


1st Sub-regional PDD training workshop
Adapting to Climate Change & Sustainable Energy (ACSE)
Tanoa Plaza, Suva, Fiji
28-30 October 2014



09/11/2014





PROJECT DESIGN TRAINING WORKSHOP

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WORKSHOP OBJECTIVES

- Inform and update country participants and implementing partners about the EU-GIZ ACSE programme progress and activities;
- Present approved concept notes and identify potential collaboration between countries;
- Inform countries and implementing partners on the processes and procedures for Project Design Document (PDD) preparation, establishment of project management, project implementation and technical and financial management and reporting; and
- Train participants on PDD development

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DAY 1

- ACSE overview and status update
- Implementation terminology and structures
- Country concept note presentation and potential partnering
- PDD development process overview
- PDD template
- PDD assessment and criteria
- Gender
 - Process to complete the PDD
 - Background research and scoping

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INTRODUCTIONS ICEBREAKER

- Each person to prefix their name with another word that describes them, or a hobby interest of theirs.
- The initial letter of name must be the initial letter of the characteristic. For example: Comical Colin, Trampolining Tracy, Domestic Dave, Adventurous Alison.
- Introduce yourself and explain why you have chosen your new name and where you are from (country and role)



WHAT YOU ALREADY KNOW

- About ACSE
- About project design
- About project proposal preparation






ACSE OVERVIEW & STATUS UPDATE



EU-GIZ ACSE PROGRAMME

- 18.64 million Euro/5 years
- 15 Pacific ACP (PACPs) countries, 14 PICs + Timor-Leste
- Focus: implementation on the ground
- Managed by GIZ Pacific Office in Suva, Fiji
- Implemented by PACPs with partners of their choice



EU-GIZ ACSE PROGRAMME

General objective:

Enhance sustainable livelihoods in PACPs

1. Strengthen PACPs capacities to adapt to the adverse effects of climate change and
2. Enhance PACPs energy security at the national, provincial and local/community levels.

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EU-GIZ ACSE – TECHNICAL STAFF

- Programme Coordinator (*December 2014*)
- 5 Technical experts based with GIZ (*January 2015*)
- Focal areas: energy, food security & livelihoods, civil engineering, coastal & marine ecosystem-based adaptation, information & knowledge management & M&E
- Advise countries & partners in implementation
- In-country coordinators

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ACTIVITIES TO DATE

- Regional Inception Workshop held in Suva (29-30 May 2014)
- Call for concept notes (June 2014)
- Submission of CNs (End of July 2014)
- Assessment of CNs including reassessment where required (Aug./ Oct. 2014)
- 1st Steering Committee Meeting of component 1 (13 Oct. 2014)
- 1st sub-regional PDD training workshop (28-30 Oct. 2014) in Suva
- 2nd sub-regional PDD training workshop (4-6 Nov. 2014) in Pohnpei

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NEXT STEPS

- Contracting consultants/ organisations for PDD support (Oct. - Nov. 2014)
- Call for PDDs (November 2014)
- Submission of PDDs (March 2015)
- PDD assessment & notification (April-May 2015)
- Contracting implementing agency (June-July 2015)
- Project implementation starts (July 2015 onwards)

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Item	Organisation	Date
Signing of agreement between EU & GIZ	EU and GIZ	11 th April 2014
Notification of NAOs on EU-GIZ ACSE	GIZ	16 th April 2014
Regional Inception Workshop, Fiji	GIZ	29-30 th May 2014
Formal call for concept notes (CNs)	GIZ	7 th June 2014
Deadline for CN submission	PACPs	31 st July 2014
First assessment of CNs & notification	EU, GIZ, PIFS	August/ early September 2014
Deadline for CNs re-submission where necessary	PACPs	26 th September 2014
Second assessment of re-submitted CNs & notification	EU, GIZ, PIFS	9 th October 2014
1 st Steering Committee Meeting of comp. 1	GIZ	13 th October 2014
Subregional PDD training workshops	GIZ	28-30 Oct (Suva); 4-6 Nov (Pohnpei)
Call for PDDs	GIZ	15 th November 2014
Deadline for PDD submission	PACPs	31 st March 2015
Assessment of PDDs & notification	Assessment committee, GIZ	April-May 2015
Contracting implementing agency	GIZ & implementing partner	June-July 2015
Project implementation starts	PACPs with implementing partner	July 2015 onwards





WHO'S WHO

- Contracting Party
- Lead National Agency (LNA)
- National Implementing Agency (NIA)
- Implementing Partner (IP)
- National Authorising Officer (NAO)
- Project Partner(s)
- National Focal Points



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CONTRACTING PARTY

- Entity that will sign contract (financing agreement) with GIZ
- Financial and management responsibility for implementing the project
- Can be a national level entity or implementing partner
- Must meet EU/GIZ financial, procurement and administrative standards
 - Review process could take up to two months

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LEAD NATIONAL AGENCY

- Country's government department, ministry or agency responsible for coordinating CCA or SE projects
- Supervise project implementation and administration
- Does not necessarily need to be involved in implementation

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NATIONAL IMPLEMENTING AGENCY

- Country's government department, ministry or agency responsible for the technical implementation of the project
- May be the same as the LNA
- May delegate administration and implementation to an Implementing Partner

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IMPLEMENTING PARTNER

- External organisation that is responsible for management and implementation oversight and nominated as 'contracting party'
- Some CROP agencies, regional organisations and large NGOs have already demonstrated that they meet EU/GIZ financial, procurement and administrative requirements

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IMPLEMENTING STRUCTURES

- National-level agency as contracting party
- Implementing Partner as contracting party
 - Countries encouraged to work with an implementing partner, particularly organisations that have already demonstrated to meet standards required
 - Countries otherwise need to demonstrate they meet standards by providing documentation at the same time as PDD submission
 - Up to two months process to demonstrate meeting required standards

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SCENARIOS

- Read the scenarios as a table group
- Identify the relevant roles




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COUNTRY CONCEPT NOTES


Project Types



■ Type 1 ■ Type 2 ■ Type 1+2

Project Sectors	
Solar projects	5
Other energy projects	4
Projects with some element of solar energy or biogas	5
Water	5
Integrated CC adaptation	4
Education or TVET	2
Governance Energy or CCA	2
Land use and/or coastal protection	2
Food security / livestock /aquaculture	4

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COUNTRY CONCEPT NOTES

On a blank sheet of paper, draw a picture or representation of the outcomes and outputs that your approved concept note plans to deliver.

If you have two approved concept notes, draw on two pieces of paper.

Present your drawing to the group to summarise your planned project

- 5 minutes to draw your picture
- 2 minutes to present back to the group



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COUNTRY CONCEPT NOTES

POTENTIAL PARTNERING

- Countries with similar projects
- Benefits:
 - Sharing knowledge, best practice, lessons learnt
 - Funding allocation of projects can be added together




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COUNTRY CONCEPT STRENGTHS AND WEAKNESSES


STRENGTHS	WEAKNESSES
Alignments to national priorities and ACSE outcomes Responding to community needs Replication & up-scaling Detailed background	Broad scope Budgeting- realistic costing Timeframe – realistic Confusion with implementing structure Clarity around objectives, outcomes and outputs

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PDD TEMPLATE OVERVIEW

- Explore all the sections and questions in the ACSE PDD template
- Discuss how to respond to the questions and criteria
- Discuss what tools could be used to gather required information
- Provide feedback on the PDD



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PDD DEVELOPMENT PROCESS OVERVIEW

Step 1. Implementing structure Step 2. Background research & scoping Step 3. Stakeholder analysis Step 4. Problem Analysis / Selecting Solutions Step 5. Logframe Matrix Step 6. Alignment to national priorities & ACSE objectives	Step 7. Risk analysis and environmental impact Step 8. Knowledge management & communications Step 9. Monitoring and evaluation Step 10. Sustainability Step 11. Timeline Step 12. Budget
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PDD ASSESSMENT PROCESS AND CRITERIA

- General criteria
- Technical criteria
- Financial and administrative criteria
- Additional criteria CCA & SE

- Mandatory Yes/No/Not applicable questions
- Must score minimum 50/55
- Reviewers can ask for more information
- Countries can resubmit PDD following reviewer's comments

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GENDER

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PDD DEVELOPMENT PROCESS OVERVIEW

Step 1. Implementing structure	Step 7. Risk analysis and environmental impact
Step 2. Background research & scoping	Step 8. Knowledge management & communications
Step 3. Stakeholder analysis	Step 9. Monitoring and evaluation
Step 4. Problem Analysis / Selecting Solutions	Step 10. Sustainability
Step 5. Logframe Matrix	Step 11. Timeline
Step 6. Alignment to national priorities & ACSE objectives	Step 12. Budget

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STEP 2. BACKGROUND RESEARCH AND SCOPING

- Desktop review of sector research (incl. past evaluations) by government, universities/research, development agencies, NGOs etc.
- Climate change modelling
- Current sector description and predicted trends
- Feasibility studies

 **ACTIVITY**

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Let's Recap

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DAY 1 EVALUATION

1. What you liked best

2. What could be improved

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Day 2


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DAY 2

- Process to complete the PDD
 - Stakeholder analysis
 - Problem analysis / selecting solutions
 - Logframe matrix
 - Alignment of project to national priorities and ACSE objectives
 - Risk analysis
- Guest presentation

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STEP 3. STAKEHOLDER ANALYSIS

- Inclusive, participatory consultation process
- Target group, beneficiaries, implementing partner, relevant government and non-government agencies, technical experts
- Men, women, youth, elderly, and vulnerable groups need to be consulted in a **meaningful way**
- Document consultation in a stakeholder matrix
- Need to document how different stakeholders will be consulted

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STAKEHOLDER MATRIX

Stakeholder and characteristics	Process to engage / consult with stakeholder	Interest in the issue	Motivation / capacity to bring change

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STEP 3. STAKEHOLDER ANALYSIS

- Reflect on the stakeholder consultation conducted to complete your concept note.
- Are there any additional stakeholders you will consult for the PDD?
- How will you engage stakeholders in the PDD development phase?
- Discuss with your table.




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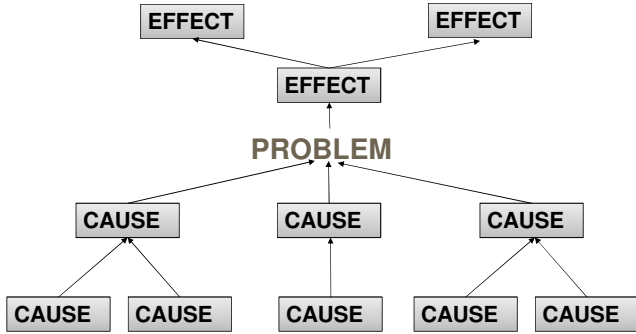
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STEP 4 PROBLEM ANALYSIS

- Means to identify **core problem**, its causes and effects
- Provides context to the issue that requires an intervention
- Should be a participatory process
- Product is a problem tree

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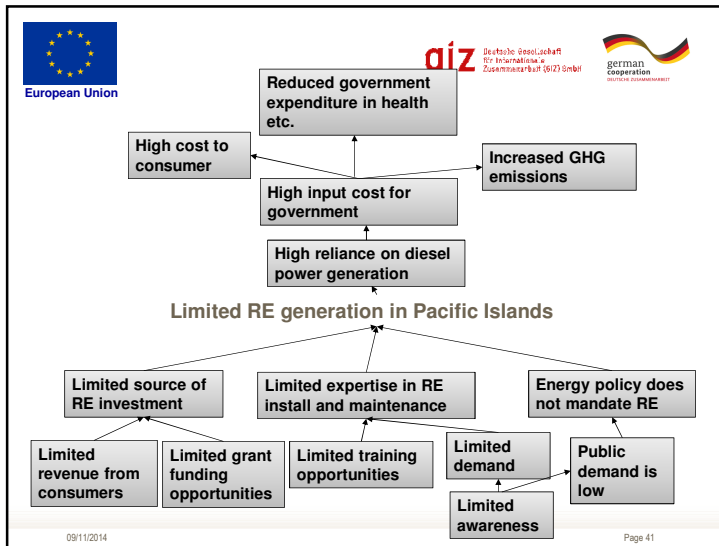
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```

graph TD
    C1[CAUSE] --> C2[CAUSE]
    C1 --> C3[CAUSE]
    C2 --> P[PROBLEM]
    C3 --> P
    C4[CAUSE] --> P
    C5[CAUSE] --> P
    C6[CAUSE] --> P
    C7[CAUSE] --> P
    P --> E1[EFFECT]
    P --> E2[EFFECT]
    P --> E3[EFFECT]
    
```

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TOKTOKLAU CASE STUDY

- Read the first section of the case study – ‘Background / Scope’
- Discuss what the core problem may be as a table group and write it on a sticky note
- As a big group, develop a problem tree together

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SOLUTION ANALYSIS

- Reframes the problem tree into a **solution tree**
- Negative statements in problem tree are rephrased as positive statements in the solution tree
- The core problem becomes the purpose (or core objective) of the project
- Pathway(s) for the intervention can be identified below the purpose statement

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SELECTING THE ‘BEST’ SOLUTION

- Use criteria such as cost-benefit, feasibility, impact, stakeholder preference etc.
- CBA tool systematically assesses and determines strengths and weaknesses of alternatives solutions
 - Contact CROP agencies for advice / assistance to help undertake CBA

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SELECTION CRITERIA

Review the different pathways in the solution tree to achieve the core objective against a set of criteria:

- strategic objectives and priorities
- complementarity with existing or planned projects
- lessons learnt from previous projects
- preferences of key stakeholders
- benefits to the target group
- cost efficiency and technical feasibility
- environmental, social and economic impacts

COST-BENEFIT ANALYSIS

- Cost-benefit analysis (CBA) is a systematic process for identifying, valuing, and comparing costs and benefits of an activity, decision and/or project(s)
- Framework to assess the merits of a project from the perspective of society (not a single individual)
- Measures gains/losses from project/activity to the community using \$ as a measuring rod.

COST-BENEFIT ANALYSIS

WHY

- Inform decision-making
 - About whether to proceed with an activity, decision or project - or not
 - About how to improve project design, and/or
 - About which option is best choice to implement
- Evidence to demonstrate proposal is good idea and a worthwhile use of resources
- It is one of several tools that can be used to help this purpose.

TOKTOKLAU CASE STUDY

- Read the second section of the case study – ‘Possible Solutions’
- Discuss what the best solution would be as a table










LOGFRAME MATRIX

- Displays the key elements of a project design and their relationships to each other in a matrix (table)
- Should provide enough detail for someone to understand 'how' the project will work
- Facilitates project analysis, and guides project implementation and monitoring and evaluation






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ACSE LOGFRAME

Description	Indicator	Baseline	Target	Source	Assumptions
Objective					
Outcome(s)					
1. XXXX					
2. YYYY					
3. ZZZZ					
Outputs					
1.1 xxxx					
1.2 xxxx					
2.1 yyyy					
2.2 yyyy					
3.1 zzzz					
Activities					
1.1.1. xx					
Etc.					

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LOGFRAME – PROJECT DESCRIPTION

Description	
Objective	Long-term change in development situation. "To contribute towards.... (national development priorities etc.)"
Outcomes	Short to medium term changes in development situation as a result of outputs. E.g. improved energy distribution, enhanced capacity, changed behaviour etc.
Output	Products and services delivered.
Activities	Main tasks to be undertaken to deliver outputs.

Purpose (from solution tree)

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LOGFRAME - ASSUMPTIONS

- Key factors outside the direct control of the project
- Worded as a positive statement of a condition that must be met in order for the project's output, outcomes and objective to be met
- Can be converted to risks that can be assessed and monitored

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LOGFRAME - INDICATORS

- Identifies what to measure:
 - outputs created / delivered
 - project's success (outcomes and objectives achieved)
- Baseline and target
- Quantitative and Qualitative (ideally choose both)

CRITERIA FOR SELECTING INDICATORS

Valid	Does the indicator measure the result?
Precise	Do stakeholders agree on exactly what the indicator measures?
Practical, affordable, and simple	Is information actually available at reasonable cost? Will it be easy to collect and analyse?
Reliable	Is it a consistent measure over time?
Sensitive	When the result changes, will it continue to be susceptible to change?
Useful	Will the information be useful for decision-making, accountability, and learning?

BASELINE AND TARGET

- Baseline** is the measure of an indicator at the start of a project
 - Ideally have information before project starts, otherwise have baseline data collection one of the first activities
- Target** is a commitment that states what needs to be achieved and by when indicator
 - Interim** targets (e.g. annual, mid-term, every 6 months) to check progress
 - Final** targets as conditions to be achieved by the end of the project
 - Ensure targets are realistic - set them with stakeholder input (e.g. experts, community etc.)

SOURCES OF VERIFICATION

- Related to the specific indicators
- Documents:
 - Where** the indicator data will come from (source)
 - How** it will be collected (method)
- Will inform the development of M&E plan later which covers
 - Who** will collect the data (accountability)
 - When** the data will be collect (frequency)





LOGFRAME MATRIX

- Read the 'Implementation' section of the case study
- Develop a logframe matrix for the Toktoklau case study in table groups



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ALIGNMENT TO NATIONAL PRIORITIES

- Project (outcomes) must align with at least one national development policy, strategy and/or goals and national CCA and/or SE sectoral policy

National and sector policies, strategies, action plan or goals	Project alignment

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ALIGNMENT WITH ACSE OUTCOMES

- At least one project outcomes must be aligned to an ACSE outcome

ACSE OUTCOME AREA	Project alignment
1. Enabling environment and communities' adaptive capacity to cope with climate change challenges, including gender specific challenges, are enhanced	<i>LIST PROJECT OUTCOME(S)</i>
2. Cost-effectiveness and efficiency of energy systems are improved and dependence on fossil fuels is reduced	<i>LIST PROJECT OUTCOME(S)</i>

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ALIGNMENT WITH ACSE INDICATORS

- For each ACSE outcome that your project is aligned to you need to assign one or more project indicators to align to one or more ACSE indicators (some ACSE indicators are mandatory)

National and sector policies, strategies, action plan or goals	ACSE Indicators (* = mandatory)	Project Indicators
1. Enabling environment and communities' adaptive capacity to cope with climate change challenges, including gender specific challenges, are enhanced	<ul style="list-style-type: none"> • CCA project implemented by 2018* • National implementation partners' adaptive capacity enhanced* • Number of (new or reviewed) national, provincial and local policies, strategies, plans integrating CCA 	<i>IDENTIFY PROJECT LEVEL INDICATORS THAT CAN INFORM THE ACSE INDICATORS</i>

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ALIGNMENT WITH ACSE INDICATORS

- For the case study, identify which ACSE outcome it is aligned to
- What ACSE indicators do you need to include or align to?



RISK MANAGEMENT

What are risks?

Mitigation

- Risk management can reduce the likelihood a risk will occur by identifying additional actions that can be incorporated into the project design. We call this risk mitigation

Risk Response (Contingency)

- Risk management can reduce the impact on a project if a risk does occur by putting in places risk response plans that can quickly be actioned. We call this a risk response or contingency.

ECONOMIC AND SOCIAL IMPACTS

- Need to identify the **positive or negative** economic and social impacts
- Include any risks in your risk management matrix
- Need to describe how your project will minimise negative impacts
- Justify why you think there are no negative impacts (if that is the case)

ENVIRONMENTAL IMPACTS

- Screen for potential positive or negative environmental impacts (implementation and maintenance)
- If risks are identified:
 - Add it to the risk matrix
 - Identify if it triggers national regulations requiring environmental impact assessment (EIA)
 - Modify the project design (logframe matrix) to reflect mitigation measures

RISK MANAGEMENT MATRIX

A useful tool to document, measure and manage risks.

Steps to develop a risk management matrix:

1. Identify the risks (participatory process)
2. Categorise the type of risk
3. Specify the impact of the risk if it eventuates
4. Assign the priority – Likelihood & impact of risk
5. Identify risk mitigation and contingency measures
6. Update project design (logic model) to reflect new activities or design changes
7. Update M&E plan with indicators to track the risk(s)
8. **Monitor & report** on risk

RISK MATRIX

#	Risk description	Type	Implication / Rating - Likelihood(L) & Impact (I) (1=low; 5=high)	Mitigation / Contingency
1	Govt income continues to shrink whilst costs grow. Govt commitment to cover new maintenance costs may not be fulfilled	Sustainability	If Govt does not have budget to maintain new infrastructure, then in 5 years, effectiveness of infrastructure to reduce CC vulnerability will begin to deteriorate leaving vulnerable people exposed to storm surge events. Financial, health & social cost (L=2, I=4)	Ensure maintenance cost in fwd budget projections. Seek bi-partisan support. Identify donor who could approach if Govt funding fails.

RISK MANAGEMENT

- In table groups, identify 2 risks from the case study
- Develop mitigation & contingency measures for the risks
- Share your risks with the entire group



Let's
Recap



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DAY 2 EVALUATION

1. What you liked best

2. What could be improved

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Day 3

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DAY 3

- Knowledge management & internal communications
- Monitoring and evaluation
- Sustainability
- Timeline
- Budget
- Procurement
- Establishing project management
- Project implementation
- Support needed for PDD development

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KNOWLEDGE MANAGEMENT

- Refers to how the lessons and results from your project will be communicated to internal and external stakeholders/audiences
- Collection, documentation and sharing of processes, results, and personal experiences, recommendations and lessons learned
- All ACSE projects must have a KM component
- KM strategy should document the target audiences for KM, the key messages you to communicate, the products to develop, delivery dates, distribution plan and estimated costing for production & sharing of the KM

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KM PLAN

Target Audience	Key message	Product	Timeframe for development	Expected release date	Mode(s) of Distribution	Budget	Person in Charge	Partners
Climate change practitioners	Project overview	<i>Example:</i> ACSE briefing sheet	May - June 2015	31 July 2015	Programme website, 1000 printed copies for distribution at regional and international meetings	\$7,000	Comms Specialist	GIZ, SPC, SPREP



ACTIVITY

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INTERNAL COMMUNICATIONS

- Refers to the national internal communication that will assist all national-level stakeholders to keep up to date with the ACSE project
- Helps remove barriers to implementation and increase opportunities for collaboration and in-kind contributions to be leveraged

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MONITORING AND EVALUATION

Monitoring	A process of data collection and analysis which helps serve a number of functions with the main one being the measurement of project progress
Evaluation	A structured process of assessing the success of a project in meeting its goals and to reflect on the lessons learned. Makes a judgment on what the data means.

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M&E PLAN

- What data needs to be collected
- Where the data will come from
- How the data will be collected
- Who will collect the data

- Use logframe as starting point (incorporating ACSE indicators)
- Add indicators to measure risks (environmental, social and economic) KM and internal communications

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M&E PLAN

How often data collected / What time data collected

Who responsible for collecting the data or overseeing

	Indicators	Baseline	Target	Source	Frequency	Responsibility
Objective						
Outcomes						
Outputs						
Activities						

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SUSTAINABILITY

- How project benefits and outcomes will be sustained after the project is completed
- Consider the mainstreaming of initiatives into national policies, strategies or action plans
- Consider how infrastructure will be maintained, costs involved and how maintenance work will be funded. Seek to demonstrate that the Government will commit to recurrent budget expenditure to manage and maintain new assets and infrastructure, or how a user-pays model will fund maintenance

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SUSTAINABILITY




In table groups, discuss how would you address sustainability for the Toktoklau case study

Report back and share a summary of your response



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TIMELINE

- Should contain the main project activities from the logframe
- Activities should include the creation of knowledge management products, mid-term (if required) and final evaluation as well as identifying key milestones in the project
- Quarterly / Monthly breakdown
- Reflect upon past projects and be **realistic** with how long each task will take

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Ref	Outputs / Activities	Responsibility	Year 1				Year 2				
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1.1	Electricity grid upgrade										
1.1.1	Install 5 x 240V transformers	Ministry of Works									
1.1.2	Install new high voltage line to village	Ministry of Works									
1.1.3	Upgrade sub-station monitoring equipment	Ministry of Works				1					
1.2	20 KW Solar PV installed										
1.2.1	Research Solar PV technology	ACSE PM									
1.2.2	Recruit / train installer	Ministry of Works									
1.2.3	Procure Solar PV	ACSE PM									
1.2.4	Install Solar PV	Installer (TBC)							2		
1.2.5	Connect to grid & test	Ministry of Works									3
1.3	Output XXXX										

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BUDGET

- Detailed project costing tool
- Summary schedule of costs and financing
- Summary of costs and financing for construction measures

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DETAILED PROJECT COSTING TOOL

- Develop a detailed project budget at the activity level using the budget costing tool provided- it will help you develop your project budget
- Ensure that all tasks have been costed
- Budget should be fully inclusive of monitoring and evaluation, knowledge management and communication and project management costs, and PDD development costs
- Add contingency at line item level
- Specify exchange rates used for foreign exchange
- Where co-financing is involved, the submission should specify if the co-financing has been secured or is still being negotiated.

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BUDGET

Summary schedule of costs and financing

- Summary budget at GIZ cost category level
- Must be in Euros





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OVERVIEW

BUDG€T


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BUDGET



- I. Analysis of Work plan
which resources are required to perform planned activities
 - Personnel, equipment, transport, running cost
 - Outsourced services and works
- II. Market analysis to estimate costs
- III. Draft Budget
- IV. Feed back to Work plan -
- V. Contribution of partner country
- VI. Final Budget proposal





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BUDGET TEMPLATE

Schedule of costs and financing (in Euro*)				
Cost category (if appropriate broken down by measures)	Total costs	Financing		
		by the Recipient		from the financial contribution by the GIZ up to
		Own input	Co-financing according to Section 3.2	
1	2	3	4	5
1. Costs of materials and equipment				
2. Costs of third-party services				
3. Construction costs (Supplement: cf. itemised schedule)				
4. Personnel costs				
5. Travel expenses				
6. Operating and administrative costs				
... Total				

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BUDGET TEMPLATE CATEGORIES


1. **Costs of materials and equipment**
e.g. laptops, vehicle, office equipment, etc.
2. **Costs of third-party services :**
Consultants, Consulting companies (incl. all cost rel. to these contracts, incl. travel costs)
Pls. include the costs of the consultant for the PDD preparation
3. **Construction costs**
work contracts incl. mater.+ labor, please provide a separate detailed budget, separate costs in case of several construction sites
4. **Personnel costs**
Staff involved in the implementation, also part-time (e.g. 20 % salary)
5. **Travel expenses**
Air tickets, local transportation, per diem, accommodation
6. **Operating and administrative costs**
Office rent, telephone, internet, running costs, fuel, stationary,

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EXCEEDING THE BUDGET PROVISIONS

20% of the main budget lines – o.k.

Request in time for amendment

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Thank you for your attention

QUESTIONS AND COMMENTS ARE WELCOMED



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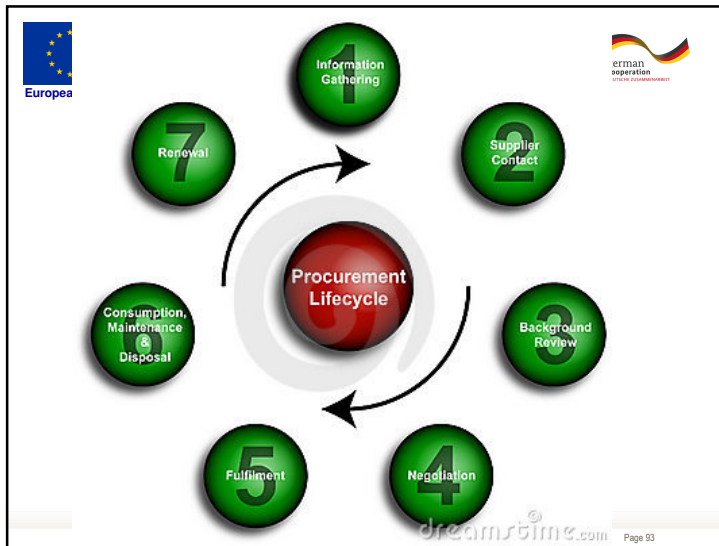




OVERVIEW
PROCUREMENT
GIZ RULES AND REGULATIONS

by Beate Herrmann, GIZ Fiji

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PROCUREMENT INCLUDES:

I. Procurement of goods

- Equipment
- Consumable items

II. Procurement of Works - material + labor

- Construction contract
- Contract of installation and supply

III. Procurement of Services

- Consulting Contract (Company)
- Consultant Contract (Individual)
- Casual labor

(Employment contract)

Logos for the European Union, GIZ, and German Cooperation are visible in the top corners.

PROCUREMENT OF GOODS / SUPPLIES

1. Approved purchase request
2. Analysis of market and definition of specification
3. Quotation (3 written) total invoice more than 1.000 Euro
4. Justification of selection if not cheapest offer was selected
5. Invoice (with clear indication of purchased items)
6. Receipt (or document of transference)
7. Confirmation of delivery (min. signed stamp on invoice)
8. Hand-over to the Partner Organisation → **Handover Document**
9. **OR enter of equipment into inventory (inventory file with invoice copies)**

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CONSULTANT CONTRACTS

Contract for Services or Works

Buying in of "services" or "works"

- Consulting Contract (Company)
- Consultant Contract (Individual)
- Construction Contract

- Contracts for Services based on daily fees
- Contracts for Works based on product
-> lumpsum payment

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CONSULTANT CONTRACT PROCEDURES

- 1. Terms of Reference
 - Outcome, expected work days or
 - Product against lumpsum payment (work contract)
- 2. Invitation to tender
- 3. Justification of decision in written form
- 4. Offer of consultant(s) detailing fees/day, travel expenses etc.
- 5. Quality assurance -> CV or Company Profile
- 6. Contract – support can be provided by GIZ, if more than 20.000 Euro GIZ needs to approve.



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AWARD PROCEDURES

Value from Euro...to	Procedure
Up to 1.000 Euro	Direct procurement, informal quotations (3 telephone with memorandum)
1.000 – 2.500 Euro	Request written quotations from at least 3 potential providers. Justification of purchase in written form
2.500 – 20.000 Euro	<ul style="list-style-type: none"> •Written request to provider • detailed specification • at least 3 quotations • Contract award document to be filled out • written purchase order • all documents to be kept on file with project documents
More than 20.000 Euro	<ul style="list-style-type: none"> •Public or restricted invitation to tender (aim at least 3 responses) •Advisory service by GIZ •Approval of contract award and draft contract by GIZ
More than 200.000	Complete process requires approval of GIZ HQ



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*Thank
you for
your attention!
Any questions?
:)*



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**OVERVIEW
FINANCING AGREEMENTS
WITH GIZ**





VARIOUS TYPES OF AGREEMENTS



I. Financing Agreement

Financing of activities of Partner- Organizations or Institutions, which implement the **well defined project** under their own responsibility.

II. Memorandum of Understanding

- **bilateral or multilateral agreement** between two or more parties
 - does **not** imply a legal commitment

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PROCESS TO PREPARE A FINANCING AGREEMENT



1. Proposal from the Recipient
2. Proposed Budget (in Euro)
3. Evaluation of proposed contracting partner (recipient) (GIZ Template)
4. Opening of separate Bank account
5. Preparation of contract (in German + English)
6. Preparation of special agreement
7. Signature of GIZ, Governmental entity and implementing partner

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FRAMEWORK CONDITIONS AND RESPONSIBILITIES FOR FINANCING AGREEMENT

	FA
Government (technical)	Full responsible for implementation, supervision of implementing partner Collaboration with the implementing par.
Government (finance)	Responsible for Supervision for use of funds
Implementing partner organization (technical)	Responsible for implementation
Implementing partner organization (finance)	Full responsible for management of funds
GIZ responsibility (technical)	Support implementation with technical expertise + in-country-coordinators
GIZ responsibility	Financial processing and controlling
GIZ is responsible for any loss due to improper use of funds !	

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EXPECTATIONS TO RECIPIENTS OF FINANCIAL AGREEMENTS

1. Transparent procedures for purchases and awarding contracts
2. Effective internal controls for management;
3. Accounting system that ensures the proper use of funds
4. Subject to independent external audits
5. Provides access to relevant information

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EVALUATION OF RECIPIENT (RISK ASSESSMENT) ABILITY OF RECIPIENT TO USE AND ACCOUNT FOR THE FUNDS PROPERLY

- **Legal Status** (must be public benefit + legal entity)
- **Organization** (organizational chart, organization profile, manuals, personnel)
- **Accounting** (Annual budgets, financial statements)
- **Contract award procedures**
- **Internal and external controls** (audits)
- **Experience** to date with processing

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FINANCING AGREEMENT – CONTENT (1)

- Contract document with Budget
- Special Agreement
- Project Design Document - PDD

- Appendix 1 covers the **tendering process** which the recipient must use

- Appendix 2 describes how **contract awards** must be documented
- Appendix 3 describes the **disbursement procedure** and key aspects of financial processing

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FINANCING AGREEMENT – CONTENT (2)

- Appendix 4 template for a call for disbursement
- Appendix 5 template for a statement of account overview
- Appendix 6 template for entering individual expenditures

- Appendix 7 specimen progress report
- Appendix 8 specimen final report
- Appendix 9 is required if the financing agreement includes a construction measure.

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REPORTING AND FINANCIAL CONTROL

	GIZ Office
Preparation of contract	Compiling required data, Preparation of contract
Technical Reports	• every 6 months
Financial Reports	Every 3 months or when requesting new funds
Transference of funds	Transference from HQ Germany
Project Evaluation	Midterm + Final
Audits, internal	Internal audits 1 x year
Audits, external	Midterm + Final
Financial processing	GIZ Fiji + GIZ Germany

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MANAGEMENT OF FINANCING AGREEMENTS

I. First installment = first advance => needs for 3 months

- ✓ Letter of Call of Disbursement + Bank account

II. Second and later installments – Documents of Recipient

- ✓ Expense of min 75% of advance done. (100 % + 75 %)
- ✓ Letter of Call of Disbursement for following installment
 - ✓ Statement of account incl. budget for next 3 months
 - ✓ Bank Statement (original)
 - ✓ List of expenditure (brief details on the purpose and recipient)
 - ✓ Copies of vouchers, contracts, tender procedures
 - ✓ Exclusivity Statement -> devaluation stamp: (e.g. "paid by GIZ / EU ACSE")
- ✓ Progress Report and Work plan & Budget for next 3 months

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MANAGEMENT OF FINANCIAL AGREEMENTS (2)

- ✓ Signature of the legitimate representative of the recipient organization on all financial and narrative reports and documents.
- ✓ Financial contribution account sheet in Excel - GIZ for each payment
- ✓ Confirmation of material correctness

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EXPENSE SETTLEMENT

- List of expenses with Vc. Number of recipient accountability. Organized according to Budget Lines and to date.
 - Photocopies of expenses more than 2.500 Euro
 - Copies award documents
 - Copies contracts (employment, procurement, consultant, consulting incl. all relevant documentation)
- Invoices of meetings / workshops etc. with signed list of participants (Date and purpose of workshop, name, position, contact details, signature)
- Exchange rate according to exchange rate of relevant transference.

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MANAGEMENT OF FINANCIAL AGREEMENTS (3)

Example:

- Total contract value : 200.000 Euro for 2 years
- Advance payment 50 %= 100.000 Euro
- First settlement of 75 % of 100.000 = 75.000 Euro
- → still open advance 25.000 Euro
- Budget for next 3 months: 60.000 Euro
- Payment of 60.000 Euro
- Settlement of 45.000 Euro (= 75 % of 60.000)
- → request for new funds will be refused. 100 % of previous adv. + 75 % of last advance have to be settled. = 70.000 Euro (not 75 % of 25.000 + 60.000 = 85.000*0.75 = 63.750 Euro)

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ESTABLISHING PROJECT MANAGEMENT

MoU
Between GIZ and national government

National Coordinator
GIZ works with countries to hire in-country coordinators

Financing Agreement
Between GIZ and contracting party

National Steering Committee
Country works with existing or new steering committee

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PROJECT IMPLEMENTATION

- Countries will be able to access 5 regional Technical Advisers employed by GIZ
- Contracting party will be responsible for on-going technical and financial monitoring and reporting
- Contracting party must produce **quarterly** financial report and **six-monthly** technical report (monitoring data tracked in spreadsheet)
- Contracting party must produce **six-monthly** progress report (details of technical monitoring data in reporting template)
- Contracting party must produce internal financial audit
- Mid-term evaluation for projects > 18 months, including internal financial audit (external evaluation and financial audit required for > €500,000). All project to cost in technical evaluation and financial audit irrespective of duration.
- Final evaluation and financial audit (external)

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PDD SUPPORT REQUIREMENTS

- Multi-disciplinary teams to develop submission
- Implementing partner if relevant
- Consultant(s)
- Regional Technical Support Mechanism (RTSM)

Table group discussion:
What support countries may need from GIZ?
Document support needed & share with the entire group.

ACTIVITY

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<http://m.c.linkedin.com/mpr/mpr/p/2:005/06e/354/1734185.jpg>

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Let's Recap

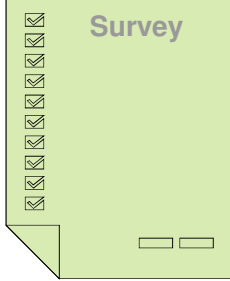
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EVALUATION



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END

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