of a regional point-of-contact for SMEs.
- The main subjects listed above should, if possible, have a **gender-relevant orientation**, i.e. they should embrace the guiding development-policy principle of the promotion of equal rights for women and men (gender mainstreaming) consistently and systematically, thus promoting equal participation of women and men in economic activity.

The main subjects listed above can be supported by means of the following KVP Project **measures**:

- Long-term and short-term consulting by experts provided by the German partner or external experts,
- Complementary equipment subsidies,
- Degressive salary subsidies (in justified exceptional cases),
- Training measures, seminars and workshops, conferences,
- Public relations,
- Study trips, trade fairs and exhibitions, etc.

2.4 Applying for a KVP Project

The application for funds for a KVP Project is carried out by sequa. The recommendation made by the expert in the course of project assessment as well as the results of project planning, which he/she documents in a report, form the central basis for the application. The report is forwarded to the BMZ by sequa. In case of positive feedback from the BMZ, sequa, in close cooperation with the German project partner, compiles a proposal for funding that is consistent with an application and calculation outline predefined by the BMZ. The **outline of a proposal for a KVP Project** should accord with the following structure:

1. Brief description of the project (schematic summary)
2. Initial situation
 - 2.1 Politico-economic framework conditions and problem analysis
 - 2.2 Foreign partner organisation
 - 2.3 Target groups and placement with development policy
3. Aim and design of the project
 - 3.1 Measures and results achieved hitherto
 - 3.2 Targets, results, activities and indicators of the project
4. Project implementation
 - 4.1 German project partner
 - 4.2 Project management, schedule and further planning
 - 4.3 Cooperation with other projects
5. Assumptions and risks of the project success
6. Financing plan

The financing plan of the proposal is complemented by a project costing chart that shows the required project funds in the so-called „**Commentary for Informational Purposes**“ (sample in **Appendix 3**). The following budget items are designated by the directives of the BMZ:

1. **Assignment of long-term experts (LTE)**
 - Personnel costs for staff of the German project partner abroad (permanent long-term experts or intermittent long-term experts) as well as local project staff, including relocation, further training, etc.
 - Travel expenses for LTEs and local project staff
 - Expenses for office equipment and, if required, a project vehicle on site (in case none is provided by the foreign partner)
 - provision of a project vehicle in the field (if not provided by the foreign partner), maintenance of the project vehicle (if necessary).
2. **Assignment of short-term experts (STE) for consulting and training measures**
 - Personnel cost compensation¹⁰ for the German project partner in case of the assignment of own staff as STE
 - Fees for the assignment of external international STEs
 - Travel expenses for STE assignments

¹⁰ BMO Partnership Programme funds may cover the personnel costs of the project implementing agency for the deployment of own staff up to a certain amount.

- Fees and travel expenses for external experts from the partner country or neighbouring regions
 - If applicable, additional expenses (materials, translation, etc.) for STE assignments
- 3. Subsidies of personnel and material costs of the partner organisation**
 - Material and personnel cost subsidies for the partner organisation (as customary locally) in justified exceptional cases on a declining scale.
 - 4. Equipment subsidies**
 - Procurement and transport of equipment and materials for project purposes
 - In exceptional cases, construction measures in the amount of a max. 20% of the total costs eligible for funding
 - 5. Training schemes including development of teaching material**
 - Information, consulting and training events for the foreign partner as well as his member companies in Germany and abroad, return trips, attendance fees, room and board, subsistence and travel expenses, insurance fees, cultural programmes, pocket money.
 - Information, consulting and training events for the foreign partner as well as his member companies in the partner country: training fees, travel expenses (if required), room rent and catering.
 - Development and translation of teaching and learning material.
 - 6. Public relations**
 - External communications for the project as well as the local partners (e.g. website, flyer, print media, events)
 - 7. Professional consulting and expertise for project implementation**
 - Does usually not apply
 - 8. Project backstopping**
 - Personnel costs of the German project partner for project backstopping incl. secretarial und accounting support
 - Lump sum for materials and operating expenses required for project backstopping
 - Travel expenses for project backstopping staff
 - The costs for project backstopping must not exceed a maximum 15% of the total funding volume. In exceptional cases with explicit reasoning the percentage may be raised with approval of the BMZ.
 - 9. Preliminary studies, project planning and other costs**
 - Planning workshop at the start of the project (fee for, and travel expenses of, the external moderator, travel expenses incurred by sequa and the German project partner, materials, room rent and, if required, meals as well as travel expenses of the local partner)
 - Project progress control ca. ½ year before the end of the project (fee, material and personnel costs for the external expert, travel expenses of sequa and the German project partner)
 - Other costs, e.g. studies, steering committee, etc.

In a further appendix to the project proposal, the calculatory **contributions of the German partner** (sample in **Appendix 4**) are presented for information purposes.

In case the project proposal is **approved**, sequa acts as recipient of the initial payment and forwards the funds to the German partner for project implementation. sequa and the German project partner conclude a corresponding private-law **forwarding agreement**. According to the specified conditions for funding, the project structure (as well as the measures and services listed in it) and the financing plan contained in the proposal form the basis and an integral part of the approval document by the BMZ. sequa and the German project partner are therefore obligated to comply with these specifications during project implementation.

The funds approved by the BMZ for a KVP Project constitute a **grant**¹¹. This means that only those **expenses which have actually been incurred and can be verified by means of receipts will be financed**. Expenses without actual costs (e.g. the depreciation of assets) cannot be financed in a KVP Project.

¹¹ For further details about the contribution procedure cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 2.1.2.

CHAPTER 3

Implementation of a KVP Project



3. Implementation of a KVP Project

3.1 Basics of Project Implementation

3.1.1 Division of tasks between sequa and the German partner

On the basis of the forwarding agreement, sequa and the German partner are co-responsible for the project. They are bound to the targets, contents and conditions stipulated in the project proposal and the approval as well as the rules and regulations resulting from public funding law. The project implementation proper is carried out by the German partner, which provides staff for project backstopping and assigns long-term and short-term experts. The German partner concludes an **implementation agreement** with the foreign partner¹². This agreement specifies the mutual rights and duties including the acceptance of conditions resulting from BMZ funding.

sequa mainly has a service and consulting function during project implementation, but also exerts control over the German partner and monitors the project progress and the expenditure of funds. **sequa's** tasks comprise:

- Forwarding and accounting of the BMZ funds in accordance with public funding law,
- Consulting/support for project planning,
- Consulting in regard to planning, organisation and implementation of project measures,
- Support for short-term and long-term expert recruiting,
- Provision of samples for employment contracts, specification of services (Terms of Reference), etc.,
- Promotion of an exchange of ideas with other projects,
- Clarification of open questions with the funding agency,
- Organisation of a project progress control (PPC) at the end of the phase,
- Reporting to the funding agency.

In exceptional cases and by the express request of the German partner, sequa can also take over the project implementation and project backstopping of a KVP Project. A pre-application at the BMZ and the ministry's approval are then required.

3.1.2 Operational Planning

Operational planning is based on the objectives, results and indicators specified in the project proposal. These result from the **project planning matrix (PPM)**, which was produced in cooperation with the partners as part of the project assessment and/or project progress control (cf. Chap. 2.3.4). At the start of the project the PPM should be rounded off in a participatory planning workshop. In this process the previously defined objectives and indicators should be reviewed and, if necessary, updated and project activities should be added. This PPM will then become the basis of the annual operational planning.

¹² Cf. *ibid.* Ch. 8 (sample texts).

Operational planning includes **planning of the concrete individual activities scheduled in a given year** in terms of material, personnel and finances. It is conducted jointly by the foreign and German project partner. In terms of content, operational planning is determined by the proposal and the PPM; the financial framework, in turn, is determined by the budget plan for the project.

Operational planning comprises important agreements that go beyond the scope of the PPM on the concrete form of the cooperation for a foreseeable period of time to enable a coordinated course of action towards the shared goal. Operational planning usually covers the following topics and agreements:

- decision-making and communication structure for the project,
- project activities and their schedule,
- important interim results („milestones“),
- responsibilities as well as
- the allocation of personnel, material and financial resources.

The following questions should be clarified in order to produce a **complete operational plan** that does not leave out any essential points:

- Which tasks exactly are to be executed (task specification)?
- What expenditure is required for each task (expenditure estimate)?
- What functional preconditions do the individual tasks require and for which tasks are they, in turn, the functional precondition (task coordination)?
- Who is responsible for implementation and monitoring of the individual tasks (responsibility)?
- When should the individual tasks be started and when should they be concluded (scheduling)?
- Which breaks exist between the individual project phases (milestone definition)?

An **example of an operational plan** can be found in **Appendix 5**.

A clearly represented **time schedule** should be elaborated. Bar graphs in particular are of use here since they provide an ideal graphic overview of the tasks and deadlines and thus of the project itself. At the same time, they are a monitoring instrument for performance measuring. All tasks included in the project should, if possible, be listed chronologically; the degree of detail can be chosen according to the specific project requirements. The project schedule and plan of procedures are represented in the form of a horizontal bar chart. This method also allows representation of procedural connections, i.e. of flow-logical or resource-dependent interdependencies of individual tasks.

One element of the timeline is **fund scheduling**, i.e. measures are to be timed in such a fashion that the resources required for their implementation (especially personnel, funds etc.) are actually available.

On the basis of timeline scheduling and fund scheduling each activity planned for a financial year can be correlated with the expected costs. Such an **activity and financial plan** (cf. Ch. 4.3.3) **must be submitted to sequa annually** as part of financial monitoring.

3.1.3 Organisation of a Steering Committee

Steering or supervisory committees and/or boards increase project transparency and generate acceptance for project implementation. The establishment of a steering committee enables the active integration of the decision-making structures of the respective partner organisation into the project; this increases project ownership on both sides. In complex projects with numerous participants or network partners in particular, steering committees have proved of value.

Experience shows the following elements to be important for the establishment and successful utilisation of steering committees:

- a clear profile (description of tasks) and clear definition of competencies with regard to the implementation level,
- an adapted meeting frequency,
- efficiency through moderation rules,
- effective exchange of information (protocols etc.).

The steering body, in which representatives from the target groups may be included in addition to the partner organisation, should also function as the central **organ of project planning** and thus serve as the personnel basis of project planning on the PPM production level as well as the annual operational planning level in particular.

3.1.4 Duties of Documentation and Accounting

As primary recipient of BMO Partnership Project funds, sequa has duties of notification to the BMZ. These comprise:

- an **annual and/or final report** on each BMO Partnership Project. This report informs the BMZ about the project progress and the degree of target achievement. The report does not only serve as a source of information for the BMZ, it is also forwarded by the BMZ to the German embassy in the partner country as well as, if required, to other development institutions.
- **requests for change**, which should be made as soon as fundamental preconditions, determinants or the conception of a project alter. This especially concerns modifications to the cost budget as well as the project duration.
- proof of the achieved results and proper use of project funds within six months after the end of the project (**report on expenditure of funds**).

The **German project partner** is included in this duty of notification and has the following **duties of documentation and accounting** to sequa (as stipulated in the forwarding agreement):

- **Annual and final reports**, which serve as the basis for annual reporting of sequa to the BMZ. They will usually be produced by the project backstopping staff of the German partner and/or the long-term expert in accordance to a sample predefined by sequa (cf. also Ch. 4.3).
- **Activity and financial plans** (cf. also Ch. 4.3.3), which are central tools for sequa's annual funds flow monitoring.
- **Written comments** on planned **changes** (in terms of content, scheduling, and finances) to the project implementation process as compared to the original project proposal, for which sequa has to seek the approval of the BMZ via a written request for change.
- **Bimonthly statements** as numerical proof of all project expenditures.

- **Reports on individual measures**, e.g. assignment of short-term experts, training courses, traineeships or internships, trips for coordination, information, or other purposes.

3.2 Project Backstopping and Personnel Assignment

3.2.1 Project Backstopping Tasks

The **German project partner** is responsible for project backstopping. The expertise and experience of the German project partner should be mobilised for the project as extensively as possible. It is the task of the project backstopping staff to initiate and coordinate the measures stipulated in the project application and project plan with the available funds and to follow up on the intended target.

The **most important tasks** of project backstopping are:

- Content-related and financial monitoring of the project process on the basis of the project proposal, approval and planning matrix,
- Backstopping of the assigned project staff,
- Coordination with the foreign project partner(s),
- Recruiting of short-term experts,
- Organisation of project measures in Germany (e.g. training courses, information trips, public relations),
- Escorting of delegations of the foreign partner in Germany,
- Coordination with sequa before changes are made to the project orientation, the quantity structure or the budget
- Reporting on the project progress to sequa,
- Accounting of project expenditures to sequa.

3.2.2 Selection of Personnel for Project Backstopping

A person/team of several persons is/are appointed at the German partner for project backstopping. The chosen person(s) should be integrated into the organisational structure and workflow of the German partner. Corresponding to the requirements of project backstopping, personnel selection should be determined by the following criteria:

- Project-relevant language skills and experience abroad,
- Knowledge of the performance and experience potential of the German project partner, experience with BMO topics,
- Ability to cooperate and acceptance within the home organisation (chamber/association),
- Experience in project management and organisational talent,
- Good written skills,
- Computer literacy,
- Knowledge of budgetary und administrative issues,
- Basic knowledge of accounting.

3.2.3 Assignment of Long-Term Experts (LTEs)

Many projects of development cooperation, including many KVP Projects, work with a **delegated long-term expert (LTE)** who is active as a **permanent consultant** of the foreign partner organisation in the field. As an interface and mediator between the German and the foreign project partner, the long-term expert plays a central part in the project implementation process. The LTE will often be assisted by **local project staff**, e.g. a project assistant.

Many LTEs will stay in the field fulltime, i.e. they act as consultants to the partner organisation during the entire project term. More and more frequently, however, the **long-term experts** employed in projects will be **intermittent**, i.e. they are only in the field temporarily. The advantages of intermittent long-term expert assignments can be manifold:

- The "outside perspective" that is important for consulting activities and neutrality can be maintained more easily,
- the likelihood of personal contacts decreases,
- the integration into the German partner organisation can be maintained more easily,
- Periods of reflection and regeneration may be more easily achievable,
- time-outs for reflection or, if necessary, regeneration purposes may be realised more easily,
- the foreign partner(s) retain(s) his/their more autonomy and leeway,
- Personnel costs are lower and so a higher budget is available for the implementation of activities.

Aside from these effects, a number of personal and private aspects may play a role. Not infrequently, long-term assignments abroad may produce a certain fatigue and acceptance of existing circumstances up to a complete rejection of specific living conditions abroad. For understandable reasons, the temporary assignment of experts markedly reduces these effects and thus increases the performance and efficiency of the expert.

On the other hand, the assignment of intermittent experts can have serious disadvantages for partnership projects:

- Integration in the partner organisation cannot be as close as for a permanently present expert,
- participation in on-going processes in the partner organisation is not possible to the same degree as in case of a permanent stay,
- loss of information outside the project activities proper is a possibility,
- There is a danger of a break in activities when the expert is not in the field.

The decision for or against the assignment of intermittent long-term experts has to be made on a project-specific basis after a careful pro-and-contra analysis through (and discussion between) all participants that should, if possible, take place as part of the initial fact-finding mission. In this context both the development phase of the project and any already existing mutual experience between the partner organisations and/or persons is not insignificant. It will usually be relatively easy to turn permanent positions into intermittent ones after a certain period of time.

Sometimes the German partners may elect to do without the assignment of a long-term expert. In these cases, it will usually be the project backstopping staff who take over the project coordination in the field, which implies more travel activities for them. Such a management model normally only lends itself if a foreign partner has a certain performance level and can provide competent project management personnel as a direct counterpart.

The most important **tasks of the LTE** are:

- establishment of the necessary project infrastructure (project office, local staff, etc.),
- elaboration and updating of an operational plan on the basis of the project planning matrix in cooperation with the foreign partner,
- implementation of project measures, especially
 - content-related and organisational preparation of consulting assignments as well as support services for short-term experts,
 - preparation and organisation of training schemes for the foreign partner,
 - procurement of project material,
 - independent implementation of consulting and training measures,
- permanent dialogue and coordination with the German and foreign project partners in regard to all project activities,
- on-going project monitoring and development of possibly necessary requests for change,
- support for project progress control and organisational support of the PPC team in the field,
- coordination with other projects as well as official bodies, e.g. embassies and ministries abroad,
- reporting and accounting to the German project partner.

The **LTE** is the **crucial mediator** that connects the know-how of the German project partner and the development demand of the foreign project partner. He/she can only do justice to this function (and will normally only really be accepted by the foreign project partner) if he/she has sufficient experience in BMO work. This precondition should therefore only be deviated from in very well founded exceptional cases which have been analysed regarding possible consequences. The acceptance of the foreign partner often also depends on the age of the LTE (and the level of experience related to it) to a degree that should not be underestimated.

The following **requirement profile** can be derived from the LTE tasks:

- in-depth professional experience in BMO work, or, in exceptional cases, in other business areas,
- experience in the management of complex projects and command of relevant project management instruments and methods,
- relevant language skills,
- several years of work experience abroad, if possible in a developing country,
- interpersonal skills and ability to cooperate (in the target country and towards the project management agency),
- intercultural competence.

As a rule, both **German or European long-term experts**, will be assigned¹³. Generally, the precondition for acceptance of the expert by the foreign partner organisation is that the latter has agreed to the personnel selection before the LTE has been employed.

It is also possible, however, to assign experienced **local project coordinators** to this position. Some of the requirements or criteria named above, e.g. international work experience, will thus be fulfilled automatically. For management experience as well as interpersonal skills and the ability to cooperate equal measures apply. German language skills would be desirable. The most sensitive areas of the selection of local coordinators are their acceptance by, and assertiveness towards, the executives of the organisations which are to receive consulting, in-depth professional experience in German BMO work and the required close contact to the German project partners.

The decision-making process in regard to the possible assignment of a foreign long-term expert should thus also include careful consideration of whether he/she has sufficient knowledge of the work of the German partner organisation and whether the Germany-based staff sufficiently accepts, and is willing to cooperate with, him/her.

Intensive preparation is required before long-term experts are sent on an **assignment abroad**. This includes:

- coordination with the German project partner in regard to procedural questions and coordination issues,
- traineeship at the German partner organisation in case the long-term expert should not possess in-depth experience in BMO work,
- introductory instruction at sequa in regard to content-related and formal questions and procedures related to the management of KVP Projects,
- where appropriate, training in regard to project management tools and methods used in development cooperation (e.g. impact monitoring, moderation),
- language instruction and orientation course on regional conditions and customs,
- where appropriate, coordination visits to other German implementing organisations with projects in the partner country.

Some of the above points (e.g. familiarisation with KVP Project management, training in regard to project management tools and methods) equally apply to project backstopping at the German partner. Preparatory measures in regard to project backstopping and LTEs can be considered in project costing.

3.2.4 Assignment of Short-Term Experts (STEs)

Specific tasks require the assignment of short-term experts for consulting and/or training schemes. Since the know-how transfer from the German to the foreign partner is the focus of the project, usually **experts from the German partner** and/or the German BMO network will be assigned. However, the assignment of external short-term experts (STEs) is also possible, if these are able to fulfil the required tasks in a qualified or more cost-effective manner. Not only German STEs may be assigned here, but also local and other foreign LTEs.

¹³ For samples of LTE employment contracts cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 8 (sample texts).

The demand in regard to STEs will usually be defined in the course of operational planning. The experts are either recruited by the project coordinator in the field or requested by the foreign partner and then recruited and **contracted** by the German project partner. The secondment must be coordinated with the foreign partner prior to the assignment of the respective consultant. This also includes preparation of the description of tasks (**Terms of Reference**) for the assignment¹⁴. It comprises clear specifications of the tasks to be carried out and the targets of the assignment.

Professional qualification for the specified tasks is pivotal for the **selection** of experts. Important criteria are language skills, international work experience and intercultural competence.

Particularly in those cases where there are no long-term experts from the German partner is active in the field, decision-making about external short-term experts must also consider the fact that each STE appearing in the field is more or less regarded as a "representative" of the German project partner. External experts, too, should therefore possess at least a minimum of knowledge about the tasks, structures and staff of the German partner and be loyal to it. Moreover, as part of the **preparation process for the assignment**, the German partner should provide each STE with information about the concrete situation and the general background of the project as well as about the foreign partner.

Subsequent to the conclusion of an **STE assignment**, the foreign project partner should be asked for an **evaluation** (sample in **Appendix 6**). This assessment helps the project backstopping staff base the planning of follow-up assignments on the wishes of the partner. All participants of **workshops and seminars** should fill in an **evaluation sheet** at the end of the event (sample in **Appendix 7**).

As proof of the assignment, and by way of information for the German and foreign project partner, sequa as well as the auditor, the short-term expert must submit a report about the assignment. **STE reports** should include the following information:

- persons involved,
- date, location and duration of the measure,
- target of the measure, Terms of Reference,
- results of the assignment,
- actually implemented (not only the planned) programme (actual assignment process),
- in case of training schemes, information trips etc.: list of participants and other persons involved in the measure as well as a summary appraisal of the interim and/or final evaluation,
- recommendation for further action.

The STE report and contract¹⁵ (incl. Terms of Reference) constitute an obligatory part of the **documentation used for accounting** of the assignment to sequa.

¹⁴ Cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 8 (sample texts).

¹⁵ When the German partner assigns members of his own staff as STEs, these will usually be deployed under the terms of their existing employment contracts so that no separate contract has to be concluded. In addition to the STE Report and the Terms of Reference, such cases then require the German partner to supply a self-prepared document stating the resulting personnel costs as well as the master data file about the deployment of own STEs for accounting purposes.

3.3 Project Infrastructure and Equipment

3.3.1 Setting up a Project Office

One of the first measures necessary in the field is the establishment and equipping of a project office (if necessary combined with the employment of local project personnel). In this context, the question that arises frequently is whether the project office should be located directly on the premises of the **foreign partner** or elsewhere. The vicinity to the partner organisation offers a number of advantages, e.g. short distances, close ties to the partner organisation, identification of the project with the partner organisation. Situating the project office at the partner organisation should therefore always be examined as one of the first options.

If, as is frequently the case, the partner organisation has no available room, this can cause delays in the project, however. Attention should also be paid to avoiding a conflict of roles in case the project office is located at the foreign partner. The tasks and functions of the LTE and the project staff must therefore be clearly separated from the tasks of the partner organisation. The LTE should not be "misused" for the daily business of the partner.

In case the project cooperates in a **network with several partners** or cross-regionally, it will make sense to establish a stand-alone office in a **neutral location**. This will prevent that one partner is given preferential treatment. Additional criteria such as logistical (transport connections, central position in relation to the intervention area of the project etc.) and infrastructural aspects should also be given particular consideration in cross-regional projects if the situation requires it.

3.3.2 Procurement of Project Equipment

The BMZ funding guidelines stipulate that the German Official Contracting Terms for Tendering and Contracting of Services (Vergabe- und Vertragsordnung für Leistungen - VOL) must be applied when contracts and services are awarded.¹⁶ The VOL contains several different types of contracting. As a rule, BMO Partnership Projects are subject to **contracting based on limited tendering**. This will, in a first step, entail the identification of potential suppliers as well as the obtainment and documentation of at least three competitive offers. In duly justified exceptional cases, contracts may also be awarded directly. These exceptional cases include e.g. special qualification of the contractor, repeat orders and the urgency of an order. As a general rule, direct contracting in KVP Projects is admissible up to a **maximum of 5,000 €**

The VOL generally only applies to order placing in or from Germany. If **orders are placed in or from the partner country**, there are no rules and regulations specifying a particular formal procedure. However, in such cases, too, the principle of the economical application of funds applies just as the dictate to award contracts competitively and at appropriate prices to able bidders.

Pursuant to the VAT Act, shipment of equipment to a country outside the EU is considered an **export** and thus **exempted from VAT**. In this case, only **net costs** may be claimed in the invoice. The German project partner has several options to effect exemption from VAT:

¹⁶ Cf. also Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 3.2.

- **Export on behalf of the German project partner**
The equipment may be expedited abroad directly by the supplier or a haulier. This will not entail value-added tax.
- **Export through the German project partner**
The German partner itself may send equipment to the project country and request the relevant confirmation document from the customs authority at the border crossing. With this confirmation document, the partner can then obtain a billing rectification or VAT refund from the supplier.
- **Export on behalf of the foreign project partner**
The foreign partner can commission the German partner to purchase equipment in Germany on his behalf and account and then export it as part of the project.

3.3.3 Administration of Project Equipment

Pursuant to the funding guidelines of the BMZ, all equipment (e.g. vehicles, machines, hardware, tools, furniture, software etc.) which are financed from project funds (in whole or in part) and which amount to an acquisition or production value of more than 400 € must be inventoried. That means the German partner must compile a relevant detailed **inventory list**¹⁷.

In addition, a so-called **binding period** must be observed. Within this period of time (i.e. after purchase of a piece of equipment: 5 years for items over 5,000 €, 2 years for items over 400 €) equipment may not be sold, transferred or used in a manner not concordant with the project objectives, unless the prior consent of the BMZ has been obtained.

These rules apply regardless of whether the equipment is **administered** by the German project management agency, an expert or the foreign project partner or whether they are located in the project country or still in Germany.

At the termination of the project all equipment will usually be passed into the management of the foreign partner. This will be documented by a **handover certificate**.

An issue that frequently arises is whether the long-term expert may use the **project vehicle for private purposes**. This is regulated as follows: The vehicle may be used by the LTE for private trips unless these infringe on, or conflict with, its official purposes and a special arrangement between the LTE and the German project partner has been made. The private use of the project vehicle by relatives of the LTE and other persons is not permitted. Any use for private purposes should be restricted to the "locally unavoidable" degree. Agreements on the use of the company car can either consist of user fee or absorption of all direct operating costs (fuel and oil) for private and business trips.¹⁸

¹⁷ A sample of the inventory list can be found in the Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 3.3 und Ch. 8 (Sample Texts)

¹⁸ Cf. *ibid.*, Ch. 2.2.3.

3.4 Personnel Cost Subsidies to the Partner Organisation

Salary and material subsidies for the benefit of the foreign partner are possible to the extent to which they have been applied for and approved; however, they should remain the **exception**. They require special development-policy justification and are only possible if the foreign partner is not able to shoulder his own costs. Typical examples for the approval of salary and material subsidies are the establishment of new structures at the partner organisation, e.g. for business services.

Salary subsidies should only be paid in decreasing rates, i.e. on a declining scale and under the condition that the foreign project partner will continue to employ the subsidised personnel after German funding has terminated. As for other support measures comprised in BMO Partnership Projects, the question of sustainable financing is crucial. That means the support must be fashioned in such a way that the partner organisation will be able to continue providing the service both conceptually and financially after the project has ended.

Salaries that are subsidised through project funds must be documented regarding their compliance with **locally customary salary levels and their appropriateness**; the same applies to the salaries of local project staff. Written confirmation for the compliance of salaries with local customs and their appropriateness can be obtained e.g. from the German embassy in the respective country.

3.5 Training Programmes

The qualification of the fulltime and volunteer staff of the partner organisation as well as their member companies is a central element of all partnership projects. The success of a project is crucially determined by the results of the respective qualification measures. If possible, qualification schemes should be conducted in the partner country but they can also take place in Germany or third-party countries if necessary. The location of the training venue must be selected under consideration of the availability and quality of existing training offers as well as the dictate of the economic allocation of funds.

3.5.1 Training for Foreign Partners

Training of fulltime and volunteer staff is supposed to impart practical skills for professional leadership of a member organisation and thus directly aims at **institutional strengthening** of the partner. In principle, the following training measures for fulltime and volunteer staff of the foreign partners are possible:

- consulting by the long-term expert,
- consulting by internal or external short-term experts,
- internships and on-the-job training at the German partner organisation and/or comparable partner institutions at home and abroad,
- Organisation of seminars, workshops or conferences as well as participation in seminars conducted by third parties in the partner country or, if necessary, in Germany or other countries.

In terms of contents, duration and the number of participants, information events, consulting and further training events should be justified development-politically and designed in a fashion that enables an efficient implementation and best-possible re-

sults. Such events may only be funded in Germany if their goals cannot be achieved in the partner countries.

3.5.2 Training for Member Companies

Self-governing organisations of the private sector have the purpose to provide **services to companies** and boost their business and social performance potential. In this respect partnership projects are ultimately not about the promotion of self-governing organisations as such, but about the strengthening of their ability to increase the motivation and performance potential of enterprises — be it that these are already members of the organisation or are to be recruited as members — and thus contribute to an economically and socially efficient market economy.

Support for the companies will mainly occur in the form of qualification schemes for both, the management and the employees. These should focus on business and practical know-how, familiarisation with basic regulatory concepts as well as the establishment of business contacts. The following measures in particular have proved useful:

- Establishment of a range of seminars and consulting services for member companies,
- Establishment of information services,
- Organisation of trade fair participation,
- Internship placement.

To ensure the long-term survival of the partner organisations which is dependent on membership promotion, the above-named qualification schemes should always be open to non-members of the partner organisation, too, and be offered to them for an appropriate fee.

3.6 Public Relations Activities of the Project

KVP Projects may fund public relations measures for the foreign partner as well as the project itself. For the foreign partner, **professional public relations activities** are an important tool not only for the **politico-economic dialogue** with decision-makers but also for **membership recruitment**.

To improve the public relations work of the partner organisation, the following measures are frequently supported:

- Development of information brochures for the organisation,
- Publication of a newsletter,
- Development of a website for the partner organisation and the services it provides,
- Media appearances,
- Development of membership promotion tools (e.g. flyers, member folders),
- Trade fair participation and high-visibility events.

Project-related public relations work comprises e.g. the production of (printed) information material (brochure, flyers) and the presentation of the project on a project website which not only offers information about the project but the project part-

ners and sequa as well as their programmes, too. Project publications increase the **visibility of the project** in the partner country as well as in Germany and can be used as an effective tool for networking with other organisations and projects (cf. Ch. 3.7). All **project publications** must expressly state that the project is funded by the **BMZ via sequa**. Moreover, the BMZ design guidelines current at the specific point in time must be observed.

3.7 Cooperation with other Organisations and Projects

In the Declarations of Rome and Paris (cf. Ch. 1.1.3) the donor countries have pledged themselves to better mutual coordination with the aim of enhancing the effectiveness of development-policy measures. Even though KVP Projects are not financed as part of bilateral cooperation, the BMZ is committed to **donor harmonisation** in order to achieve and avoid duplicate funding.

sequa and the project partner are therefore obliged to seek cooperation with those bilateral or international projects, organs or institutions (national ministries, German Embassy, EU delegation, cross-regional BMOs, foreign project management agencies) which are involved in the same (or a similar) field or have the same (or a similar) aim in the partner country. This is especially essential since KVP Projects are not part of development-policy government negotiations and therefore often not explicitly named in the relevant protocols.

Quite often **networking with other projects and organisations** is already an element of the project fact-finding phase (cf. Ch. 2.2), i.e. the relevant organisations and projects are identified and contacted even before, or at least during, the fact-finding mission. This particularly concerns sustainable economic development programmes and projects by other donors, **primarily the GIZ** as the central agency of German technical cooperation. In case cooperation suggests itself, it makes sense to initiate formalised and/or institutionalised coordination mechanisms in the form of regular meetings or at least in the shape of an exchange of ideas.

Only mutual knowledge of the other party's approaches and methods allow an operationalisation of the desired **synergy effects**, e.g. through **transfer of best-practice models**. If cooperation (professional cooperation or coordination regarding the delimitation of the intervention zones of the individual ventures) becomes concrete, it can be regulated in a "Memorandum of Understanding" or more generalised "Principles of Cooperation" (e.g. re type of professional cooperation or even just to delineate the intervention areas of the individual projects).

The network approach can also be extended to include "regional meetings" between KVP Project leaders. A well-moderated but always professionally oriented and relaxed exchange between those who carry project responsibility can help avoid mistakes and disseminate best-practice models more speedily.

Even though cooperation with other organisations and projects is often considered "an inconvenient extra effort", it may have an added value for the project or partnership programme as well as the partner organisation that should not be underestimated. Not only does it increase the visibility of the project or partners, it also opens up new options for action and creates networks from which the foreign partner in particular may profit even after the project has ended.

3.8 Project Close-Out

As a general rule, KVP Projects consist of two funding phases of three years each. These **project phases** terminate in a **project progress control (PPC)** which will be conducted around six months before the end of the phase on behalf of sequa (cf. Chap. 4.4.). Aside from documenting the project results, the aim of the PPC and the resulting expert report is to provide a decision-making basis for a possible continuation of the project in a follow-up phase (PPC at the end of 1. phase) or a recommendation of measures geared towards the sustainable consolidation of the results achieved hitherto (PPC at the end of 2. phase). If the project is scheduled to end for good or if a PPC expert report recommends a **termination of the project** it is expedient to conduct an official project close-out, e.g. through a workshop in which both partners participate. Such a **close-out workshop** can include elements such as a retrospective evaluation of the partnership or — in view of further cooperation between the partners after the end of the project — a definition of relevant subjects and measures. Under certain conditions, it may also make sense to use the project close-out to achieve a political effect for the foreign project partner. In this case an internal workshop can be complemented by a **concluding conference** under participation of important business and political representatives from Germany and the partner country. Such a concluding conference should be carefully prepared, well-publicised and focus on a subject matter relevant to the partner organisation. This approach is especially expedient in BBP projects that centre on political dialogue.

At the end of the project, a **final report** that accords with sequa's sample annual report (see Ch. 4.3.2) as well as a final statement must be submitted to sequa. This also comprises a **handover certificate** which lists the equipment procured in the course of the project and passed into the management of the foreign partner (see Ch. 3.3.4). A maximum six months after the end of the project, sequa has to submit a final report on the expenditure of project funds to the BMZ, that comprises both „numeric proof“ as well as a „factual report“.¹⁹

¹⁹ Cf. also Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 3.6.

CHAPTER 4

Monitoring and Performance Control in KVP Projects



4. Monitoring and Performance Control in KVP Projects

4.1 Monitoring and Performance Measurement in DC Projects

4.1.1 Development-political Background

In the past, monitoring and analysis of the impacts of development cooperation projects has often been neglected. Project reports and performance measurement mostly concentrated on activities (input) and results (output), and rarely comprised the actual effects of interventions on the respective target groups of the projects. Against the background of the Aid-Effectiveness Agenda and the Paris Declaration (cf. Ch. 1.1.3), both donor and partner countries now attach greater importance to the question of the **impact of development projects**. In the field of private sector development, the Results Measurement Standard of the Donor Committee for Enterprise Development (DCED) is the internationally recognised yardstick for performance measurement²⁰. KVP Project monitoring and performance measurement, too, use these standards.

4.1.2 The OECD-DAC Criteria

To define binding principles and standardised criteria for evaluation in international development cooperation, the Organisation for Economic Cooperation and Development (OECD) and its Development Assistance Committee (DAC) have developed **evaluation criteria and standards**. These so-called DAC criteria are intended to ensure that the different donors follow the same procedure when they evaluate development measures so that the results can be compared.

The DAC has defined **five criteria** (relevance, effectiveness, efficiency, development impact and sustainability). These are accepted worldwide and crucial for the evaluation of the success of BMO Partnership Projects as well:²¹

- **Relevance:** Are we doing the right things? To what extent does the project aim at the solution of a core problem of the target group(s) that is of development-policy importance? Does the project target a crucial development bottleneck in the partner country? To what extent does the project approach correspond to the current level of knowledge and current conditions? Do the project objectives correspond to the needs of the target group(s), the policies of the cooperating country and the partner institutions, global development goals as well as the development focus of the federal German government?
- **Effectiveness:** Are we going to achieve the project targets? To what extent will the project targets be achieved in relation to the proposal and the planning matrix (comparison of targets and actual performance)? To what extent can the targets be said to be realistic (in retrospect)? Which factors were crucial for successful or failed target achievement (up to the present)?
- **Efficiency:** Will the economic targets be achieved through the development measure? Will the cost-benefit ratio of the project be adequate? Would there have been more efficient alternatives for target and impact achievement? Have

²⁰ For further commentary on the DCED Standard cf. <http://www.enterprise-development.org/page/measuring-and-reporting-results>

²¹ For further commentary on the DAC Criteria cf. www.bmz.de

outputs been achieved on time and results produced in an adequate period of time?

- **Overall development impact:** Will an adequate development impact be achieved? Which contributions does/did the project make to overall development goals (esp. poverty reduction)? In which fields have changes been effected? To what extent will the project have model character, lead to structural changes and have a broad impact? Which other effects (including negative ones) can be detected on the level of overall impact?
- **Sustainability:** Are the positive changes and effects resulting from the project going to be of a permanent nature? Which risks and which potentials are becoming evident as sustainable and how likely is it that these factors actually eventuate? Will the impacts after the end of the project more likely increase or decrease?

4.2 Impact Monitoring in KVP Projects

4.2.1 Fundamentals of Impact Monitoring

Three successive levels can be distinguished for project monitoring: **Activity monitoring** compares planned activities to those that have actually been implemented. **Result monitoring** investigates what these activities have achieved and to what extent they have achieved it. **Impact monitoring**, in its turn, is intended to determine the effects the project activities and results have had on the target group(s).

In this latter sense impact monitoring is defined as the **study and analysis of changes on the target-group level**. In the case of KVP Projects these target groups will be chambers and associations as intermediary organisations (direct target group) as well as their member enterprises or potential member organisations (final/indirect target group).

To establish a good and systematic impact monitoring, the following **guiding questions** should be asked and answered:

- Which changes have occurred and who is affected by them?
- How were these changes produced?
- To what extent can the identified changes actually be ascribed to the project measures?
- Why did expected changes not occur?

Depending on the addressee, the results of impact monitoring fulfil different **functions**:

- The donor(s) receive a **justification** for the use of the **funds already paid** and therefore a basis for the allocation of additional funds.
- The project team and the BMO staff receive a **planning and steering tool** with which they can speedily recognise and counteract undesirable developments.
- The target group and the general public receive **information** that allows them to form an opinion about the success or failure of the project and, if required, exert their influence.

As shown above, international donors, such as the BMZ, attach great importance to the presentation of project impacts. They demand a description of the impacts the project intends to achieve or has already achieved and that the project design already includes the definition of a system which enables **ongoing impact measurement** and the corresponding adjustment of project planning and implementation. Impact measurement can therefore not start as late as the end of a project; it has to be established at the start of a project through the **specification of indicators** as well as the **identification and documentation of the initial situation** (baseline study) on the basis of which targeted changes can later be measured.

Impact monitoring can require a great deal of expenditure in terms of time and money. It may sometimes be difficult to procure the data necessary to measure impacts. Not in all cases will it be possible to establish a clear connection between the project activities and their effect. Unrealistic project planning can lead to a failure to reach impacts and impact monitoring remains useless if the results have no influence on the further implementation of the project. These difficulties are no excuse, however, for neglecting impact monitoring, but stress the necessity for **project-aligned impact monitoring** that allows sound statements with a **justifiable use of resources**.

4.2.2 Impact Chains

Impact chains can be defined as the establishment of **causal relations between the activities of a project and the resulting effects**. Impact chains are the **central analysis tool** in Impact monitoring.

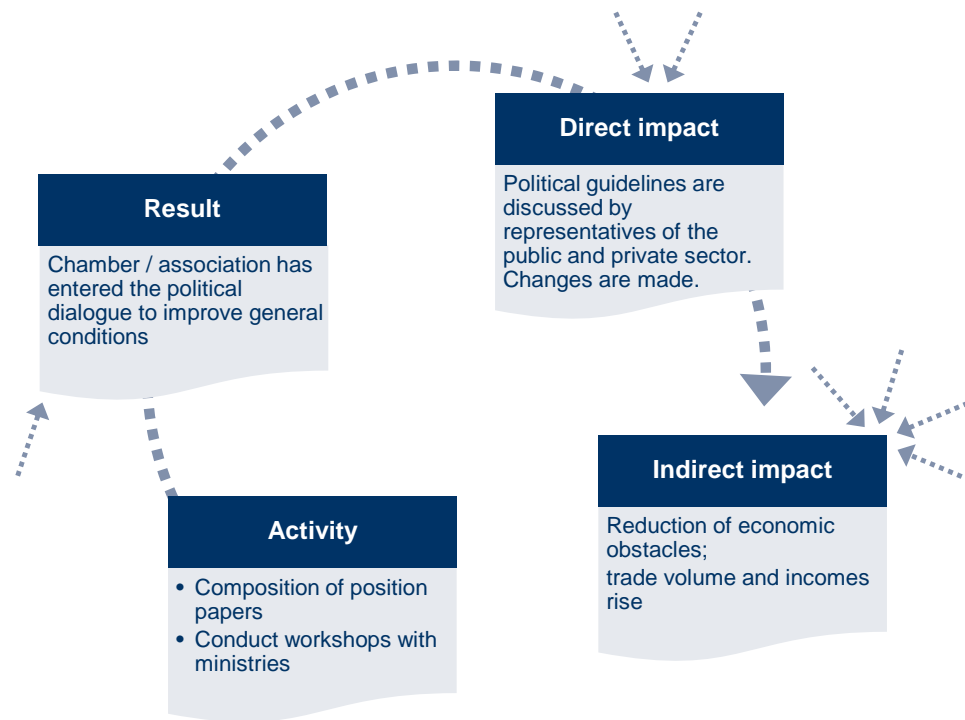
With the help of impact chains, **project planners can create hypotheses** about the sequence of input (activity) and effect, i.e. which changes are to be effected on the target group level through the planned project services. In case it is not possible to deduce the effect of an input by means of causal relations, this input will obviously not be relevant to the project success and should thus be omitted.

The establishment of impact chains is facilitated by the introduction and distinction of **different levels**.

- **Activity** = project measures, e.g. production of a training manual, organisation of training courses ⇒
- **Result** = direct result of a measure
e.g. a further training course on the subject of marketing for member companies has been introduced successfully ⇒
- **Direct impact** = effects on the level of the direct target group, e.g. partner chamber is more efficient and contributes to a better qualification of its members ⇒
- **Indirect impact** = effects on the level of the final target group, e.g. turnover and number of employees of the member enterprises is higher

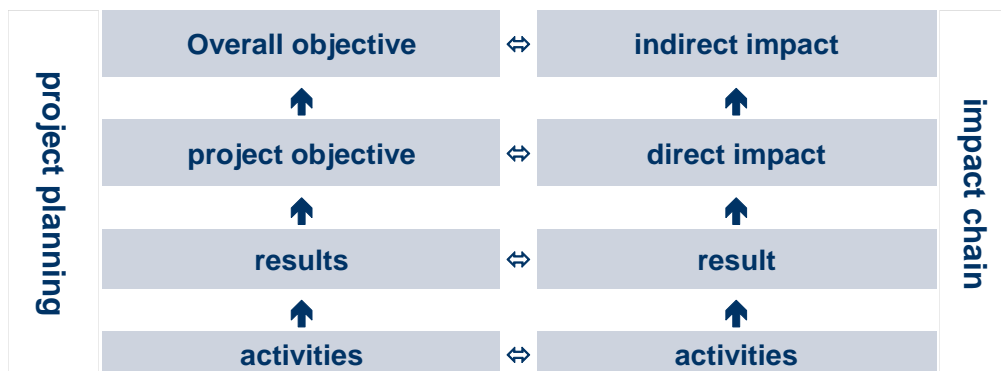
An impact chain links the different levels through identification of causal relations between them. The **impact chain of a KVP Project** in the field of advocacy could thus be defined as follows:

Fig. 2: Impact Chain



Impact chains do not exist in a vacuum but are part of project planning. Therefore simple **interfaces** can be deduced between the **project planning matrix** (cf. Cha. 2.3.4) and the levels of an impact chain²²:

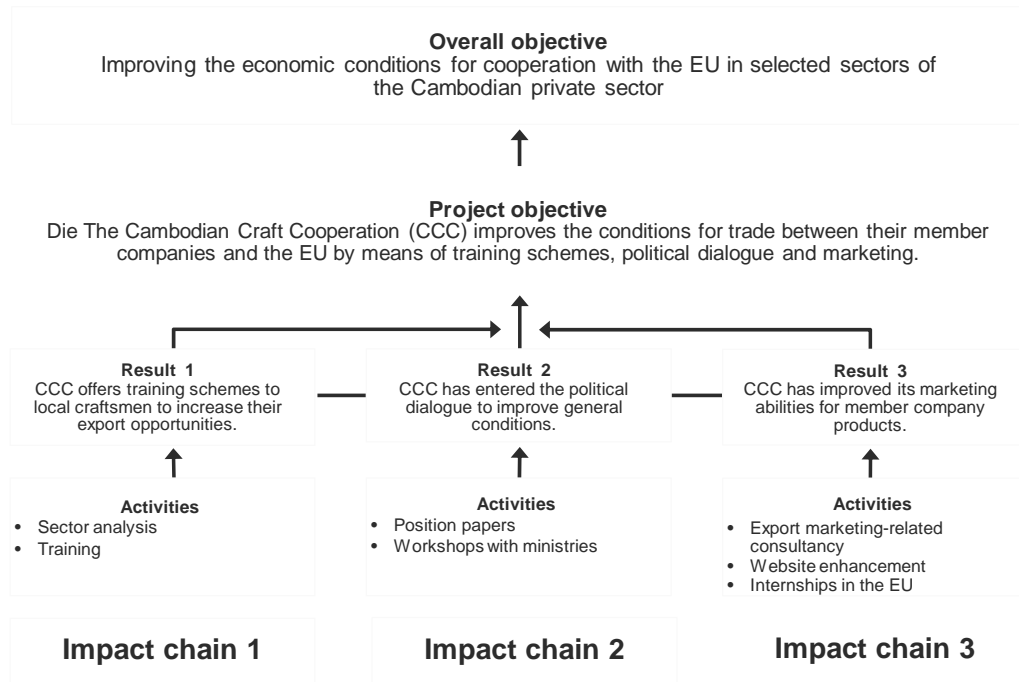
Fig. 3: Planning



The project example shown below illustrates the systemic **connections between impact chains and PPMs**. It shows, too, that the defined activities and results lead towards the same effect both on the project level as well as the overall level. In the logic of impact chains this means that different activities (inputs) and results (outputs) should result in the same direct and indirect effects (outcome/impact):

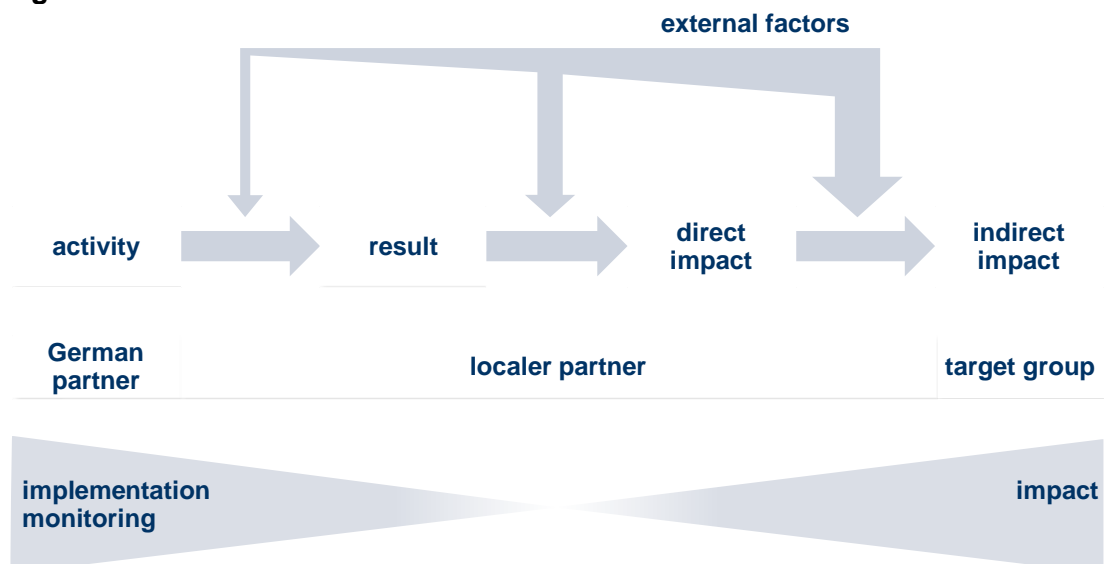
²² sequa has chosen the effectiveness model commonly used by GIZ (Input ⇒ activities ⇒ services ⇒ utilisation ⇒ direct benefit ⇒ indirect benefit) and adapted it to the purposes of the BMO Partnership Programme.

Fig. 4: Objectives



Aside from the project interventions themselves, diverse influences exist which effect the project from outside and **cannot be controlled**. Examples for such **external factors** are general economic conditions, changes in existing laws and environmental conditions. It is important to realise that external factors often have a strong impact on the success or failure of a project.

Fig. 5: External Factors



In the lower part of the impact chain the effect of external factors is still relatively small. Project participants are almost exclusively in control of whether an activity achieves the expected output. The further an impact chain is followed towards the intended result on the target group, the more difficult the correlation of input and effect, i.e. a **correlation gap** exists. In fact, numerous external influences exist on the indirect impact level and/or the level of the final target group which codetermine the result. External factors can therefore impair or increase the success of a project, but they can also lead to additional, unintended effects.

Although external factors cannot be controlled or influenced by the project, they have to be considered during project planning. To that purpose, so-called **risks and assumptions** are defined, i.e. a list containing the external factors which (could) influence a project as well as assumptions as to their possible development. If the production of this list leads to the result that an assumption is considered to be so grave that project success cannot be achieved, a considerable project risk exists and the entire project concept should be reconsidered.

The risks and assumptions listed in the course of project planning should be **documented** and **regularly monitored** during project implementation. This produces up-to-date risk assessment regarding external factors. To document the risks and assumptions of a project regarding the influence of external factors the project planning matrix contains a corresponding column (see Ch. 2.3.4).

The above connection between impact monitoring, PPM, impact chains and external factors can be visualised in summary form as follows:

4.2.3 Indicators

Indicators are **tools for the description and measurement of changes**. They are defined in the course of project planning so that participants can monitor during and after the implementation of the project whether planned targets and results have actually been achieved.

In KVP Projects indicators are only defined on the level of project results and the level of project objectives. On the level of the overall objective, i.e. the indirect effects of the project, no indicators are defined since the strong influence of external factors does not allow for clear correlation with project activities and indicators would therefore only be of very limited value.

Indicators are jointly defined by the project partners during the project planning phase. Between **two and four indicators each** should be formulated for both project objective and project results to do justice to the different aspects of the two.

Experience has shown that the definition of indicators is a complex and laborious process. Participants should take the required time for it, however, because indicators are not only the **central monitoring tools for performance measurement** but also allow both the timely identification of any possibly occurring problems and the creation of a **shared understanding of the project among the partners**.

To fulfil their function, indicators must meet **certain requirements**. A good indicator which allows objectively verifiable statements should possess the following characteristics and answers the following questions:

- What should change (**quality**)?
- How much or to what extent should something change (**quantity**)?
- By when should the change have occurred (**target date**)?
- In which organisations should the changes occur (**target group**)?
- Where should the changes occur (**place**)?

In addition, the following aspects should be considered when indicators are formulated and defined:

- Does the indicator measure something which has a relevant connection to the result or objective (**relevance**)?
- Can the changes described by the indicator actually be achieved by the project (**plausibility**)?
- Can the indicator be measured with an adequate amount of effort (**practicability**)?
- Are the changes the indicator is intended to have actually achievable (**realism**)?

In the international context, the qualitative requirements for the phrasing of indicators are often abbreviated in the form of the acronym SMART, i.e. an indicator should be **S**pecific – **M**easurable – **A**chievable – **R**ealistic – **T**ime-bound (**SMART**).

4.2.4 Data Acquisition

Only indicators which can be measured make sense and allow reliable conclusions about the success of a project. When indicators are formulated attention should always be paid to the ways in which they can be measured. This addresses the issue of **data acquisition** which serves as a basis for the **value identification of indicators**.

There are so-called qualitative as well as quantitative methods. **Quantitative methods** use interviews, questionnaires or the analysis of a random sample that should be as comprehensive and representative as possible to measure one or several characteristics. They are useful when it comes to comparing objective data over time as a basis from which developments can then be deduced. **Qualitative methods**, on the other hand, are much more open and flexible. They describe, interpret and help to understand connections.

The following **data acquisition tools** are relevant for KVP Projects:

Instrument	Strengths	Weaknesses
Use of existing data: Already existing and/or regularly acquired data from other sources (e.g. statistics, databases, files) are used for own monitoring process.	<ul style="list-style-type: none"> • Usually cost-efficient • Can lead to the identification of other interesting subjects • Can underpin observations 	<ul style="list-style-type: none"> • Can be time-consuming • Unreliable data can lead to wrong conclusions (e.g. statistics in some developing countries)
Own survey / Data acquisition: Systematic survey/study regarding a specific subject, e.g. analysis of the characteristics of SMEs from a specific sector.	<ul style="list-style-type: none"> • A large sample can be acquired • Insights are frequently gained through before-and-after comparisons (baseline, follow-up) 	<ul style="list-style-type: none"> • May turn out to be expensive

Instrument	Strengths	Weaknesses
<p>Focus group: Selected members of the target group are invited to a discussion or interview about a specific subject. The results are documented according to a predefined pattern.</p>	<ul style="list-style-type: none"> • Participants can describe experiences in their own words • Flexible method • Participatory 	<ul style="list-style-type: none"> • Can be time-consuming and expensive • Composition of group may be counterproductive (e.g. different hierarchies) • Cannot be generalised
<p>Individual interview: Certain project staff members or external resource persons are interviewed on the basis of standardised interview guidelines and results are documented.</p>	<ul style="list-style-type: none"> • See entry for Focus group • May be better suited to acquire information from executives 	<ul style="list-style-type: none"> • Can be time-consuming and expensive • Interviewer may influence answers
<p>Case study: Specific case examples are described and analysed on the basis of certain criteria, e.g. development of a company after participation in a training course.</p>	<ul style="list-style-type: none"> • Diverse information from documents, interviews and observations can be processed • Explanations for certain processes or decisions can be produced 	<ul style="list-style-type: none"> • Good case examples require competent presentation and analysis • Results cannot be generalised • Time-consuming • Repetition is difficult
<p>Observation: Persons and/or connections are monitored over a specific period of time. Observations are documented and used for deductions.</p>	<ul style="list-style-type: none"> • Generates comprehensive context information and data about changes 	<ul style="list-style-type: none"> • Can be time-consuming • Quality and benefit of the data depends on the abilities of the monitoring person • Results depend on interpretation

For financial and practical reasons, the use of **existing data** is the best method to measure indicators and should thus always be prioritised. Both BMO-internally and externally, extensive information which can be used by the project (e.g. member data bases and public statistics) is often available.

For surveys, own data acquisition and individual interviews a **questionnaire** will almost always be used. It contains pre-defined (open or closed) questions that should be addressed to (representatively or randomly) selected persons; the answers to these questions are subsequently documented, collected and evaluated. Questionnaires make it possible to reach a large number of people in a short period of time and thus generate a reliable data basis. In some types of survey, the respondents can answer anonymously and with sufficient time. The quality of the answers depends on the clarity of the questions, however; that means answers may be influenced by the nature of the question asked and/or the possible answers provided. A low response rate, too, may result for some types of survey.

It is important that the tools used allow a **before-and-after analysis**, i.e. that the situation at the end of the project can be compared with that at the beginning. As a rule, it is advisable for that reason to conduct surveys and interviews both at the beginning and the conclusion of a project.

The development of indicators in the course of the planning workshop should therefore always comprise the data acquisition method, i.e. **the source of verification**. This is recorded in the relevant part of the Project Planning Matrix (PPM). A complete sample PPM and a project example that includes indicators, sources of verification and assumptions have already been presented in Ch. 2.3.4.

An English-language overview of frequently used **indicators** and **data acquisition tools suitable for KVP Projects** is attached in Appendix 8.

4.2.5 Impact Monitoring in the Project Cycle

Impact monitoring plays **an important role in all phases of the project**. It should already be kept in mind right at the start of the project, i.e. during project planning. It is hard to correct lapses and errors which are made at the beginning of the project at a later stage and they may impair the quality of the project.

a) Appraisal/Planning/Application

The topic of impact monitoring should be assigned great importance in the assessment and planning phase, i.e. in that early stage in which the conceptual basis of the project is formed. The better the monitoring system defined, the better the quality of project implementation. It is during this phase, too, that local project partners should already be involved so that they can support the project from the start. That means, the planning workshop should already comprise the basics of the impact monitoring and the definition of impact chains for the main areas, indicators and sources of verification.

b) Approval

In the course of the approval process, the BMZ puts great emphasis on effective project design and may demand subsequent improvements.

c) Project Implementation

Since the effectiveness of development projects is focal, impact monitoring should constitute a central part of project management and reporting. Indicators are an important benchmark for project progress recording and essential when it comes to stop undesirable developments in time. Sufficient money and time should thus be earmarked for impact monitoring activities (e.g. data acquisition). Reporting should essentially occur on the basis of the predefined indicators.

d) Project Progress Control

The PPM, the impact monitoring system and impact-oriented reporting form the crucial basis for any project progress control and therefore have a crucial influence on the evaluation of the project as well as the recommendation for a possible follow-up phase that is derived from it.

4.3 Ongoing Monitoring and Reporting

4.3.1 Ongoing Monitoring

The term monitoring designates the **systematic and continuous examination of both result and target achievement during the entire project as well as the efficiency and effectiveness of project activities**. Monitoring is a priority task of the LTE and the project coordinator in the field respectively as well as of the backstopping staff at the German partner organisation. Monitoring fulfils the following **functions**:

- It determines the project progress (comparison of set targets and actual performance),
- It allows project partners to learn from prior project developments and experiences,

- It helps avoid undesirable developments,
- It helps steer further measures and the allocation of funds and therefore
- It improves and optimizes the concrete project work.

At the start of the project (if possible, as early as the project planning workshop), the project partners should determine a monitoring system as well as the corresponding responsibilities to guarantee systematic and continuous efficiency control during the entire project process. To support ongoing monitoring, sequa can provide tools.

4.3.2 Reporting in KVP Projects

The **project reports** are the **central tool for the documentation of project success** and the information of third parties about the project progress. The following reporting levels need to be distinguished:

- Regular reports submitted by the LTE and/or local coordinator to the project backstopping staff at the German project partner,
- Individual reports about project activities (see Ch. 3.1.5),
- Annual reports submitted by the German project partner to sequa as well as
- Annual report submitted by sequa to the BMZ.

sequa is obligated to submit an annual report on each individual partnership project to the BMZ. The basis for this paper consists of the corresponding reports by the German project partners. Pursuant to the forwarding agreement (see Ch. 3), the **German partner is obligated to submit the annual report to sequa by February 15 of each year**. This report will usually be compiled by the long-term expert and/or the project backstopper and should be sent to sequa by email.

The annual report is complemented and, if necessary, revised by sequa and forwarded to the BMZ; the latter will, in turn, forward it to several different departments as well as the Foreign Office, possible coordination agencies or other institutions of development cooperation. The report is therefore not only an important source of information for third parties, but also an advertisement for the project.

The BMZ requires sequa to submit brief, meaningful reports which are targeted at the projects outputs and impacts, which means that reporting should mainly occur on the result and target level with the help of the predefined indicators. In 2010 sequa agreed with the BMZ on an updated **reporting pattern** which is composed of the following elements:

Part I - Qualified Summary

This 1-to-2-page summary will be compiled by sequa.

Part II - Progress Report

1. Important developments in the project environment (1 page)

The BMZ and the Foreign Office (AA) are familiar with conditions in the field and therefore only require the following brief information about:

- important and project-relevant changes in the politic arena or the economy of the partner country,
- important and project-relevant changes at the partner organisation, unless these have already been listed in Chapter 3,

- new or different forms of cooperation between the project and other German and international projects.

2. Status of result achievement (3 - 6 pages)

A sub-chapter containing a table is created for each of the project results defined in the project proposal. The left column contains the indicators defined in the project proposal (in some cases specified in the project planning workshop). The right column contains comments on the extent to which each individual indicator has been achieved with the support of the project so far.

As a rule, additional comments will not be necessary. In exceptional cases, however, important progress or problems which cannot be assigned to existing indicators but should still be listed because they are relevant to the project outcome may be added at this point.

3. Overall evaluation and outlook (0.5 pages)

In a last step, a brief evaluation of the project progress based on the indicators for the project targets that were defined in the proposal (if existing) should be carried out and a short outlook on the following year should be given.

4.3.3 Financial Monitoring and Funds Flow Planning

As primary fund recipient, sequa is obligated to account for the allocation of funds received according to rules stipulated by the BMZ. Sequa has to **document and prove the used of funds**²³ and confirm that the expenses were necessary, that they were spent economically and that they accorded with the budget. The **principle** that funds are to be used "**economically**" is the blanket clause for the allocation and appraisal of all expenses. Moreover, the project structure stated in the proposal (and the measures and services it lists) as well as the financing plan must be complied with (budget item 1-9). sequa and the German partner organisation are obligated to adhere to these specifications in the course of project implementation and to ensure an **allocation of funds that conforms with the project proposal**.

A further requirement concerns the **flow of funds**. Pursuant to the principle of annuality, all monies approved for a financial year may be called in from the BMZ as required and must be spent appropriately within a period of six weeks (when expended in Germany) and a period of four months (when expended abroad) respectively. If it turns out that funds were not spent on time, the BMZ can demand debit interest.

The regulations of the BMZ as well as project-internal requirements make compact **financial monitoring** (cf. Ch. 3.1.3) through the LTE and/or the project backstopping staff indispensable. To this purpose, sequa requires the German partner to produce so-called **financing and activity plans** (sample in **Appendix 9**) at the start of each year and, if required, each midyear. These plans of expenditure that are structured on the basis of the budget items defined in the project proposal are not only an important tool for further budgeting for the German partner and should therefore be updated regularly. They are also essential for sequa in regard to follow-up on the funds flow in the individual BMO Partnership Projects and timely intervention in case problems arise. Moreover, they are an important basis for the examination of whether the actual allocation of funds conforms with that designated in the

²³ Cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 3.6.

project proposal, i.e. they show at an early stage if and where project changes may be required.

4.3.4 Project Changes and Coordination with the BMZ

In addition to the regular annual reporting obligations, other **duties of notification to the BMZ** exist. In particular, the BMZ must be informed immediately if²⁴:

- the intended use or the circumstances significant for the approval change or cease to apply or when the intended funding purpose can no longer be achieved,
- the project does not go according to plan or if other developments crucial to the project or the application of funds occur.

The BMZ will be notified by sequa after coordination with the German project partner. A decision will here need to be made whether the notification will occur in the form of an informal communication or a formal request for change.

A request for change is necessary whenever essential project fundamentals, determinants or the project concept change. These include:

- changes to the objectives and results of the project,
- changes to the project duration,
- an increase (or return) of funds,
- regroupings in the financing plan which lead to the increase of individual budget items (1-9) by more than 20% as well as
- the introduction of new activities that have not been designated in the financing plan.

The request for change is submitted to the BMZ by sequa. Requested changes may only be implemented after the **BMZ** has given its **approval**.

4.4 Project Progress Control in BMO Partnership Projects

4.4.1 Targets of a Project Progress Control (PPC)

The implementation of a **project progress control (PPC)** is one of the preconditions stipulated in the BMZ regulations for the proposal of a project prolongation (second main phase or consolidation phase). The PPC is initiated by sequa, which will commission an external expert experienced in development policy. This procedure is intended to guarantee both a well-founded evaluation of the project success on the basis of an independent outside view and enable additional suggestions for an improved project implementation.

Aside from the PPC commissioned by sequa, the BMZ expressly reserves the right to carry out or commission project progress controls and **evaluations** at any time.

Moreover, sequa and/or the BMZ will carry out **cross-sectional studies** on general or specific issue of the overall programme.

²⁴ Cf. Handbuch für die Zusammenarbeit zwischen sequa und Projektträgern, Ch. 2.2.2.

4.4.2 Functions and Contents of a PPC

As a rule, sequa organises a PPC around half a year before the end of a project phase. Aside from the external expert, a representative of the German partner organisation and of sequa will also participate.

The PPC involves a systematic analysis of the extent to which the objectives and results stipulated in the project application have been achieved. On the basis of this analysis, **recommendations for the continuation or the termination of the project** are made. This includes an examination of the project documents, interviews with representatives of the partner organisation, entrepreneurs, other projects, the German Embassy etc. The expert documents the results of the PPC in an **expert report** which is also submitted to the BMZ.

The **description of tasks (Terms of Reference) assigned to the expert is produced by sequa**. It should consider the special circumstances of each project and the questions that have arisen in the course of the project. The main structure of the Terms, however, is made up of the following points:

A. Contents of the Project Progress Control

1. General framework:

Political and economic conditions in the partner country that are relevant for the project should be outlined and evaluated in brief. Particular attention should here be paid to any changes which may have occurred since the start of the project and the effects these general conditions have had on target achievement and the implementation of measures in the course of the project. Moreover, analysis should be provided of the system of the institutionalized private sector, the BMO landscape in the partner country as well as the presence and status of international (project-relevant) projects and programmes.

2. Conceptual project design and impact chain:

The type of planning method for the overall project with the partner(s) should be outlined and evaluated in particular consideration of the completeness of the project plan, the involvement of the partner(s) as well as the practicability and demand-orientation of the project. In addition, the PPC should examine to what extent the project implementation deviated from the project plan, why this happened and how this deviation and its effects should be assessed. The impact chain underlying the project should also be described and commented upon.

3. Assessment on the basis of the OECD-DAC Criteria (see also Ch. 4.1.2):

- **Relevance**

The project is described and assessed considering its relevance for the target group, partner institution, partner country (its policies and strategies) and the predefined priority sectors if the BMZ.

- **Effectiveness/Target Achievement**

The PPC is focused on examining the contribution made by the project towards project target achievement. The results and indicators named by sequa in the project proposal serve as a basis for the examination. In addition, other positive or negative effects of the project should be described (if any).

- **General effect**
The indirect impacts of the project, its contribution to the achievement of the overall target and other overarching development objectives should also be described and assessed. The project contribution should be placed in a plausibly presented relation to the sectoral and regional project environment.
- **Profitability/Efficiency**
The project implementation process should also be described and evaluated considering the allocation of resources, project management, monitoring as well as the performance of the partner(s). In addition, the relation between the funds used and the impacts achieved should be assessed.
- **Sustainability**
The sustainability of the project and its indirect and direct impacts (see above) should be discussed against the backdrop of the financial and structural capabilities of the partner organisation.

4. Cross-Cutting Topics:

The contribution of the project and its impacts in regard to the cross-cutting topics defined by German DC (cf. sample outline for the expert report in the Appendix) should be described and evaluated (if applicable).

B. Conclusions and Recommendations

Based on the project process and the results achieved, an overall evaluation of the project should be carried out according to the OECD-DAC Criteria described above.

On this basis the expert will make recommendations as to whether the project should be continued in a 2. phase (PPC in 1. phase) and / or whether measures are required for the sustainability of the results achieved (PPC at the end of 2. phase). If the expert recommends such a continuation, the expert report should provide a recommendation regarding the form and contents of the 2. phase and / or the measures for achieving sustainability. In addition, the project implementation and the coordination process with other projects should be discussed.

At the end of the mission, a one-day workshop should be organised that is attended by as many project partners as possible and moderated by the expert. In the course of the workshop, the results of the mission as well as (if indicated) any objectives, results and measures of an additional project phase should be discussed.

The contents of the PPC, the conclusions drawn from it and recommendations made on its basis as well as the results of the workshop have to be recorded in the expert report; the **sample outline** compiled by sequa for PPC Reports in **Appendix 10** should be used here.

4.4.3 Organisation and Procedure of a PPC

Preparations for the organisation of a PPC should occur as early as possible to guarantee a trouble-free procedure. As the contractor of the PPC, sequa has the

main responsibility during this process. The organisational key points can be summarised as follows:

Time of PPC:	Circa half a year before the end of the project phase
Duration:	Usually ca. 1 week, possibly longer in case of cross-regional projects and/or several project partners
Funding:	As a rule, the PPC will already be considered during project planning and budgeted in the project application (budget item 9)
Participants:	<ul style="list-style-type: none"> • External expert (selected and contracted by sequa) • Representative (backstopper) of the German partner • Representative (project manager) of sequa
Role of the foreign partner:	In the run-up to the PPC, the foreign partner is informed about its contents and objectives; the programme is coordinated with him. If so desired, he can, at his own costs, nominate a representative who will participate in the PPC (this is only done in rare cases). The preliminary results are presented to the foreign partner at the end of the PPC and discussed with him.
Preparation in Germany:	<ul style="list-style-type: none"> • Consultations between the expert and the German partner as well as sequa, review of files and documents • Programme coordination between sequa, expert, foreign and German partner • Arrangements for consultations in the field (as agreed by the LTE, the German partner and the foreign partner or sequa) • Flights will usually be booked by sequa • Hotel accommodation and transport will usually be booked by the foreign partner
Dialogue partners in the field:	<ul style="list-style-type: none"> • Project participants (LTE, fulltime and volunteer staff of the foreign partner) • Target group (entrepreneurs – members and non-members) • Project environment (German Embassy, GIZ, representatives of other relevant projects, government representatives)
Conclusion of PPC:	At the end of the PPC, the project results are presented to the foreign partner (usually in the course of a workshop). In case of a clear recommendation to continue the project, the workshop may be combined with initial project planning for the follow-up phase.
Reporting:	At a date stipulated in the agreement, the expert sends a draft report to sequa and the German partner for coordination purposes. The final version will then be forwarded to the BMZ by sequa. In case of a positive recommendation for the continuation of the project sequa will submit a project proposal for a follow-up phase together with the expert report.

APPENDICES

Appendix 1: Sample Structure for Fact Finding Reports (in German)

Appendix 2: Example: Project Planning Matrix

Appendix 3: Example: Commentary to the Financing Plan for Information Purposes (in German)

Appendix 4: Example: Co-Contributions of the German Project Partner (in German)

Appendix 5: Example: Operational Planning

Appendix 6: Example: Evaluation of a Short-Term Expert Assignment

Appendix 7: Example: Workshop Evaluation

Appendix 8: Overview of typical Indicators for KVP projects

Appendix 9: Example: Activity and Financial Planning (in German)

Appendix 10: Sample Structure for PPC Reports (in German)

Kammer- und Verbandspartnerschaften (KVP)/ Berufsbildungspartnerschaften (BBP)

Gliederungsmuster für Projektprüfungsberichte

Inhaltsverzeichnis

Abkürzungsverzeichnis

0. ZUSAMMENFASSUNG [PRO SPRACHE 3-5 S.]

In deutscher und ggf. einer weiteren Sprache (siehe ToR)

1. VORBEMERKUNG [1 S.]

- Ziel der Untersuchung
- Ort und Zeitraum
- Methodologie
- Zusammensetzung des Teams

2. FESTSTELLUNGEN

2.1 Sozioökonomische, politische und sonstige Rahmenbedingungen [3-5 S.]

- Kurze Darstellung der für das Projekt relevanten sozioökonomischen und politischen Rahmenbedingungen und zu erwartender Einfluss auf die Projektdurchführung
- Entwicklungsengpässe sowie übergeordnete Politiken und Strategien des Partnerlandes im Bereich Privatsektorförderung bzw. Berufsbildung
- Bedarf und Kernprobleme der Zielgruppe(n) i. d. R. KMU oder Arbeitskräfte
- Schwerpunkte des BMZ (Aktionsprogramm 2015, Länder- und Sektorkonzepte, Schwerpunktbildung, Handreichung BBP, etc.)
- Präsenz und Stellenwert anderer projektrelevanter, internationaler Projekte und Programme (insbes. anderer von Deutschland finanzierter Projekte und Programme)

2.2 Organisationsanalyse [4-6 S.]

- System der verfassten Wirtschaft bzw. der Berufsbildung des Partnerlands und Rolle der verfassten Wirtschaft und der Unternehmen.
- Potenzielle(r) Partner (Kammern/Verbände: Mitglieder, Personal- und Büroausstattung, Ehrenamt, Einnahmen und Ausgaben, Leistungsangebote, Entwicklungspotentiale etc., im Falle von BBP-Projekten auch Berufsschulen: Schulmanagement, Lehrangebot, Anzahl Schüler, Umfang der Autonomie, Werkstätten, Zusammenarbeit mit der Wirtschaft, etc.)
- Andere Organisationen der verfassten Wirtschaft / Alternative Partner
- Andere wirtschaftsnahe Organisationen im System der Berufsbildung / Alternative Partner
- Stärken, Schwächen, Bedarfe und Entwicklungspotenziale der potenziellen Partner
- Beschreibung des deutschen Projektpartners

3. EMPFEHLUNGEN

3.1 Relevanz eines möglichen KVP/BBP-Projektes [2-4 S.]

- Ist ein KVP/BBP-Projekt in Übereinstimmung mit dem Bedarf und Kernproblemen der Zielgruppe(n) sowie der Partnerinstitution(en)?
- Entspricht ein KVP/BBP-Projekt den übergeordneten Politiken und Strategien des Partnerlandes sowie den Schwerpunkten des BMZ (Aktionsprogramm 2015; Länder- und Sektorkonzepte, Schwerpunktbildung, etc)?
- Sollte ein KVP/BBP -Projekt begonnen werden?

3.2 Ziele, Ergebnisse, Indikatoren [3-5 S.]

- Welche Berufsbildungsinstitution/en bzw. Organisation/en der verfassten Wirtschaft wird/ werden als Projektpartner empfohlen?
- Welches Oberziel, Projektziel und welche Ergebnisse und Indikatoren sowie Aktivitätencluster werden für das KVP/BBP-Projekt vorgeschlagen? Können geeignete Indikatoren zur besonderen Berücksichtigung des Genderaspektes identifiziert werden?
- Wie wurden die Projektpartner am Planungsprozess beteiligt?
- Unter welchen Annahmen und Risiken wird von einem Projekterfolg ausgegangen?

3.3 Wirkungskette [1-2 S.]

- Wie tragen die geplanten Aktivitäten und Ergebnisse zum beabsichtigten Projektziel bei? Definition der Zielgruppe(n). Wie wird die Zielgruppe erreicht?
- Plausible Zuordnung des möglichen Projektbeitrags zu Oberziel und sonstigen übergeordneten entwicklungspolitischen Zielsetzungen

3.4 Bedeutung von Querschnittsthemen [2-4 S.]

Welches sind die erwarteten Wirkungen des Projektes in Bezug auf die folgenden (soweit relevant) Querschnittsthemen der deutschen Entwicklungszusammenarbeit? Wie kann das Projekt den Querschnittsthemen ggf. bessere gerecht werden?

- Armutsminderung
- Gleichberechtigung der Geschlechter (Prüfen und Begründen, weshalb k/ein(e) Indikator(en) zum gender-Aspekt formuliert werden)
- Umwelt- und Ressourcenschutz, ökologische Nachhaltigkeit
- Good Governance
- Krisenprävention, Konfliktbearbeitung, Friedensentwicklung
- EPW Entwicklungspartnerschaften mit der Wirtschaft / develoPPP.de
- Menschenrechte

3.5 Nachhaltigkeit [1-2 S.]

- Einschätzung der Nachhaltigkeit der direkten und indirekten Wirkungen des Projektes sowie der finanziellen und strukturellen Möglichkeiten der Partnerorganisation(en) zur Beibehaltung der erreichten Leistungsfähigkeit
- Einordnung des Projektes und seiner Ziele/Wirkungen im Hinblick auf die 17 globalen Nachhaltigkeitsziele (*Sustainable Development Goals - SDGs*)

Appendix 1:

Sample Structure for Fact Finding Reports
BMO (KVP) Project Management Manual

3.6 Projektsteuerung und -durchführung [2-4 S.]

- Ressourcenbedarf, Zeit- und Personalplanung
- Art der Steuerung in Deutschland und Partnerland
- Monitoringsystem
- Aktivitäten
- Beiträge der Partner
- Abstimmung mit anderen Projekten und Programmen

4. SONSTIGE ERKENNTNISSE [0-2 S.]

- bei Bedarf

Anhang:

- Liste der Gesprächspartner
- Programm
- Dokumente und Publikationen

Appendix 2

Example: Project Planning Matrix (PPM)

BMO (KVP) Project Management Manual

Project Planning (LogFrame¹) sequa/DIHK – CEFTA Programme

Hierarchy of objectives	Indicators	Source of verification	Assumptions/ risks
Overall Objective: SMEs in Southeast Europe benefit from the options offered by the CEFTA Agreement and increase the income and employment opportunities in the region as a result.	(Not defined)		
Project Aim: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.	1. At least 50 CEFTA and SME related problems are solved with support of the Chamber, being supported by the project	<ul style="list-style-type: none"> List of identified problems and used solutions 	<ul style="list-style-type: none"> SME report existing problems
	2. At least 50 SME developed economic relationships through support by the Chambers	<ul style="list-style-type: none"> Questionnaire for SME regarding new relationships 	<ul style="list-style-type: none"> SME are interested in cooperation
Result 1 Know-how and management of the CEFTA Economic Chambers are strengthened with respect to their role in the implementation of CEFTA.	1. At least 10 seminars with approx. 20 participants each from Chambers are implemented on national and regional level	<ul style="list-style-type: none"> List of participants, agendas 	<ul style="list-style-type: none"> Chambers and chamber staff actively participate in the programme Chamber staff is supported by chambers CEFTA agreement remains in place
	2. At least 6 exchange stays take place for personnel of CEFTA Chambers in German Chambers	<ul style="list-style-type: none"> Exchange stay diary of participants 	
	3. At least 9 staff members of the Chambers have executed an internship having been offered by project partners	<ul style="list-style-type: none"> Exchange stay diary of participants 	
	4. At least 2 study tours regarding CEFTA-subjects are executed to Brussels	<ul style="list-style-type: none"> List of participants, programme 	
	5. In each Chamber a CEFTA-expert is selected and trained, who is actively involved in the topic of "CEFTA".	<ul style="list-style-type: none"> Name of expert, expertise, training received 	

¹ The LogFrame approach is not used by sequa for its projects and is thus not mandatory. For this reason the LogFrame has been revised regarding cost and requirements for activities (see below) to make it even more practice oriented and to make financial matters more transparent between project partners. sequa and all partners involved in the development of this LogFrame are well aware, that it differs for the "normal" LogFrame

Appendix 2

Example: Project Planning Matrix (PPM)
BMO (KVP) Project Management Manual

<p>Result 2 The CEFTA Economic Chambers provide SMEs with sustainable services and thereby strengthen their competitiveness for exploiting the opportunities offered by the CEFTA agreement.</p>	1. At least 10 seminars with CEFTA-subjects are implemented	<ul style="list-style-type: none"> List of participants, agendas 	<ul style="list-style-type: none"> SME report problems and are interested in support by the chambers Export sector of CEFTA countries develops positively
	2. At least once a year a joint exhibition booth is organised in Germany	<ul style="list-style-type: none"> Report 	
	3. At least 1 training programme for SME is developed	<ul style="list-style-type: none"> Training programme outline 	
	4. At least 1 cooperation meeting per year (match making) has taken place	<ul style="list-style-type: none"> Agenda, list of participants 	
	5. Each partner Chamber offers an information point/contact expert regarding CEFTA topics, which are used by the SME	<ul style="list-style-type: none"> Report of information point, service offers 	
<p>Result 3: The CEFTA Economic Chambers act as competent representatives of business in the political dialogue for the implementation of CEFTA.</p>	1. A top level conference is implemented once a year with high level participants from politics and public institutions	<ul style="list-style-type: none"> Agenda, list of participants 	<ul style="list-style-type: none"> Political level is open for dialogue CEFTA agreement remains in place
	2. A road map for implementation of CEFTA is developed jointly by all partner Chambers and submitted/discussed to/with the Authorities	<ul style="list-style-type: none"> Road map 	
	3. At least 3 publications are published per year regarding implementation of CEFTA and results (e.g. How to make business in CEFTA countries)	<ul style="list-style-type: none"> Publications 	
	4. Execution of a press campaign for economic relationship between Germany and CEFTA countries	<ul style="list-style-type: none"> Copies of publications 	
<p>Result 4: The CEFTA Economic Chambers have established a systematic and regular exchange of know-how and undertake joint activities.</p>	1. All project partners are well interlinked regarding CEFTA and have a common communication scheme in place	<ul style="list-style-type: none"> Reports, network outline, newsletters, reports by chambers (annual meeting) 	
	2. Working groups are interchanging information regarding CEFTA and actively support 3 initiatives in the frame of CEFTA.	<ul style="list-style-type: none"> Reports of working groups, list of members 	

Appendix 2

Example: Project Planning Matrix (PPM)

BMO (KVP) Project Management Manual

<p>Result 1 Know-how and management of the CEFTA Economic Chambers are strengthened with respect to their role in the implementation of CEFTA.</p>	<p>Indicators</p> <ol style="list-style-type: none"> 1. At least 10 seminars with approx. 20 participants each from Chambers are implemented on national and regional level 2. At least 6 exchange stays take place for personnel of CEFTA Chambers in German Chambers 3. At least 9 staff members of the Chambers have executed an internship having been offered by project partners 4. At least 2 study tours regarding CEFTA-subjects are executed to Brussels 5. In each Chamber a CEFTA-expert is selected and trained, who is actively involved in the topic of "CEFTA". 	
<p>Activities for result 1</p>	<p>Resources (Which resources will the partners bring in in order to support the achievement of the result and implement the activities?)</p>	<p>Cost (Which cost can the project cover to assist the partners in implementing the activities?)</p>
<p>A1.1 Organisation and implementation of seminars for managers of the Chambers e.g. on management, project management, clusters etc.</p>		
<p>A1.2 Organisation of exchange stays of Chambers from partner countries in Germany</p>		
<p>A1.3 Organisation of exchange stays of Chambers from partner countries in Chambers of Greece, Turkey, Bulgaria</p>		
<p>A1.4 Annual CEFTA Coordinators Meeting</p>		
<p>A1.5 Study tours for staff of the Chambers to European Chambers and organisations e.g. CEFTA Secretariat in Brussels</p>		
<p>A1.6 Selection of and special training for a CEFTA Expert in each Chamber</p>		
<p>A1.7 Development of individual strategy papers of the Chambers for implementation of CEFTA</p>		

Appendix 2

Example: Project Planning Matrix (PPM)
BMO (KVP) Project Management Manual

<p>Result 2 The CEFTA Economic Chambers provide SMEs with sustainable services and thereby strengthen their competitiveness for exploiting the opportunities offered by the CEFTA agreement.</p>	<p>Indicators</p> <ol style="list-style-type: none"> 1. At least 10 seminars with CEFTA-subjects are implemented 2. At least once a year a joint exhibition booth is organised in Germany 3. At least 1 training programme for SME is developed 4. At least 1 cooperation meeting per year (match making) has taken place 5. Each partner Chamber offers an information point/contact expert regarding CEFTA topics, which are used by the SME. 	
<p>Activities for result 2</p>	<p>Resources (Which resources will the partners bring in in order to support the achievement of the result and implement the activities?)</p>	<p>Cost (Which cost can the project cover to assist the partners in implementing the activities?)</p>
<p>A2.1 Assistance to Chambers in organisation and implementation of seminars for SME (incl. an application scheme)</p>		
<p>A2.2 Assistance to Chambers in participating in international trade fairs in CEFTA countries (incl. an application scheme)</p>		
<p>A2.3 Development of a guide "Doing Business in CEFTA Countries"</p>		
<p>A2.4 Training-of-Trainers for Chamber trainers</p>		
<p>A2.5 Assistance to Chambers in developing new training programmes for SME with regard to CEFTA</p>		
<p>A2.6 Assistance to Chambers in implementing annual B2B meetings (e.g. sector oriented)</p>		

Appendix 2

Example: Project Planning Matrix (PPM)

BMO (KVP) Project Management Manual

<p>Result 3: The CEFTA Economic Chambers act as competent representatives of business in the political dialogue for the implementation of CEFTA.</p>	<p>Indicators</p> <ol style="list-style-type: none"> 1. A top level conference is implemented once a year with high level participants from politics and public institutions 2. A road map for implementation of CEFTA is developed jointly by all partner Chambers and submitted/discussed to/with the Authorities 3. At least 3 publications are published per year regarding implementation of CEFTA and results (e.g. How to make business in CEFTA countries) 4. Execution of a press campaign for economic relationship between Germany and CEFTA countries. 	
<p>Activities for result 3</p>	<p>Resources</p>	<p>Cost (Which cost can the project cover to assist the partners in implementing the activities?)</p>
<p>A3.1 Organisation and implementation of top-level conferences with participation from ministries and public administration</p>		
<p>A3.2 Assistance to Chambers in participating in the annual CEFTA week</p>		
<p>A3.3 Development of a joint road map for all CEFTA country Governments on "How to make CEFTA work"</p>		
<p>A3.4 Assistance to Chambers for constant publication of news and information on CEFTA and annual development of a press-cutting folder</p>		
<p>A3.5 Training for Chamber staff and SME on Regulatory Impact Assessment (RIA) and assistance to Chambers in order to improve the national systems</p>		
<p>A3.6 Development of Strategy Papers for the implementation of CEFTA by the Chambers</p>		

Appendix 2

Example: Project Planning Matrix (PPM)

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<p>Result 4: The CEFTA Economic Chambers have established a systematic and regular exchange of know-how and undertake joint activities.</p>	<p>Indicators</p> <ol style="list-style-type: none"> All project partners are well interlinked regarding CEFTA and have a common communication scheme in place Working groups are interchanging information regarding CEFTA and actively support 3 initiatives in the frame of CEFTA. 	
<p>Activities for Result 4</p>	<p>Resources (Which resources will the partners bring in in order to support the achievement of the result and implement the activities?)</p>	<p>Cost (Which cost can the project cover to assist the partners in implementing the activities?)</p>
<p>A4.1 Development of a common communication scheme between partners</p>		
<p>A4.2 Development and maintenance of a CEFTA Project website</p>		
<p>A4.3 Development of a list of CEFTA problems to be solved and annual adaptation incl. solutions used</p>		
<p>A4.4 Development of a list (with assistance of a questionnaire) of non-tariff trade barriers in CEFTA countries</p>		
<p>A4.5 Implementation of a "CEFTA promotion tour" (businesses) to Germany</p>		
<p>A4.6 Support of the three national CEFTA working groups: (a) non-tariff trade barriers and technical standards, (b) agriculture and (c) rules of origin e.g. by assisting in implementing annual meetings</p>		

Appendix 3:

Example: Commentary to the Financing Plan for Information Purposes
 BMO (KVP) Project Management Manual



Ausgabenpositionen		Anzahl	Euro	Betrag in Euro
1.	Personalkosten des Langzeitexperten:			
1.1	Einsatz eines Langzeitexperten für 36 Fachkraftmonate; incl. aller personenbezogener Kosten (Umzug, Aus- und Rückreise, Heimaturlaub, ggf. Vorbereitung)	36	7.500,00	270.000,00
1.2	Reisekosten des LZE nach Europa zur Teilnahme an Konferenzen, Koordinierungsgesprächen etc.)	2	5.000,00	10.000,00
1.3	Reisekosten des LZE und des lokalen Projektpersonals innerhalb des Partnerlandes und Nachbarländer	1	10.000,00	10.000,00
1.4	Ergänzende Ausstattung des Projektbüros vor Ort (Lap-Top, Kopierer, etc.)	1	5.000,00	5.000,00
1.5	Ankauf Projektfahrzeug	1	15.000,00	15.000,00
1.6	Laufende Kosten Projektfahrzeug sowie laufende Kosten für Büro und Telekommunikation (Die Räumlichkeiten für das Projektbüro werden vom ausländischen Partner kostenfrei zur Verfügung gestellt)	36	300,00	10.800,00
Zwischensumme 1:				320.800,00
2.	Einsatz von Kurzzeitexperten für Beratungs- und Schulungsmaßnahmen:			
2.1	Einsatz von KZE des dt. Partners für Beratungs- und Schulungsmaßnahmen: ca. 3 Reisen à 10 Tage pro Jahr = 90 Tage à bis zu 310 Euro pro Tag Personalkostenerstattung)	90	310,00	27.900,00
2.2	Reisekosten für KZE des dt. Partners von durchschnittlich 4.000 € pro Einsatz	9	4.000,00	36.000,00
2.3	Einsatz von externen KZE für Beratungs- und Schulungsmaßnahmen: ca. 3 Reisen à 10 Tage pro Jahr = 90 Tage nach marktüblichen Sätzen à durchschnittlich 450 € pro Tag	90	450,00	40.500,00
2.4	Reisekosten für externe KZE ca. 4.000 € pro Einsatz	10	4.000,00	40.000,00
2.5	Einsätze von lokalen Fachkräften (inkl. lokale Reisekosten)	1	10.000,00	10.000,00
Zwischensumme 2:				154.400,00
3.	Zuschüsse zu Personal- und Sachkosten der Partnerorganisation:			
3.1	Zuschüsse zu Gehalt neuer Mitarbeiter im Bereich Politikdialog; (degressiv: 1. Jahr 90%; 2. Jahr 80%; 3. Jahr 60%)	1	6.000,00	6.000,00
Zwischensumme 3:				6.000,00
4.	Ausrüstungshilfen:			
4.1	Komplementäre Ausrüstung für Schulungsräume nach Bedarf und Absprache auf Planungsworkshop	1	20.000,00	20.000,00
Zwischensumme 4:				20.000,00
5.	Trainings- und Schulungsmaßnahmen einschließlich Entwicklung von Lehrmaterialien:			
5.1	Trainings- und Schulungsmaßnahmen für ca. 8 Mitarbeiter des ausl. Partners in Deutschland à durchschnittlich 15 Tage (Reisekosten, Lehrgangskosten, Betreuungskosten, Taschengeld, Dolmetscher etc.)	8	4.000,00	32.000,00
5.2	Trainings- und Schulungsmaßnahmen für Mitarbeiter des ausl. Partners im Partnerland (Reisekosten und Transportkosten vor Ort, Lehrgangskosten inkl. ggf. lokalem Trainer)	1	15.000,00	15.000,00
5.3	Entwicklung und Übersetzung von Lehr- und Lernmaterialien in den ausgewählten Bereichen	1	10.000,00	10.000,00
Zwischensumme 5:				57.000,00
6.	Öffentlichkeitsarbeit:			
6.1	Öffentlichkeitsarbeit des Projektes (Printmedien, Faltblätter, Website, Veranstaltungen, etc.)	1	10.000,00	10.000,00
Zwischensumme 6:				10.000,00
7.	Fachliche Beratung und Expertise für Projektdurchführung:			
	entfällt			0,00
Zwischensumme 7:				0,00

Appendix 3:

Example: Commentary to the Financing Plan for Information Purposes
 BMO (KVP) Project Management Manual



Ausgabenpositionen		Anzahl	Euro	Betrag in Euro
8.	<i>Fachliche Steuerung:</i>			
8.1	Personalkostenerstattung für fachliche Steuerung inkl. Sekretariats- und Abrechnungsunterstützung (ca. 40% Stelle)	36	2.200,00	79.200,00
8.2	Verbrauchsgüterpauschale	36	200,00	7.200,00
8.3	Reisekosten für ca. 3 Auslandsreisen à ca. 10 Tage der fachlichen Steuerung ins Projektland (und ggf. Region)	3	4.000,00	12.000,00
8.4	Reisekosten der fachlichen Steuerung in Deutschland, z.B. Abstimmung mit sequa	1	1.000,00	1.000,00
Zwischensumme 8:				99.400,00
9.	<i>Vorstudien, Projektplanung und sonstige Kosten:</i>			
9.1	Planungsworkshop zu Beginn des Projektes (Teilnahme sequa, externer Moderator, dt. u. ausl. Partner, inkl. Material, Raummiete, ggf. Verpflegung)	1	15.000,00	15.000,00
9.2	Projektfortschrittskontrolle im 3. Projektjahr (Gutachter, sequa, dt. Partner)	1	25.000,00	25.000,00
9.3	Kosten für eventuell anfallende Übersetzungen	1	2.000,00	2.000,00
Zwischensumme 9:				42.000,00
Direkte Projektausgaben (Summen 1 bis 9):				709.600,00
Pauschalvergütung für Verwaltungsaufwand (10 %):				70.924,00
GESAMTAUSGABEN:				780.524,00

Appendix 4

Example: Co-Contributions of the German Project Partner
BMO (KVP) Project Management Manual



Erfassungsbogen für die beabsichtigten (bzw. in der Schlußdokumentation: erbrachten) Eigenleistungen des deutschen Projektpartners

Projekt: Partnerschaftsprojekt zwischen

Laufzeit von xx.xx.xxxx bis xx.xx.xxxx = xxx Monate

Deutscher Projektträger:

1.	PERSONALLEISTUNGEN	Anzahl der Tage	Ansatz pro Tag in €	Gesamt in €
a)	Suche / Auswahl LZE			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
b)	KZE (510 € minus BMZ-Erstattung)			
-				0,00
-				0,00
-				0,00
c)	fachliche Beratung, Beirat etc.			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
d)	Schulungen etc. bei dt. Träger			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
e)	Gesamtkoordinierung u. -verantwortung			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
f)	Personalleistungen im Vorprojekt			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
g)	Sonstiges (Öffentlichkeitsarbeit etc.)			
-			510,00	0,00
-			510,00	0,00
-			510,00	0,00
			Personalkosten	
			fachliche	
			Steuerung für	
			ges. Laufzeit	
h)	Personalgemeinkosten d. fachl. Steuerung (30 % der Personalkosten für fachliche Steuerung)			
-		0,3		0,00
SUMME PERSONALLEISTUNGEN				0,00

Appendix 4

Example: Co-Contributions of the German Project Partner
BMO (KVP) Project Management Manual



2.	SACHLEISTUNGEN	Anzahl	Betrag in €	Gesamt in €
a)	Verbrauch fachliche Steuerung (510 € p.M. - BMZ Pauschale für Verbrauchsgüter)			0,00
b)	Sonstiges			
	- überlassene Ausrüstungsgüter u. Ausbildungshilfen			0,00
	- Facilities (Ansatz €0,51 pro qm/Tag)			0,00
	- Reisekosten			0,00
	- Repräsentation, Verpflegung			0,00
	-			0,00
	-			0,00
	-			0,00
	SUMME SACHLEISTUNGEN			0,00
	Gesamtsumme Eigenleistungen:			0,00

Erläuterungen zum Ausfüllen des Erfassungsbogens zu den Eigenleistungen des deutschen Partners

1. PERSONALLEISTUNGEN (nur soweit nicht durch Projektmittel finanziert)

a) Suche / Auswahl / Vorbereitung LZE

- Suchaufwand LZE (Organisation der Suche über Anzeigen, Vermittlungsstellen, etc.; Sichtung von Unterlagen,

Organisation von Vorstellungsgesprächen und Absagen)

- Einstellungsgespräch, Vertragsverhandlungen und Vertragsabschluß mit LZE

- Betreuung während Einarbeitung des LZE bei der deutschen Partnerorganisation

b) KZE (510,- € abzgl. BMZ-Erstattung)

- KZE-Einsätze des deutschen Partners mit Projektbezuschung entsprechend Finanzierungsplan

-

c) Fachliche Beratung, Beirat etc.

- Teilnahme von HGF, GF, sonstigen Führungskräften der deutschen Partnerorganisationen an Abstimmungsgesprächen und Beiratssitzungen ohne Projektbezuschung

- KZE-Einsätze/Besuchsreisen des deutschen Partners ohne Projektbezuschung

- Beratungsleistungen (z.B. in Rechtsfragen) des deutschen Partners ohne Projektbezuschung

-

d) Schulungen etc. bei dt. Träger

- Unterricht/Betreuung bei Praktikum durch Fachleute ohne Projektbezuschung

- Erstellung von Fach- und Lehrunterlagen durch Fachleute ohne Projektbezuschung

- Stellung von Referenten ohne Projektbezuschung

- Stellung von Begleitpersonal ohne Projektbezuschung

- Stellung von Dolmetscherleistungen ohne Projektbezuschung

-

Appendix 4

Example: Co-Contributions of the German Project Partner
BMO (KVP) Project Management Manual



- e) **Gesamtkoordinierung u. -verantwortung**
 - Personalverantwortung HGF/GF für LZE und fachliche Steuerung
 - Gesamtverantwortung HGF/GF für Partnerschaft, Vertragsabschluß, Außendarstellung
- f) **Personalleistungen im Vorprojekt (falls nicht dort als Eigenleistung eingebracht)**
 - Kommunikation und Kontaktaufbau mit Partner zur Projektvorbereitung
 - Stellung von Personal für Projektprüfung ohne Projektbezuschung
 - Vor- und Nachbereitung der Prüfung und Berichterstattung im Haus
 - Betreuung Besuchsdelegation des Partners
 -
- g) **Sonstiges (Öffentlichkeitsarbeit etc.)**
 - Erstellung, Redaktion und Veröffentlichung von Artikeln, Fotos und Internetseiten zum Projekt
 - Durchführung von Pressekonferenzen in Deutschland
 -

2. SACHLEISTUNGEN

- a) **Verbrauch fachliche Steuerung**
(510,- € p.M. - BMZ Pauschale für Verbrauchsgüter)
 -
- b) **Sonstiges**
 - überlassene Ausrüstungsgüter u. Ausbildungshilfen
z.B. Computer, Maschinen, Fahrzeuge, Lehrmaterialien, etc.
 - Facilities (Ansatz 0,51 € pro qm/Tag)
z.B. Stellung von Räumen für Seminare, Sitzungen, Schulungen, etc.; Stellung von Messeflächen, Standbau, Dekoration
 - Reisekosten (soweit nicht durch Projekt finanziert)
z.B. innerdeutsche Reisekosten der fachlichen Steuerung, Reisen ins Partnerland ohne Projektbezuschung, Versicherungen, Trinkgelder, Gastgeschenke, die nicht im Rahmen des Projektes abgerechnet werden können
 - Repräsentation, Verpflegung
z.B. Bewirtung ohne Projektbezuschung,

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

sequa / DIHK CEFTA Programme Operation Plan (2010-2013)

	Finalised or not started		Implementation of task with sub-tasks under implementation
	Implementation of task or sub-task		Not timely fixed yet but to be implemented in the given period

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 1 (July 2010 to April 2011)																	
		07	08	09	10	11	12	01	02	03	04								
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
Result 1: Know-how and management of the CEFTA Economic Chambers are strengthened with respect to their role in the implementation of CEFTA.																			
A1.1 Organisation and implementation of seminars for managers of the Chambers e.g. on management, project management, clusters, etc.																			To be continued with the same scheme in Year 2
A1.1.1 Development of an application scheme																DIHK	Application form		
A1.1.2 Application																Chambers		Application	
A1.1.3 Decision on assistance																DIHK	List		
A1.1.4 Implementation																Chambers	Finances Trainers	Participants	
A1.2 Organisation of exchange stays of Chambers from partner countries in Germany																			To be continued with the same scheme in Year 2
A1.2.1 Development of an application scheme																DIHK	Application form		
A1.2.2 Application																Chambers		Application	
A1.2.3 Decision on assistance																DIHK	List		
A1.2.4 Implementation																Chambers	Finances Trainers	Participants	
A1.3 Organisation of exchange stays of Chambers from partner countries in Chambers of Greece, Turkey, Bulgaria																			To be continued with the same scheme in Year 2
A1.3.1 Development of an application scheme																DIHK	Application form		
A1.3.2 Application																Chambers		Application	
A1.3.3 Decision on assistance																DIHK	List		
A1.3.4 Implementation																Chambers	Finances Trainers	Participants Hosts	
A1.4 Annual CEFTA Coordinators Meeting																DIHK	Finances	Participants	In Germany
A1.5 Study tours for staff of the Chambers to European Chambers and organisations e.g. CEFTA Secretariat in Brussels																DIHK Chambers	Finances Hosts	Participants	
A1.6 Selection of and special training for a CEFTA expert in each Chamber																Chambers			
A1.6.1 Selection of experts																Chambers			To be determined
A1.6.2 Training implementation																DIHK	Finances Experts	Experts	To start in in Year 2

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 1 (July 2010 to April 2011)																	
		07	08	09	10	11	12	01	02	03	04								
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
A1.7 Development of individual strategy papers for the Chambers for implementation of CEFTA															each Chamber DIHK	Coordination Consultancy	Development of Strategy	To be continued in Year 2	
Result 2: The CEFTA Economic Chambers provide SMEs with sustainable services and thereby strengthen their competitiveness for exploiting the opportunities offered by the CEFTA agreement.																			
A2.1 Assistance to Chambers in organisation and implementation of seminars for SME (incl. an application scheme)																			To be continued with the same scheme in Year 2
A2.1.1 Development of an application scheme																DIHK	Application form		
A2.1.2 Application																Chambers		Application	
A2.1.3 Decision on Assistance																DIHK	List		
A2.1.4 Implementation																Chambers	Finances (Trainers)	Participants Organisation	
A2.2 Assistance to Chambers in participating in international trade fairs in CEFTA countries (incl. an application scheme)																			To be continued with the same scheme in Year 2
A2.2.1 Development of an application scheme																DIHK	Application form		
A2.2.2 Application																Chambers		Application	
A2.2.3 Decision on assistance																DIHK	List		
A2.2.4 Implementation																Chambers	Finances Organisation	Participants Organisation	
A2.3 Development of a guide "Doing Business in CEFTA Countries"																			
A2.3.1 First draft of table of contents																Chamber Croatia			
A2.3.2 Development of gGuide																all Chambers			To be continued in Year 2
A2.4 Training-of-Trainers for Chamber trainers																DIHK	Expertise Finances	Needs Participants	To be continued in Year 2
A2.5 Assistance to Chamber in developing new training programmes for SME with regard to CEFTA																			To start in in Year 2
A2.6 Assistance to Chambers in implementing annual B2B meetings (e.g. sector oriented)																			To start in in Year 2
Result 3: The CEFTA Economic Chambers act as competent representatives of business in the political dialogue for the implementation of CEFTA.																			
A3.1 Organisation and implementation of top-level conferences with participation from ministries and public administration																			To start in in Year 2
A3.2 Assistance to Chambers in participating in the annual CEFTA week																DIHK all Chambers	Finances Organisation	Expertise Participants	
A3.3 Development of a joint road map for all CEFTA country Governments on "How to make CEFTA work"																			To be continued in Year 2 List of problems builds the basis (A4.3)

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 1 (July 2010 to April 2011)																	
		07	08	09	10	11	12	01	02	03	04								
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
A3.4 Assistance to Chambers for constant publication of news and information on CEFTA and annual development of a press-cutting folder															all Chambers		Publications		
A3.5 Training for Chamber staff and SME on Regulatory Impact Assessment (RIA) and assistance to Chambers in order to improve the national systems																			To start in in Year 2
A3.6 Development of Strategy Papers for the implementation of CEFTA by the Chambers															all Chambers	Expertise	Experts development	To be continued in Year 2	
Result 4: The CEFTA Economic Chambers have established a systematic and regular exchange of know-how and undertake joint activities.																			
A4.1 Development of a common communication scheme between partners															DIHK	Expertise	Addresses etc.		
A4.2 Development and maintenance of a CEFTA Project web-site															Chamber Serbia	Finances	Planning Implement.	To be linked to CEFTA web-site and vice versa	
A4.3 Development of a list of CEFTA problems to be solved and annual adaptation incl. solutions used															Chamber Macedonia	Coordination	Problems	To be finalised after CEFTA week	
A4.4 Development of a list (with assistance of a questionnaire) of non-tariff trade barriers in CEFTA countries															all Chambers	Coordination	Barriers	To be part of list of problems	
A4.5 Implementation of a "CEFTA promotion tour" (businesses) to Germany																			To start in Year 2
A4.6 Support of the three national CEFTA working groups: (a) non-tariff trade barriers and technical standards, (b) agriculture and (c) rules of origin e.g. by assisting in implementing annual meetings															DIHK all Chambers	Coordination Finances	Participants	Jointly with CEFTA week	

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 2 (Mai 2011 to April 2012)																	
		05	06	07	08	09	10	11	12	01	02	03	04						
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
Result 1: Know-how and management of the CEFTA Economic Chambers are strengthened with respect to their role in the implementation of CEFTA.																			
A1.1 Organisation and implementation of seminars for managers of the Chambers e.g. on management, project management, clusters, etc.																			Continued from Y 1
A1.1.1 Development of an application scheme																			Finalised in Y 1
A1.1.2 Application															Chambers		Application		
A1.1.3 Decision on Assistance															DIHK	List			

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 2 (Mai 2011 to April 2012)																	
		05	06	07	08	09	10	11	12	01	02	03	04						
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
A1.1.4 Implementation															Chambers	Finances Trainers	Participants		
A1.2 Organisation of exchange stays of Chambers form partner countries in German																			Continued from Y 1
A1.2.1 Development of an application scheme																			Finalised in Y 1
A1.2.2 Application															Chambers		Application		
A1.2.3 Decision on Assistance															DIHK	List			
A1.2.4 Implementation															Chambers	Finances Trainers	Participants		
A1.3 Organisation of exchange stays of Chambers form partner countries in Chambers of Greece, Turkey, Bulgaria																			Continued from Y 1
A1.3.1 Development of an application scheme																			Finalised in Y 1
A1.3.2 Application															Chambers		Application		
A1.3.3 Decision on Assistance															DIHK	List			
A1.3.4 Implementation															Chambers	Finances Trainers	Participants Hosts		
A1.4 Annual CEFTA Coordinators Meeting															DIHK	Finances	Participants		To be determined
A1.5 Study tours for staff of the Chambers to European Chambers and organisations e.g. CEFTA Secretariat in Brussels																			Finalised in Y 1
A1.6 Selection of and special training for a CEFTA Expert in each Chamber															Chambers				To be determined
A1.6.1 Selection of experts																			Finalised in Year 1
A1.6.2 Training implementation															DIHK	Finances Experts	Experts		To be determined
A1.7 Development of individual strategy papers for the Chambers for implementation of CEFTA															each Chamber DIHK	Coordination Consultancy	Development of Strategy		Continued from Y 1 Finalisation to be determined
Result 2: The CEFTA Economic Chambers provide SMEs with sustainable services and thereby strengthen their competitiveness for exploiting the opportunities offered by the CEFTA agreement.																			
A2.1 Assistance to Chambers in organisation and implementation of seminars for SME (incl. an application scheme)																			Continued from Y 1
A2.1.1 Development of an application scheme																			Finalised in Y 1
A2.1.2 Application															Chambers		Application		
A2.1.3 Decision on assistance															DIHK	List			
A2.1.4 Implementation															Chambers	Finances (Trainers)	Participants Organisation		
A2.2 Assistance to Chambers in participating in international trade fairs in CEFTA countries (incl. an application scheme)																			Continued from Y 1

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 2 (Mai 2011 to April 2012)																	
		05	06	07	08	09	10	11	12	01	02	03	04						
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
A2.2.1 Development of an application scheme																Chambers		Application	Finalised in Y 1
A2.2.2 Application																DIHK	List		
A2.2.3 Decision on assistance																Chambers	Finances Organisation	Participants Organisation	
A2.2.4 Implementation																			
A2.3 Development of a guide "Doing Business in CEFTA Countries"																			Continued from Y 1 Finalisation to be determined
A2.3.1 First draft of table of contents																			Finalised in Y 1
A2.3.2 Development of guide																all Chambers and Chamber Croatia			Continued from Y 1 finalisation to be determined
A2.4 Training-of-Trainers for Chamber trainers																DIHK	Expertise Finances	Needs Participants	To be determined
A2.5 Assistance to Chamber in developing new training programmes for SME with regard to CEFTA																			To be determined
A2.6 Assistance to Chambers in implementing annual B2B meetings (e.g. sector oriented)																			To be determined
Result 3: The CEFTA Economic Chambers act as competent representatives of business in the political dialogue for the implementation of CEFTA.																			
A3.1 Organisation and implementation of top-level conferences with participation from ministries and public administration																			To be determined
A3.2 Assistance to Chambers in participating in the annual CEFTA week																DIHK all Chambers	Finances Organisation	Expertise Participants	To be determined
A3.3 Development of a joint road map for all CEFTA country Governments on "How to make CEFTA work"																DIHK all Chambers			Continued from Y 1 finalisation to be determined
A3.4 Assistance to Chambers for constant publication of news and information on CEFTA and annual development of a press-cutting folder																all Chambers		Publications	
A3.5 Training for Chamber staff and SME on Regulatory Impact Assessment (RIA) and assistance to Chambers in order to improve the national systems																DIHK	Finances (Trainers)	Expertise Participants	To be determined
A3.6 Development of individual Strategy Papers for the implementation of CEFTA by the Chambers																all Chambers	Expertise	Experts development	Continued from Y 1 Finalisation to be determined
Result 4: The CEFTA Economic Chambers have established a systematic and regular exchange of know-how and undertake joint activities.																			
A4.1 Development of a common communication scheme between partners																			Finalised in Y 1
A4.2 Development and maintenance of a CEFTA Project web-site																Chamber Serbia	Finances	Planning Implement.	To be continued from Y 1

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark	
		Year 2 (Mai 2011 to April 2012)																
		05	06	07	08	09	10	11	12	01	02	03	04					
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																		
A4.3 Development of a list of CEFTA problems to be solved and annual adaptation incl. solutions used															Chamber Macedonia	Coordination	Problems	To be finalised after CEFTA week
A4.4 Development of a list (with assistance of a questionnaire) of non-tariff trade barriers in CEFTA countries																		Finalised in Y 1, possibly to be added on in each year
A4.5 Implementation of a "CEFTA promotion tour" (businesses) to Germany															DIHK			To be determined
A4.6 Support of the three national CEFTA working groups: (a) non-tariff trade barriers and technical standards, (b) agriculture and (c) rules of origin e.g. by assisting in implementing annual meetings															DIHK all Chambers	Coordination Finances	Participants	To be determined

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark	
		Year 3 (May 2012 to Project End)																
		05	06	07	08	09	10	11	12	01	02	03	04					
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																		
Result 1: Know-how and management of the CEFTA Economic Chambers are strengthened with respect to their role in the implementation of CEFTA.																		
A1.1 Organisation and implementation of seminars for managers of the Chambers e.g. on management, project management, clusters etc.																		Continued from Y 2
A1.1.1 Development of an application scheme																		Finalised in Y 1
A1.1.2 Application															Chambers		Application	
A1.1.3 Decision on assistance															DIHK	List		
A1.1.4 Implementation															Chambers	Finances Trainers	Participants	
A1.2 Organisation of exchange stays of Chambers form partner countries in Germany																		Continued from Y 2
A1.2.2 Application															Chambers		Application	
A1.2.3 Decision on assistance															DIHK	List		
A1.2.4 Implementation															Chambers	Finances Trainers	Participants	
A1.3 Organisation of exchange stays of Chambers form partner countries in Chambers of Greece, Turkey, Bulgaria																		Continued from Y 2
A1.3.1 Development of an application scheme																		Finalised in Y 1
A1.3.2 Application															Chambers		Application	
A1.3.3 Decision on assistance															DIHK	List		
A1.3.4 Implementation															Chambers	Finances Trainers	Participants Hosts	
A1.4 Annual CEFTA Coordinators Meeting															DIHK	Finances	Participants	To be determined

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 3 (May 2012 to Project End)																	
		05	06	07	08	09	10	11	12	01	02	03	04						
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
A1.5 Study tours for staff of the Chambers to European Chambers and organisations e.g. CEFTA Secretariat in Brussels																			Finalised in Y 1
A1.6 Selection of and special training for a CEFTA expert in each Chamber																Chambers			To be determined
A1.6.1 Selection of experts																			Finalised in year 1
A1.6.2 Training implementation																DIHK	Finances Experts	Experts	To be determined
A1.7 Development of individual strategy papers for the Chambers for implementation of CEFTA																			Finalised in Year 2
Result 2: The CEFTA Economic Chambers provide SMEs with sustainable services and thereby strengthen their competitiveness for exploiting the opportunities offered by the CEFTA agreement.																			
A2.1 Assistance to Chambers in organisation and implementation of seminars for SME (incl. an application scheme)																			Continued from Y 1
A2.1.1 Development of an application scheme																			Finalised in Y 1
A2.1.2 Application																Chambers		Application	
A2.1.3 Decision on assistance																DIHK	List		
A2.1.4 Implementation																Chambers	Finances (Trainers)	Participants Organisation	
A2.2 Assistance to Chambers in participating in international trade fairs in CEFTA countries (incl. an application scheme)																			Continued from Y 1
A2.2.1 Development of an application scheme																DIHK	Application form		
A2.2.2 Application																Chambers		Application	
A2.2.3 Decision on assistance																DIHK	List		
A2.2.4 Implementation																Chambers	Finances Organisation	Participants Organisation	
A2.3 Development of a guide "Doing Business in CEFTA Countries"																			Finalised in Year 2
A2.3.1 First draft of table of contents																Chamber Croatia			Finalised in Y 1
A2.3.2 Development of guide																all Chambers			Finalised in Year 2
A2.4 Training-of-Trainers for Chamber trainers																DIHK	Expertise Finances	Needs Participants	To be determined
A2.5 Assistance to Chamber in developing new training programmes for SME with regard to CEFTA																			To be determined
A2.6 Assistance to Chambers in implementing annual B2B meetings (e.g. sector oriented)																			To be determined

Appendix 5:

Example: Operational Planning
BMO (KVP) Project Management Manual

Results / activities	Deadline	Implementation												Responsible	sequa/ DIHK input	Partner input	Remark		
		Year 3 (May 2012 to Project End)																	
		05	06	07	08	09	10	11	12	01	02	03	04						
Objective: The Chambers of the CEFTA countries are qualified for an active role in the implementation the CEFTA Agreement, particularly with respect to promoting SMEs.																			
Result 3: The CEFTA Economic Chambers act as competent representatives of business in the political dialogue for the implementation of CEFTA.																			
A3.1 Organisation and implementation of top-level conferences with participation from ministries and public administration																			To be determined
A3.2 Assistance to Chambers in participating in the annual CEFTA week																DIHK all Chambers	Finances Organisation	Expertise Participants	To be determined
A3.3 Development of a joint road map for all CEFTA country Governments on "How to make CEFTA work"																DIHK all Chambers			Finalised in Year 2
A3.4 Assistance to Chambers for constant publication of news and information on CEFTA and annual development of a press-cutting folder																all Chambers		Publications	
A3.5 Training for Chamber staff and SME on Regulatory Impact Assessment (RIA) and assistance to Chambers in order to improve the national systems																			To be determined
A3.6 Development of Strategy Papers for the implementation of CEFTA by the Chambers																all Chambers	Expertise	Experts development	Finalised in Year 2
Result 4: The CEFTA Economic Chambers have established a systematic and regular exchange of know-how and undertake joint activities.																			
A4.1 Development of a common communication scheme between partners																DIHK	Expertise	Addresses etc.	Finalised in Y 1
A4.2 Development and maintenance of a CEFTA Project web-site																Chamber Serbia	Finances	Planning Implement.	To be continued from Y 1
A4.3 Development of a list of CEFTA problems to be solved and annual adaptation incl. solutions used																Chamber Macedonia	Coordination	Problems	To be finalised after CEFTA week
A4.4 Development of a list (with assistance of a questionnaire) of non-tariff trade barriers in CEFTA countries																			Finalised in Y 1, possibly to be added on in each year
A4.5 Implementation of a "CEFTA promotion tour" (businesses) to Germany																			To be determined
A4.6 Support of the three national CEFTA working groups: (a) non-tariff trade barriers and technical standards, (b) agriculture and (c) rules of origin e.g. by assisting in implementing annual meetings																DIHK all Chambers	Coordination Finances	Participants	To be determined

Appendix 6:

Example: Evaluation of a Short-Term Expert Assignment
BMO (KVP) Project Management Manual



Assignment Evaluation (Short-term Experts) by Foreign Project Partner

Project Denomination:

Name of organization
which asked for expert:

Name of expert:

Field of expertise / advice:

Expert's work location:

Arrival:

Departure:

Expert Performance:

Qualification:	<input type="checkbox"/> good	<input type="checkbox"/> satisfactory	<input type="checkbox"/> not satisfactory *
Work approach:	<input type="checkbox"/> professional	<input type="checkbox"/> fair	<input type="checkbox"/> not professional *
Human behavior:	<input type="checkbox"/> good	<input type="checkbox"/> adequate	<input type="checkbox"/> not adequate *

Assignment Assessment:

Assignment goal:	<input type="checkbox"/> achieved	<input type="checkbox"/> partly achieved	<input type="checkbox"/> not achieved *
Know-how - Transfer:	<input type="checkbox"/> high	<input type="checkbox"/> fair	<input type="checkbox"/> low*
Assignment length:	<input type="checkbox"/> right	<input type="checkbox"/> too short	<input type="checkbox"/> too long

Please specify result:

Comments:

Date:

Signature:

* Please specify on separate sheet

Workshop Evaluation

Course Title:

Date of Course:

Please answer all the questions. Where a question calls for a numerical rating, please tick the appropriate number.

Scale of Rating

- 1 Poor
- 2 Fair
- 3 Satisfactory
- 4 Very Good
- 5 Excellent

1. Course Effectiveness

- | | | | | | |
|--|---|---|---|---|---|
| 1. Achievement of stated objectives | 1 | 2 | 3 | 4 | 5 |
| 2. Amount of knowledge and skills acquired | 1 | 2 | 3 | 4 | 5 |
| 3. Adequacy of notes and handouts | 1 | 2 | 3 | 4 | 5 |
| 4. Design and organisation of course | 1 | 2 | 3 | 4 | 5 |
| 5. Your overall rating of the course | 1 | 2 | 3 | 4 | 5 |

2. Instructor Effectiveness

- | | | | | | |
|--|---|---|---|---|---|
| 1. State of preparation of instructor | 1 | 2 | 3 | 4 | 5 |
| 2. Instructor's knowledge of topics | 1 | 2 | 3 | 4 | 5 |
| 3. Instructor's ability in presenting lectures | 1 | 2 | 3 | 4 | 5 |
| 4. Instructor's ability to hold your interest | 1 | 2 | 3 | 4 | 5 |
| 5. Instructor's ability in using teaching aids | 1 | 2 | 3 | 4 | 5 |
| 6. Interaction within the group | 1 | 2 | 3 | 4 | 5 |
| 7. Your overall rating of instructor | 1 | 2 | 3 | 4 | 5 |

3. Course Administration

- | | | | | | |
|--|---|---|---|---|---|
| 1. Suitability of the training venue | 1 | 2 | 3 | 4 | 5 |
| 2. Quality of handouts | 1 | 2 | 3 | 4 | 5 |
| 3. Condition of the training equipment | 1 | 2 | 3 | 4 | 5 |
| 4. The attitude of the training staff | 1 | 2 | 3 | 4 | 5 |
| 5. Quality of catering | 1 | 2 | 3 | 4 | 5 |

4. Please rate the relative value (1 = very valuable; 2 = worthwhile; 3 = negligible; X = not applicable) of the following components of the training course to you:

Video	_____	Role- playing exercise	_____
Workbooks	_____	Small group discussions	_____
Lectures	_____	Case studies	_____
Games	_____	Demonstration	_____

5. Please make an overall comment on the course and instructor.

6. Would you recommend this training course to other members from your organisation?

Yes No

If no, please give the reason for your answer

7. What suggestions do you have for improving the programme?

Thank you very much!

Appendix 8:

Overview of typical Indicators for KVP projects
BMO (KVP) Project Management Manual

Methods of impact assessment in the case of BMO – projects

Table 9: Indicators, methods of IA and data collection instruments in the case of BMO – projects			
Level	Expected impacts from BMO-projects	Possible indicators	Feasible approaches and instruments
Overall objectives/ impact indicators	Competitiveness of SMEs improved	<ul style="list-style-type: none"> - Turnover - Profit (net and before tax) - Number of products sold - Return on investment - Changes in companies' cost structure - Changes in fixed assets - Access to the formal banking system 	<p>Approaches: Nonexperimental designs using baseline/follow-up studies. Qualitative methods if "hard" evidence is difficult to obtain.</p> <p>Data collection instruments : All with the exception of observation techniques.</p>
	Socially acceptable employment has risen	<ul style="list-style-type: none"> - Number of jobs in formal and/or informal employment - Changes in salaries - Characteristics of jobs (skilled/unskilled, type of job) 	<p>Approaches: Nonexperimental designs using baseline/follow-up studies as well as "before – after" studies. Qualitative methods for 3rd indicator.</p> <p>Data collection instruments : All are applicable; for the first two indicators, a written document analysis based on official statistics seems to be quite cost-effective.</p>
	BMO has contributed to environmentally sustainable development	<ul style="list-style-type: none"> - Environmental situation has modestly improved due to member companies increasingly adhering to environmental laws and Agenda 21 	<p>Approaches: Nonexperimental designs using baseline/follow-up studies as well as "before – after" studies. Qualitative methods if "hard" evidence is difficult to obtain.</p> <p>Data collection instruments : Questionnaires, focus groups and interviews.</p>
Project purpose/ outcome indicators	BMO is organizationally strengthened	<ul style="list-style-type: none"> - Number of active members increased - Financial sustainability achieved (balanced annual budget) - Participants in trainings and users of consultancy services are utilizing content in business - Users of BMO's services are reporting their usefulness in business life 	<p>Approaches: Nonexperimental designs using baseline/follow-up studies as well as "before – after" studies. Qualitative methods for indicators 3 and 4.</p> <p>Data collection instruments : Written document analysis (financial records) and interviews combined with questionnaires.</p>
	Capacity to effectively exert influence on the business environment is enhanced	<ul style="list-style-type: none"> - Changes in the legal environment effected also as a result of the BMO's work - Changes in the institutional environment at least partly effected as a result of the BMO's work 	<p>Approaches: Qualitative methods, as quantitative techniques are not applicable.</p> <p>Data collection instruments : Case studies, interviews, questionnaires and written document analysis.</p>

Appendix 8:

Overview of typical Indicators for KVP projects
BMO (KVP) Project Management Manual

Table 9: Indicators, methods of IA and data collection instruments in the case of BMO – projects			
Level	Expected impacts from BMO-projects	Possible indicators	Feasible approaches and instruments
Results/ performance indicators	Service delivery improved	General: - Increase in number of clients - Increase in revenues from service fees - Increase in range of services - % of evaluations by clients are positive - % of cost recovery - Costs per unit delivered compared to other providers	Data collection instruments : Written document analysis (financial records, project reports) and questionnaires (evaluation sheets), which can be combined with interviews of a selected group of clients.
		Training courses/workshops/ seminars - Number of training courses conducted - Number of participants trained - % of cost recovery	Data collection instruments : Written document analysis (training reports and financial records).
		Information services - Number of written requests for information from members - Internet connection - Membership directory (e.g. less than two years old) - Existence of a regular newsletter - Number of publications - % of cost recovery on publications - Number of specific or general information/awareness raising events	Data collection instruments : Written document analysis (records of the written requests, directory itself, newsletter itself, project report and financial records).
		Trade facilitation (trade delegations, business-to-business meetings, fairs and exhibitions) - Number of events - Number of exhibitors - Number of visitors - Total budget for events - Total profit on events - Profit/budget x 100 - % contribution of income from events to total income of BMO	Data collection instruments : Written document analysis (reports of the events and financial records).
		Advisory services - Number of requests received - Number of consultancies given to clients - % of cost recovery	Data collection instruments : Written document analysis (documentation of the requests and consultancies as well as financial records).
	Advocacy improved	- Number of issues advocated - Number of position papers / draft legislations presented to government authorities - Number of public hearings in which BMOs participated - Number of press clippings - Number of interviews given to media - Number of successful project proposals submitted to national or international donors	Data collection instruments : Written document analysis (position papers, press clippings on hearings and interviews and approvals by funding organizations).

Appendix 8:

Overview of typical Indicators for KVP projects
BMO (KVP) Project Management Manual

Table 9: Indicators, methods of IA and data collection instruments in the case of BMO – projects			
Level	Expected impacts from BMO-projects	Possible indicators	Feasible approaches and instruments
	More professional BMO - management	<p>Representativeness</p> <ul style="list-style-type: none"> - Increase in renewal of memberships or increase in number of members paying their contributions on time - Increase in % of members as part of all enterprises in the region/sector covered by BMO - % of satisfied members 	<p>Data collection instruments :</p> <p>Written document analysis (membership records and statistical information on number of enterprises in the region/sector).</p>
		<p>Financial sustainability</p> <ul style="list-style-type: none"> - Increase in revenues from services and membership dues - Decrease in dependence on public subsidies / individual sponsors - Annual plan of expenditures / revenues exists - Proper accounting system installed 	<p>Data collection instruments :</p> <p>Written document analysis (financial records).</p>
		<p>Legitimacy</p> <ul style="list-style-type: none"> - Regular democratic board elections take place - Committee meets at least (how often?) a year - Regular enquiries on members' views 	<p>Data collection instruments :</p> <p>Written document analysis (report on annual assembly and committee meetings). Individual interviews / focus group meetings and/or surveys on members' views (all of which require a questionnaire).</p>
		<p>Capacity building / personnel</p> <ul style="list-style-type: none"> - Visible dissemination of mission statement - Written annual plan - Number of capacity building workshops organized by BMO - Number of staff members trained - Increase in number of qualified professional staff employed - % of professionals with job description - Decrease in fluctuation 	<p>Data collection instruments :</p> <p>Written document analysis (project reports, staff files, training programme).</p>

Appendix 9:

Example: Activity and Financial Planning
 BMO (KVP) Project Management Manual



Aktivitäten- und Finanzplanung für das Partnerschaftsprojekt XY für Haushaltsjahr XXXX			
Stand (Monat/Jahr)			
Kurzbeschreibung jeder Aktivität (was?, wozu?, wer?, wie lange?, wo?, etc.)	Zeitraum der geplanten bzw. bereits realisierten Durchführung (Monat)	Angabe der Kosten nach derzeitigem Kenntnisstand (EUR)	Durchführung bereits abgeschlossen? (Ja - Nein)
1. Personalkosten des Langzeitexperten:		0,00	
		0,00	
		0,00	
Zwischensumme Position 1:		0,00	
2. Einsatz von Kurzzeitexperten für Beratungs- und Schulungsmaßnahmen:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 2:		0,00	
3. Zuschüsse zu Personal- und Sachkosten der Partnerorganisation:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 3:		0,00	
4. Ausrüstungshilfen:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 4:		0,00	
5. Trainings- und Schulungsmaßnahmen einschließlich Entwicklung von Lehrmaterialien:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 5:		0,00	
6. Öffentlichkeitsarbeit:			
		0,00	
		0,00	
		0,00	
		0,00	
Zwischensumme Position 6:		0,00	

Appendix 9:

Example: Activity and Financial Planning
 BMO (KVP) Project Management Manual



Kurzbeschreibung jeder Aktivität (was?, wozu?, wer?, wie lange?, wo?, etc.)	Zeitraum der geplanten bzw. bereits realisierten Durchführung (Monat)	Angabe der Kosten nach derzeitigem Kenntnisstand (EUR)	Durchführung bereits abgeschlossen? (Ja - Nein)
7. Fachliche Beratung und Expertise für Projektdurchführung:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 7:		0,00	
8. Fachliche Steuerung:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 8:		0,00	
9. Vorstudien, Projektplanung und sonstige Kosten:			
		0,00	
		0,00	
		0,00	
Zwischensumme Position 9:		0,00	
GESAMTAUSGABEN (Summen 1 bis 9):		0,00	
Nachrichtlich:			
Übertrag aus Vorjahr:	0,00 EUR		
plus bewilligte Projektmittel für dieses Jahr:	0,00 EUR		
zu Verfügung stehende Projektmittel dieses Jahr:	0,00 EUR		
(alle Angaben jeweils ohne Anteil SEQUA)			

Appendix 9:

Example: Activity and Financial Planning

BMO (KVP) Project Management Manual



Kurzbeschreibung jeder Aktivität (was?, wozu?, wer?, wie lange?, wo?, etc.)	Zeitraum der geplanten bzw. bereits realisierten Durchführung (Monat)	Angabe der Kosten nach derzeitigem Kenntnisstand (EUR)	Durchführung bereits abgeschlossen? (Ja - Nein)
<p>Erläuterungen zur Tabelle Aktivitäten- und Finanzplanung für KVP-Projekte</p> <ol style="list-style-type: none">Bitte ergänzen Sie die Angaben Ihres KVP-Projektes in dem Excel-Tabellenblatt.Die Tabelle dient dem laufenden Projekt-Monitoring und soll insbesondere dem Projektträger und der sequa Planung und Kontrolle der Projektaktivitäten einschließlich Mittelabfluss ermöglichen.Die Tabelle ist jeweils am Anfang eines Jahres für das entsprechende Jahr auszufüllen und an sequa zu senden. sequa wird im Sommer/Herbst des Jahres ggf. eine Aktualisierung bei Ihnen abfragen.Die Gliederung der Tabelle entspricht der des Finanzierungsplans der KVP-Projekte (Positionen 1 bis 9).Jede geplante und kostenwirksame Aktivität sollte kurz genannt und einschließlich der zu erwartenden Kosten in die Tabelle eingetragen werden. Zu Jahresanfang steht in der letzten Spalte regelmäßig "NEIN".Im Jahresverlauf kann und soll die Tabelle dann regelmäßig aktualisiert werden.<ul style="list-style-type: none">- Neugeplante Aktivitäten werden zusätzlich aufgenommen- Für durchgeführte Aktivitäten werden die tatsächlichen Kosten eingetragen und die Durchführung wird durch "JA" bestätigt.- Nicht mehr für das Jahr geplante Aktivitäten werden aus der Tabelle gestrichen.Die Tabelle ist ein Instrument der Projektsteuerung, nicht der Projektabrechnung, d.h. eine ca. Abschätzung der Zahlen genügt.			

Kammer- und Verbandspartnerschaften (KVP)/ Berufsbildungspartnerschaften (BBP)

Gliederungsmuster für PFK Berichte

Inhaltsverzeichnis

Abkürzungsverzeichnis

0. ZUSAMMENFASSUNG [PRO SPRACHE 3-5 S.]

In deutscher und ggf. einer weiteren Sprache (siehe ToR)

1. VORBEMERKUNG [1 S.]

- Anlass und Ziel der Projektfortschrittskontrolle
- Ort und Zeitraum der Untersuchung
- Methodisches Vorgehen
- Zusammensetzung des PFK-Teams

2. RAHMENBEDINGUNGEN [4 - 6 S.]

- kurze Darstellung der für das Projekt relevanten sozioökonomischen und politischen Rahmenbedingungen bzw. deren Veränderung seit Projektbeginn und kurze Bewertung der Auswirkungen auf den Projektverlauf
- Präsenz und Stellenwert anderer projektrelevanter, internationaler Projekte und Programme, Bewertung der Abstimmung und Zusammenarbeit (insbes. mit anderen von Deutschland finanzierten Projekten)
- System der verfassten Wirtschaft / Kammer- und Verbandslandschaft bzw System der Berufsbildung im Partnerland und Rolle der verfassten Wirtschaft
- Beschreibung der/des Projektpartner(s) (Personal- und Büroausstattung, finanzielle Leistungsfähigkeit, Leistungsangebote, Entwicklungspotentiale, ggf. Mitglieder, ggf. Ehrenamt)

3. DARSTELLUNG UND BEWERTUNG DES PROJEKTES.]

3.1 Darstellung von Projektkonzeption und Wirkungskette [3–5 S.]

- Kurzdarstellung des Projektes (Ziele, Ergebnisse, Dauer, Volumen)
- Bewertung der Planung/Konzeption und Zielstellung des Projektes (Klarheit, Plausibilität, Konsistenz, Realismus/Anspruchsniveau, Partizipation)
- Dokumentation und Bewertung von evtl. Abweichungen der Projektdurchführung von der Planung
- Bewertung der Beachtung/Umsetzung der in der Bewilligung auferlegten Bedingungen
- Beschreibung der dem Projekt zugrunde liegende(n) Wirkungskette(n)

3.2 Bewertung anhand der OECD-DAC Kriterien [10-12 S.]

3.2.1 Relevanz

Das Kapitel beschreibt und bewertet die Übereinstimmung des Projektes mit:

- dem Bedarf und Kernproblemen der Zielgruppe(n) (i.d.R. KMU und/oder

Appendix 10:

Sample Structure for PPC Reports
BMO (KVP) Project Management Manual



- Arbeitskräfte)
- dem Bedarf und Kernproblemen der Partnerinstitution(en),
- den Entwicklungsengpässen sowie übergeordneten Politiken und Strategien des Partnerlandes
- den Schwerpunkten des BMZ (Aktionsprogramm 2015; Länder- und Sektorkonzepte, Schwerpunktbildung, Handreichung BBP, etc)

3.2.2 Zielerreichung / Effektivität

- Nachvollziehbar hergeleitete und begründete Bewertung der Ziel- und Ergebniserreichung des Projektes unter Berücksichtigung der vereinbarten Indikatoren (Soll-Ist-Vergleich)
- Ggf. Nennung weiterer, ursprünglich nicht geplanter direkter (positiver oder negativer) Wirkungen des Projektes

3.2.3 übergeordnete Wirkung

- Einschätzung des Projektbeitrages zu Oberziel und sonstigen übergeordneten entwicklungspolitischen Zielsetzungen (indirekte Wirkungen)
- plausible Zuordnung von höher aggregierten Veränderungen im sektoralen und regionalen Umfeld des Projektes

3.2.4 Wirtschaftlichkeit / Effizienz

- Darstellung und Bewertung der Projektdurchführung (Ressourceneinsatz, Art der Steuerung, M&E, Partnerleistungen)
- Stehen die eingesetzten Fördermittel und die Art der Leistungserbringung (modes of delivery) unter den gegebenen Rahmenbedingungen in einem angemessenen Verhältnis zu den erzielten Leistungen und Wirkungen? (ggf. Verbesserungsvorschläge)

3.2.5 Nachhaltigkeit

- Einschätzung der Nachhaltigkeit der direkten und indirekten Wirkungen des Projektes sowie der finanziellen und strukturellen Möglichkeiten der Partnerorganisation(en) zur Beibehaltung der erreichten Leistungsfähigkeit
- Einordnung des Projektes und seiner Ziele/Wirkungen im Hinblick auf die 17 globalen Nachhaltigkeitsziele (Sustainable Development Goals - SDGs)

3.3 Bewertung von Querschnittsthemen [2-4 S.]

Soweit relevant erfolgt eine kurze Beschreibung und Bewertung der Wirkung des Projektes in Bezug auf die nachfolgenden Querschnittsthemen der deutschen Entwicklungszusammenarbeit. Ggf. sind Schlussfolgerungen, wie man diesen künftig besser gerecht werden kann, zu ziehen:

- Armutsminderung
- Gleichberechtigung der Geschlechter (Prüfen und Begründen, weshalb k/ein(e) Indikator(en) zum gender-Aspekt formuliert wurden)
- Umwelt- und Ressourcenschutz, ökologische Nachhaltigkeit
- Good Governance
- Krisenprävention, Konfliktbearbeitung, Friedensentwicklung
- EPW Entwicklungspartnerschaften mit der Wirtschaft / develoPPP.de
- Menschenrechte

4. SCHLUSSFOLGERUNGEN UND EMPFEHLUNGEN [4-7 S.]

4.1 Zusammenfassende Projektbeurteilung

- Gesamtbewertung des Projektes anhand der OECD-DAC Kriterien

4.2 Empfehlungen für eine Folgephase (nur bei erster Projektphase)

- Sollte eine Folgephase durchgeführt werden?
- Projektdesign (Ziele, Ergebnisse, Indikatoren, Aktivitätencluster, Annahmen, Risiken, Wirkungskette; Prüfen und Begründen, weshalb k/ein(e) Indikator(en) zum gender-Aspekt formuliert werden)
- Durchführung und Steuerung (Ressourcenbedarf, Zeit- und Personalplanung, Monitoringsystem, Art der Steuerung, Beiträge Partner)
- Abstimmung mit anderen Projekten und Programmen

4.3 Empfehlungen für eine nachhaltige Verankerung des Erreichten

- Gibt es eventuell Maßnahmen, die für eine nachhaltige Verankerung des Erreichten nötig sind und die im Rahmen der laufenden Phase nicht eingeplant wurden?
- Besteht ein zusätzlicher Zeit- und Ressourcenbedarf (und in welchem Umfang) für diese Maßnahmen zur nachhaltigen Verankerung des Erreichten?
- Abstimmung mit anderen Projekten und Programmen

4.4 Sonstige Erkenntnisse und Lernerfahrungen

- Empfehlungen an Projektträger und/oder -partner
- Empfehlungen an sequa und/oder BMZ