

Guidelines for the Submission of Funding Requests to MISEREOR

Introduction

These Guidelines tell you what information MISEREOR¹ needs in order to be able to process your request appropriately and swiftly. This applies regardless of whether the request you are submitting is a first request for project funding from MISEREOR, or a follow-up request for a project that is expiring.

We recommend that you study these guidelines at the very beginning of your planning process, so that you can integrate our questions into that process. In doing so it is not our aim to influence your planning method – our assumption is that the planning method must above all else be appropriate to your organisation, and the goals and circumstances of your project work. Regardless of the method selected, though, we would kindly request that you take appropriate account of the future "effects" as you proceed with your planning (please refer to the attached Glossary for more information about the terms "effects" and "outcome and impact assessment").

First of all, a word about our promotion strategy:

As the German Catholic Bishops' Organisation for Development Cooperation, we offer cooperation for development processes to all people of good will, in a spirit of partnership. Our cooperation is guided by the following principles:

- MISEREOR is strongly committed to implementing the Biblical preferential option for the poor.
- MISEREOR places justice, peace and integrity of creation at the heart of its work.
- MISEREOR focuses its efforts on generating maximum pro-poor outcomes and impacts, and sets corresponding priorities for its funding and other activities.
- MISEREOR strengthens civil society, and sees the poor themselves with their rich potentials as the key protagonists of development processes for a world in which lives can be led in dignity.
- MISEREOR supports people in need regardless of race, religion, nationality or sex.

¹ Throughout this text, the term MISEREOR collectively denotes Bischöfliches Hilfswerk MISEREOR (the German Catholic Bishops' Organisation for Development Cooperation), and Katholische Zentralstelle für Entwicklungshilfe (KZE, Catholic Central Agency for Development Aid). The latter is in charge of the public funds that the German Federal Ministry for Economic Cooperation and Development (BMZ) makes available to the Catholic Church for development measures.

- MISEREOR performs intensive lobbying and advocacy work among decision-makers and opinion-formers to help establish structures that are conducive to the lives of the poor in the South.

MISEREOR does not implement any overseas projects of its own; rather it supports partner organisations in their efforts to achieve a more just and peaceful world. Support is provided on the basis of a funding request submitted by the organisation that intends to implement the project.

MISEREOR selects from among the requests it receives and on the basis of the funds available to it those projects which convincingly demonstrate that they are likely to help overcome injustice and poverty. There is no fixed list of criteria for this, because MISEREOR wishes to remain open to new ideas and approaches contained in requests, and indeed expressly encourages these. Having said that, there are a few exceptions for which MISEREOR does not provide support. These include:

- purely pastoral and missionary projects (this lies outside the mandate given to MISEREOR by the German Bishops' Conference),
- projects of governmental agencies, including for instance municipal administrations (exceptions to this are made only in very few countries due to the special conditions under which the civil society operates),
- projects that demonstrably should and can be funded by the state.

Requests can be submitted at any time throughout the year, no invitations to submit requests are published nor are there any fixed submission deadlines. Applicants should note that once a request has been submitted it will normally be six months before a decision is taken on it. During this period MISEREOR and the organisation submitting the request will often discuss it and clarify relevant aspects. A funding request should therefore be submitted to MISEREOR at least six months (in the case of very large and complex projects rather eight months) prior to the planned launch of the project.

Below you will be able to establish what information we require in order to process a funding request. In the Annex you will find a Glossary explaining MISEREOR's understanding of key terms used in the planning and realisation of projects. The Glossary also discusses detailed aspects of the formulation of goals and objectives, and of the effects, i.e. outcomes and impacts of development work. Should the terms you use, or the way you use them, differ from ours, then we would kindly request that your terms and their usage should be easy to understand and transparent, and that you use them consistently throughout the text. To make your text easy to read please either avoid using abbreviations and acronyms wherever possible, or explain them.

Concerning the length of your funding request: It should provide all the needed information, yet be concise. Obviously, descriptions of more complex projects and those with a larger volume of requested funding will be longer than descriptions of smaller projects. If the project for which funding is being requested is a continuation of an ongoing project, then we also expect a concise assessment of this project (see Section 4 "Work Done to Date").

We recommend that when writing your request you use the structure shown on the following pages of these Guidelines. The questions describe what MISEREOR needs to know before a decision on a request can be taken. If you answer the following questions we will be able to process your request more quickly, because we will have fewer queries.

What a Funding Request to MISEREOR Must Contain:

0. Brief Summary

Your funding request must include a summary of between 1 and 3 pages in length describing your project, based on the following structure:

- Country
- Project title
- Applicant
- Legal holder of the project
- 1. Development-policy context
 - 1.1. Description of the situation/the problems
 - 1.2. Target group
- 2. The project
 - 2.1. Work done to date, previous projects, evaluations implemented
 - 2.2. Goal and objectives
 - 2.2.1 Goal (the intended impacts, i.e. the expected consequences of the project outcomes)
 - 2.2.2 Project objective(s) and if applicable intermediate objectives (the intended outcomes)
 - 2.3. Planned measures
 - 2.4. Possible positive and negative side effects
(including: ambient risks that may influence the intended effects)
 - 2.5. Outcome and impact assessment
(methods and instruments for planned outcome and impact assessment, e.g. indicators and fields of observation ['extended monitoring fields'] for possible outcomes and/or impacts that go beyond the intended outcomes and/or impacts as formulated in the goal and objectives)
- 3. Cost and financing plan (for a period of xx months)
 - 3.1. Cost plan

- building measures	xxx	
- non-recurrent expenditure	xxx	
- staff costs	xxx	
- recurrent programme expenditure	xxx	
- other recurrent expenditure (incl. auditing)	xxx	
Total costs	xxx	
 - 3.2. Financing plan:

- monetary local contribution(s)	xxx	(xx %)
- third-party contribution(s)	xxx	(xx %)
- MISEREOR/KZE	xxx	(xx %)
Total financing	xxx	(100 %)
 - 3.3. Extra-budgetary local contribution(s) of the target group and the organisation submitting the funding request (incl. non-monetary contributions)

1. Formal Information

Project title

- Please give your project a short name that makes clear the content of your planned promotion work and the location / area / region where the project is to be implemented.

Applicant

Please give your name, professional position, address, phone and fax numbers, and email address (if available).

Legal holder of the project

The legal holder of the project is a legal person, e. g. a registered society, charity, NGO, a cooperative, a diocese or an association. The legal holder of the project is legally responsible for the project, is usually the owner of its material resources and is the employer of its staff.

If the decision has been taken that the project will be supported through MISEREOR, the legal holder will become a project partner by entering into a project contract with MISEREOR. The legal holder will then be responsible for the use of the funds and obliged to achieve the project goal and objectives as effectively as possible.

- Please give the legal holder's name, address, phone and fax numbers, e-mail address (if available), as well as the names, addresses and professional positions of the individuals who are the legal representatives of the legal holder according to its statutes.
- What is the legal status of the legal holder? Is the non-profit character of the legal holder officially recognised? (Please attach copies of the registration and statutes.)

If you have not had any previous dealings with MISEREOR, then we would like to get to know your organisation better. May we therefore kindly request that you answer the following questions. We would also request any of our partner organisations that have not yet informed us about these aspects to kindly answer these questions, too:

- When was your organisation established?
- What are your organisation's goals? Which target groups have you cooperated with or would you like to cooperate with? Who is your organisation accountable to?
- (If relevant to your country:) Please provide proof that your organisation is allowed to receive foreign funding, and indicate who in your organisation is legally entitled to do so.
- What decision-making structures and bodies exist within your organisation, and how do they operate? (If possible, please enclose an organisation chart.)
- What are the basic principles of your work, in relation to both external activities and internal organisation (e. g. participation, gender policy)?
- With which national and international partners do you cooperate in pursuit of your goals and objectives? What role do these partners play in your work?
- What form does your public accountability take? (If possible, please enclose your last Annual Report.)
- How many full-time staff members (men/women) does your organisation have on its payroll? How many people work on a voluntary basis?
- What was the total financial volume of operations of your organisation in the last three years? (If possible, please enclose your annual balance sheets for the last three years.) How is the administrative structure of your organisation financed?
- In the event of your organisation being dissolved, who would be the legal successor/proprietor of your organisation's assets?

Contact to Local Church

MISEREOR supports development measures regardless of race, religion or sex of the beneficiaries, and therefore also cooperates with non-Catholic and non-Church-based partners. As an organisation of the Catholic Bishops' Conference in Germany we require a written statement on the proposed project from the Local Church. If feasible please let us have it when you submit the funding request, if not, please inform us accordingly in your request.

2. Background and Context of the Project

In order to be able to understand a project for which funding is being requested in its context, we will need the following information:

- Please indicate the location/area where the project is to be implemented and, if differing, the area which the planned project effects should cover (If your project is designed to be regionally, supra-regionally or nationally significant, please also explain this important aspect);

- Please provide a brief description of the general situation, covering all relevant aspects affecting the lives of the local population (e. g. vital natural resources; economic base; political, economic, social and cultural rights, incl. access to social services, health care, education, social and political participation, situation of women and girls, specific aspects of different sections of the population etc.);
- Please give a precise description of the domains in which your project intends to achieve certain effects (What problem or problems is the project designed to address? How does the existing situation affect the local population, and in particular the target group of the project? Who are the other actors in this field, and what activities are already under way?).

3. Target Group of the Project

Please describe

- which section of the population the project seeks to reach ("target group": how many persons are to be reached directly and how many indirectly in which zones / regions / municipalities / communities / groups), and the criteria by which the target group was selected;
- the social and economic status of the target group: What are their characteristic living conditions? How do the target group differ from other people living in the region (access to means of production, nutritional status, income situation, educational status, cultural and ethnic factors, gender roles etc.)? Have they developed self-help activities or organisations of their own? What is their relationship to other groups in the region? This situation analysis should also provide a baseline for monitoring changes in the course of the project;
- gender aspects: To what extent does the project address women / men? How does it take account of the specific life situation of the two sexes?

Please also describe

- how the target group will participate in the planning, implementation and evaluation of the project,
- and what kind of responsibility they will be able to assume for the project in the future.

4. Work Done to Date

Please describe

- which activities have taken place that are directly linked to the planned project (e. g.: previous projects with the same target group; other project measures that revealed the need for further initiatives; cooperation or communication with the target group where they articulated a need for project measures or where joint planning already took place; evaluations or consultancy assignments that drew attention to the additional need etc.);
- which contacts exist to other organisations that are already supporting or would like to support this work (through financial, human or consultancy inputs).

If the project is a continuation of an ongoing project, please describe

- which goals and objectives the project has pursued to date,
- which measures have been implemented,
- which planned and unplanned effects (outcomes and impacts) the project has generated to date.

We need both qualitative and quantitative data here, so please provide figures specifying what was achieved in relation to how many individuals, families, communities etc. Please relate these effects to the original project objectives and intermediate objectives (indicating the extent to which these were or were not achieved), and indicate which relevant effects had not been formulated as objectives.

- which conclusions you have drawn from that for the new project (concerning e.g. the relevance of the project, the appropriateness of approach and strategy, and the method and quality of project management).

5. Project Goal and Objectives

Please specify

- the goal: Which comprehensive changes is the project designed to help bring about? Which major development goal is behind your work?
- the project objective(s) and, if appropriate, intermediate objectives:

Project objective(s)

What is to be achieved concretely when the project funding period ends? Which positive effects must be demonstrable at the end of the funding period in order for the project to be described as successful?

MISEREOR normally approves project funding for a maximum of three years. If the logic of the project for which you are requesting funding requires a term of more than three years, please subdivide the term into phases of no more than three years, and specify not only the intended effects to be achieved by the end of the term, but also the project objective(s) for the phase for which you are requesting support.

Intermediate objectives (where appropriate):

Which intermediate objectives need to be reached either because of the nature of the work or because of the time frame, before the project objective(s) can be achieved?

For further information on the formulation of goals and objectives please refer to the Glossary in the Annex under the headings "Goal" and "Objective, intermediate objective".

6. Planned Measures, Project Personnel and External Actors

We are aware of the fact that you have defined your planned activities not arbitrarily, but on the basis of a strategy. Please describe

- what activities you are planning,
- how the planned activities are distributed across the funding period and how they fit together,
- and how these are designed to help achieve the objectives: Please outline the underlying strategy and the planned methods.

For further information on the strategic link between activities and objectives, please refer to the Glossary in the Annex under the heading "Chain of causality".

Please indicate

- the number and qualifications of needed personnel, broken down according to whether they are full-time employees, part-time employees, volunteers, freelance consultants on limited-term assignments, and men or women;
- which personnel are already available;
- to what extent these personnel are suitably qualified for the planned tasks, or whether any further training measures are planned.

Please also indicate

- which external actors you cooperate with (e. g. governmental agencies, consultancies, networks, other development cooperation organisations etc.);
- the nature of the inputs expected to be made by those actors to the planned project.

7. Possible Other Effects

If you implement the measures as planned - what will change as a result for the target group of the project themselves, and their setting? Several of the key effects that you wish to achieve through the project you have presumably already described under "goal" and "objectives". Beyond that, though, other effects are probably to be expected that may be either positive, or possibly negative (risks).

Note: It is conceivable for instance that a project designed to protect the natural resource base on which people's lives depend may at the same time strengthen the coherence of the village community, and motivate that community to pursue further joint activities. Negative effects might arise for instance where the initiated activities of the population place too great a strain on resources, or where one section of the population utilises the greater scope for action to put another group at a disadvantage.

Please describe

- the effects that you anticipate from your project work which go beyond the objectives, as well as conceivable undesirable effects.

Please also describe

- how the distribution of roles between men and women might change as a result of your work (Who invests how much time? Who has access to more resources than before? Who might gain clout in the decision-making structures of the organisations to be newly created by the project?);
- and how the planned measures might affect relations between different social groups (Will certain groups be favoured, others perhaps excluded? How will access to resources change for the various population groups? Might any latent conflicts be exacerbated?).

Note: Neither development cooperation projects and programmes, nor lobbying and advocacy work, are conflict-neutral. An intervention may favour certain sections of the population. Yet at the same time it may – even if this is not always obvious – disadvantage other groups and thus exacerbate existing conflicts or generate new ones. Please pay particularly close attention to this aspect, especially in relation to the poorest groups.

- which other actors are operating in your environment and are either reinforcing or counteracting those effects (ambient risks that may influence the effects you intend to achieve), and what strategy you are developing or have developed for dealing with these actors (e.g. networking, dialogue, lobbying/advocacy activities etc.).

For further information on our conception of effects (outcomes and impacts), please refer to the Glossary in the Annex under the heading "Effects".

8. Planned Outcome and Impact Assessment

Please describe how you intend to monitor and evaluate the effects, i.e. outcomes and impacts of your work during project implementation:

- How do you intend to monitor whether the effects you anticipate actually arise, or whether there might be any unintended effects?
- Do you have any – qualitative or quantitative – indicators that can easily be monitored, and which would indicate whether you are achieving your project objectives (and where appropriate your intermediate objectives)? If so, what are they?

We would like to emphasise that it only makes sense to define indicators if these can actually be continuously monitored during project implementation. It makes no sense to define indicators during the planning phase which then will not be monitored during implementation.

- Have you defined extended monitoring fields through which you intend regularly
 - to monitor the anticipated or at least possible outcomes and impacts that go beyond the project's goal and objectives?
 - to monitor the context of the project and identify possible risks?
 - to identify unexpected effects?

A development project is not an island, but an integral part of an existing local, regional and national context. Those responsible for the project must therefore be sensitive to any significant effects of the project on its setting, as well as to any effects of the setting on the project.

- Do you plan to conduct evaluations or other activities that would help you to assess the degree of achievement of objectives and identify possible further effects?

For the indicators and extended monitoring fields that you have defined it is important that you obtain a corresponding baseline at the outset of the project, in order to allow monitoring and assessment of the future changes as such (see also Section 3 of the present Guidelines).

For more detailed information on outcome and impact assessment the reader is referred to the Glossary in the Annex, under the headings "Outcome and impact assessment", "Indicators" and "Extended monitoring fields".

9. Future Prospects/Sustainability

Normally you can apply to us for funding for projects designed to run for a maximum of three years. However, we are aware of the fact that development processes often require support over a longer period before they become self-sustaining.

At the same time, we are convinced that right from the beginning of a project intervention the question must be raised of how the positive effects of the work can be sustained once the target groups are no longer receiving external support. The purpose of project funding is to provide "start-up support", and not to create new dependencies on development funds. MISEREOR therefore endeavours to help ensure that no group risks losing its self-initiative as a result of excessive funding received either from MISEREOR or from other donors. This is why the idea of ensuring self-reliance and sustainability should already be considered when submitting the first request.

Bearing in mind this aspect of "future prospects/sustainability", we would therefore like to ask you two questions:

- Do you think that further external support will be required in order to achieve your planned project goal and objectives once the project term for which funding is now being requested has elapsed? If so, what kind of support and for how long?
- What measures and methods have you already planned in order to ensure that, after an appropriate period of support, the positive effects of the project will continue without further external support (exit strategy)?

What is your organisation itself doing in order to obtain/generate funds of its own?

10. Cost and Financing Plan

A) The normal case: project funding

Please indicate to us the precise intended duration of the project and the planned date of commencement.

The Cost Plan shows the expenditure required for the planned project, while the Financing Plan indicates which revenues will cover this expenditure. The Cost and Financing Plan for which the request is being submitted should be drawn up in your national currency. Any assumed increases due to inflation cannot be anticipated and included in the plan.

a) Please draw up a detailed Cost Plan for your planned measures, broken down if possible into the following categories of expenditure (it goes without saying that the list given below does not imply that all these categories must occur in a project; conversely your request might include expenditure not included on our list).

- Building measures
These may include e. g. the following items:
 - purchase of building plot, site development costs, buildings, external works, ancillary building costs, additional expenditure.

- Non-recurrent expenditure
These include e. g. the following items:
 - purchase of vehicle, furnishings and equipment.
- Staff costs
These include e. g. the following items:
 - wages and salaries plus social security contributions for staff employed directly in the project,²
 - wages and salaries plus social security contributions for general staff of the institution, only a portion of which is to be included in the Cost Plan of the project (e. g. managing directors, accounting staff, ancillary staff etc.),
Please indicate the percentage of these general staff costs to be allocated to the project, i.e. what percentage of the total salary of each individual is to be financed from the project.
 - consultancy fees,
 - staff training costs: course and participation fees, purchase of books, travel costs etc.
- Recurrent programme expenditure
These include e. g. the following items:
 - courses/seminars/workshops/exchange of experience among target groups, writing and teaching materials, travel expenses, per diems, overnight accommodation, fees (unless included under 'staff costs'), room hire etc.,
 - consultancy/extension work with target group: petrol costs for journey to project zone or other transport costs etc.,
 - purchase of operating materials and supplies,
 - advocacy work: travel expenses, printing of presentation materials etc.,
 - publications and teaching aids: costs for the production of publications, handouts, books, videos, CDs etc.,
 - production of radio/TV programmes: hire of studio, technical materials, satellite time, radio broadcast time,
 - studies and surveys: petrol costs, consultancy fees etc.,
 - monitoring and evaluations: petrol costs, material costs, consultancy fees etc.
- Other recurrent expenditure
This includes e. g. the following items:
 - general office and administrative overheads: office rent, software and licences, telephone, fax and Internet charges, photocopies, water, electricity, gas, postal charges, taxes, cleaning materials, insurance, vehicle repair and maintenance, bank charges, office materials and auditing costs.
Please indicate the percentage of general administrative overheads to be allocated to the project.

If you are requesting funding for a complex programme involving different areas of work, you may also first break the expenditure down by working area (e. g. organisational capacity development, health, rural development), and then by the above-mentioned categories.

b) In conjunction with your Cost Plan, please also draw up a Financing Plan:

- Monetary local contributions
We believe that local contributions are very important, and would like to encourage you to also ascribe high importance to them. However, not all local contributions can be included in the Financing Plan. Please compile a list separate from the Cost and Financing Plan of all the local contributions (called 'extra-budgetary local contributions') that cannot be included in the Financing Plan as monetary local contributions.

² Cases can arise in which a project staff member works in two different programmes of an organisation at the same time, e.g. in a health programme and in a food programme, while only one of the two programmes is being funded by MISEREOR. In a case such as this we would suggest defining the percentage of the individual's working time that is spent working in the programme funded by MISEREOR, and including only this percentage of the salary costs (plus social security contributions) in the MISEREOR-funded project. This would also have to be verified at a later date through an audit.

For more detailed information on local contributions, especially concerning which of these can be included as monetary local contributions in the Financing Plan of the project and which cannot, please refer to the Glossary in the Annex under the heading "Local contributions".

- Third-party contribution(s)

Are you/will you be receiving any grants from other organisations or from governmental agencies for the project? If so, please indicate from whom, how much and for how long. How certain are you that you will actually receive these grants?

- Funding requested from MISEREOR.

MISEREOR would like to point out that the contract for funding provides that

- a grant of "up to" a certain amount is agreed, which is to say that the grant approved is a maximum amount available in EURO, though this need not automatically be disbursed in full by the end of the project,
- disbursement will be effected in instalments,
- disbursement of the respective next instalment is not automatic, but is tied to fulfilment of the contractual obligations.

Please note in this connection the major importance of the agreed local contributions and third-party contributions. If the approved Financing Plan includes monetary local contributions or third-party contributions, a percentage of the total volume of the project will be laid down for each item in the Financing Plan. In the Statements of Receipts and Payments, the project partner must then not later than by the end of the project prove that this percentage (!) has been met; should it not be possible to prove this, then MISEREOR must reduce its funding commensurately in order to avoid increasing its agreed percentage share of the total expenditure.

B) Special cases: partial funding of a total budget and cofinancing

The 'partial funding of an organisation's total budget' refers to the case where an organisation submits its total budget to several financing agencies, requesting them each to contribute a percentage of the total budget amount. 'Cofinancing' means that a project / programme is funded by several funding agencies simultaneously.

Should you aspire to obtain either of these two forms of funding, please contact MISEREOR before submitting your request so that we can discuss the specifics that then become relevant.

Annex: Glossary (Examples are printed in italics against a grey background)

<u>Project</u>	A project is a development operation with a limited timeframe that is intended to make a specific contribution to a development process. In technical terms of MISEREOR grant approval, a project is a bundle of measures supported by MISEREOR for a maximum funding period of three years.
<u>Effects</u>	<p>We normally understand effects as a <u>change brought about by an intervention</u>³. The intervention is thus the cause of the change that occurred.</p> <p>In order to be able to speak not only about changes observed in reality but also about effects, we must establish a <u>causal relationship</u> between the change and the action responsible for this (for example the development project), such that the observed change can be described as an effect of something.</p> <p>In <u>development cooperation</u>, we define effects in particular as the changes in the material and non-material living conditions perceived by the people affected as being important, regardless of whether such changes are intended or unintended, expected or unexpected, positive or negative. They may be of a temporary or permanent nature. The changes may have been caused by the project, or the project may have only contributed to these, or they may have come about solely as a result of the actions of others.</p> <p><u>Very seldom</u> do effects emerge in the form: <u>one activity à one effect</u>. We can generally assume that one activity has several effects and that a bundle of activities will produce further effects.</p> <p>The <u>distinction between measures and effects</u> is frequently not made clearly enough: effects are not produced by a project, the project merely sets processes in motion that will bring about certain effects. Effects occur outside the project's direct sphere of influence. The products and services the project itself delivers do not constitute effects; effects appear when these things bring about changes in the lives of the people. Generally, effects begin to emerge where the outputs of a project are used by the population.</p> <p>Effects can be categorised as:</p> <ul style="list-style-type: none"> ○ <u>short, medium or long-term</u>. Effects do not manifest themselves only after the conclusion of a project, but already from the outset and during the whole funding period. They therefore also play an important role in the continuous monitoring. Medium-term effects are often first observable in the late phase of a project. Long-term effects can often not be observed until later project phases or after completion of the project, even if they were set in motion by the activities of a previous project. ○ <u>direct and indirect</u>. Direct effects are the short and medium-term changes that emerge as a direct consequence of project interventions. In MISEREOR terminology, we call them 'outcomes'. Indirect effects are the consequences of direct effects, in other words secondary and tertiary effects. In our terminology, indirect effects are 'impacts'. They tend to be longer-term and complex changes, in many cases only very indirectly attributable to project interventions as other actors also influence them. ○ <u>intended and unintended</u>, ○ <u>expected and unexpected</u>, ○ <u>positive and negative</u>: possible negative effects must be observed in the monitoring as these may jeopardise the overall success of the project.

³ However, there are exceptions where the (intended) effect is in fact the maintenance of the status quo and not the change. In the context of health care and disaster and crisis prevention, the effect may be that the situation has not deteriorated. For the sake of simplicity, we refer only to "changes" in this text.

	<ul style="list-style-type: none"> o <u>temporary and sustainable effects</u>: we speak of sustainable effects when the changes at target group level persist after the end of the project and possibly become more marked. <p>Effects can occur at quite different actor <u>levels</u>:</p> <ul style="list-style-type: none"> o in the population groups that aim to improve their living conditions with the support of the project, o in a group, possibly separate from the target group, involved in implementing a project (for example lawyers who are addressed by a project to help improve their work, thus ultimately enhancing the legal security of the population), o in actors in the surroundings of the target population (e.g. copycat effects by neighbours), o in governmental and civil society organisations that work together with the target group and which are to be influenced in their work through the exemplary successes achieved (in this way projects may engender effects that extend far beyond the strict project framework), o at the legal holders themselves. <p><u>It is imperative that particular attention is paid to effects</u> at the planning stage, such that</p> <ul style="list-style-type: none"> o <u>future outcome and impact assessment</u> is planned (see "Outcome and impact assessment" and "Indicators") in order to ensure that the essential information is on hand and can be used for internal project steering and for external presentation; o <u>one's own planning is subjected to an additional review</u>. The question about the expected effects could be formulated as follows: If the measures are implemented as planned, what effects are expected at the target–group level and possibly beyond? In answering this question, the effect(s) formulated in the project goal and objective(s) should be among those effects expected. Should this not be the case, this could indicate a critical planning error, for the planned measures may not be appropriate for achieving the project goal/objective(s). Secondly, this consideration is helpful in anticipating possible negative side effects and planning countervailing measures from the outset. Thirdly, it is conceivable that the project measures will give rise to positive (side) effects that have nothing to do with the project goal/objective(s), and that it might be beneficial for all stakeholders if these effects are supported, secured and documented.
<p><u>Chain of causality</u></p>	<p>A chain of causality sheds light on how a succession of consequences arises in reality as the result of an event (primarily in terms of a logical sequence but also over time). Chains of causality are a very broad <u>simplification of the real situation</u>, which is generally too complex to adequately record and present, because the reciprocal influences which the various actors exert on each other lead to numerous cross and backward linkages, forming a complexity of "cause-and-effect correlations". In such a complex set of cause-and-effect correlations, chains of causality highlight elements that appear important to the observer.</p> <p>Chains of causality are drawn up during the planning phase (What must we do in order to achieve this or that?) and they are employed in observation after an intervention (What effect did the intervention have?).</p> <p>All plans that set out goals, objectives and measures are based on an <u>intervention strategy</u>: particular activities lead to particular changes. At the planning stage, these are hypotheses on effects that explicitly or implicitly combine to form a chain of causality. As planning is solely concerned with hypotheses about chains of causality, we must constantly examine which changes have actually taken place, and if necessary modify our plans accordingly (this underscores the <u>importance of monitoring, evaluation, and outcome and impact assessment</u>).</p>

<p><u>Outcome and impact assessment</u></p>	<p>The monitoring and documentation of effects, both outcomes and impacts, i.e. their assessment in monitoring and evaluation activities, is important for <u>steering development projects</u> and for fulfilling <u>accountability obligations</u> towards donors, the general public and the target groups.</p> <p>Furthermore, we are interested in the lessons learned by the partner organisation as a basis for effective development work in future; unsatisfactory project results can sometimes make an important contribution in this respect. We are therefore also most interested in hearing about project effects that did not materialise or which were negative – this is the only way we, too, will have a chance to learn from this experience.</p> <p><u>There are two distinct approaches to outcome and impact assessment</u>: one is oriented to objectives and based on a comparison of the planned and actual situations; the other is oriented to change and has been referred to as "open effects assessment".</p> <p><u>Objectives-oriented outcome and impact assessment</u>: We start with the question: "Are the set objectives being achieved?" This corresponds to a comparison of the planned and actual situation. In a second step we ask about which additional effects have occurred beyond this.</p> <p><u>Change-oriented outcome and impact assessment</u>: We start by asking about the changes in the living conditions of the population and then proceed to consider which of these changes were caused by the project and which are the result of other factors. Only then do we pose the question about how far the planned objectives of the project or programme have been achieved.</p> <p>The procedure involving the comparison of the planned and actual situation is simpler as it has a fixed framework (the plan). Using indicators we can examine to what extent the objectives have been achieved. The danger is that the second step is not adequately considered and that the effects assessment is too narrowly focused on the comparison of the planned and actual situation.</p> <p>MISEREOR therefore puts the case for change-oriented outcome and impact assessment, especially in evaluations. At the same time, we understand that this can place excessive demands on monitoring resources, so that that objectives-oriented outcome and impact assessment may be the more expedient option. However, if the latter procedure is adopted, it is necessary to ensure that an "open view towards effects" is maintained, so that unplanned effects are also registered.</p>
<p><u>Goal</u></p>	<p>Goals and objectives are the intended effects as set out in the planning.</p> <p>The goal is the overarching objective which the project aims to help achieve. It is an objective that the organisation planning the project normally cannot achieve on its own but to which it can make a plausible contribution in the form of "indirect effects" (which we at MISEREOR call "impacts"), i.e. consequences of the "direct effects" ("outcomes" in our terminology). In most cases goals are relatively complex social development objectives that are embodied in the organisation's vision and which have provided the initial impetus for the project (what ultimately is the purpose?).</p> <p>In a project designed to promote self-help organisations in a particular region, the goal could be:</p> <p>Civil society in region X increasingly shapes its environment according to democratic principles. In so doing, previously disadvantaged groups take an active role and are listened to (landless groups, women smallholders, indigenous population groups).</p>
<p><u>Objective</u></p> <p><u>Intermediate objective</u></p>	<p>The "effects directly aimed for" in the project, i.e. the "outcomes" in our terminology, are described in one or several <u>project objectives</u>.</p> <p>In addition, <u>intermediate objectives</u> that are necessary as logical or sequential project steps on the path towards the project objective may be formulated.</p>

	<p>Objectives can, for example, describe the following aspects of the desired situation:</p> <ul style="list-style-type: none"> ○ improved living conditions for the target population, ○ greater capacity on the part of the target population to take decisions self-determinedly, ○ greater capacity on the part of the target population to make optimal use of the opportunities available to them in their society, ○ improved framework conditions ensuring increased scope of action for the target population, ○ improved access for the target population to the social infrastructure. <p><u>The formulation of objectives</u> generally takes the form of a qualitative, <u>precisely worded</u> description of a desired status in the future. The project partner can decide whether the objectives should include quantitative information on the new status from the outset or whether this should be undertaken separately. The project objective(s) and, if appropriate, the intermediate objectives must be formulated in such a way that they can be achieved within the project funding period through the efforts of the parties involved in implementation.</p> <p>It is important that the objectives do not describe the planned measures, but what is to be achieved through these measures. It may be helpful when formulating the project objective(s) to ask: What is to be achieved in concrete terms at the end of the funding period? What positive changes must be observable at the end of the funding period in order that the project can be described as successful? When formulating such objectives, it is often helpful to start with the words: "In 20xx (= by the end of the funding period) ..."</p> <p>In a project designed to promote self-help organisations in a particular region, the project objective and intermediate objectives could be:</p> <p>Project objective: In 20 villages in the project region, landless groups meet regularly at their own initiative and undertake self-help activities that they themselves have defined.</p> <p>Intermediate objectives: By the end of the first year, the ten landless groups existing in the project region have consolidated within their individual groups and work to raise awareness among other landless people across the entire region. By the end of the second year, new initiatives of landless groups are established in 40 villages in the project region. By the end of the third year, ten old and ten new groups of landless people have set out their objectives in strategic plans.</p>
<p><u>Measures:</u> - <u>planned measures</u> - <u>implemented measures</u></p>	<p>The activities that are to be implemented.</p> <p>The activities/actions actually undertaken by the project using technical, material and financial resources, and which take place "inside" the project. These generally differ to a greater or lesser extent from the planned measures, as modifications to the original plan are as a rule necessary during implementation.</p>
<p><u>Outputs</u></p>	<p>Outputs are those things a project actually produces and makes available within the project environment, e.g. services, such as advisory or extension services or accessible loan systems, and goods, such as seed.</p> <p>Outputs are not effects of the project. Effects emerge beyond the level of outputs as a result of how these outputs are used and how the situation of those who use the outputs changes.</p> <p>Outputs are often similar to activities, but extend beyond the project. They are handed over to others to use.</p>

<p><u>Use of outputs or products that the project makes available</u></p>	<p>When project outputs are being used, this use constitutes the first direct effects, i.e. outcomes, of a project. Are the services offered by the project "used", and if so, in what form? This question is of great importance, for example in all training and advisory work (and the majority of development projects actually include such a component): Participation in a training course is in itself of no great significance, as the purpose here is to effect a change in the participants – they should put the course content into practice in their life contexts (possibly in adapted form).</p> <p>Sometimes, the "use" represents an intermediate objective of the project; sometimes it is only one stage on the path towards an intermediate objective and is not explicitly mentioned in the planning document.</p>
<p><u>Indicators</u></p>	<p>Indicators are variables that can serve to identify quantitative or qualitative changes and processes within the scope of the project and the project setting. These variables are generally stipulated in the plans, and then observed/measured and analysed during project implementation at predetermined and regular intervals.</p> <p>Indicators can be set for all project planning levels: at the goals/objectives level, if these goals/objectives are not directly observable/measurable; at the activities level and for the project context (framework conditions, assumptions, risks). Indicators at the goals/objectives level and context-related indicators are especially important for effects/outcome and impact assessment. They can be an important monitoring instrument in that they indicate whether the project is on track to achieve the agreed objectives.</p> <p>As all planning handbooks contain detailed descriptions on the form indicators should take, we do not need to explain this here. It is important that the results of the indicators are transparent for outsiders.</p>
<p><u>Extended monitoring fields</u></p>	<p>These are areas that project staff should observe "with an open view" in the project itself and in the immediate project setting as part of their monitoring activities during project implementation. It is possible that effects emerge here that could not be precisely specified in advance, for example</p> <ul style="list-style-type: none"> o possible effects beyond the goal(s) and objective(s) o changes in the project context, possible risks for the project o surprising and unexpected effects. <p>It follows that these effects cannot be accurately measured using indicators, which presuppose clearer expectations regarding the effects to be anticipated. Whereas an indicator can be compared to a car headlight that illuminates a small patch of road, an extended monitoring field is rather like a blinking warning light that calls for more attention to be paid along a particular stretch of road. In contrast to indicators, the initial situation in the extended monitoring fields cannot be recorded very precisely, as their scope is too broad.</p> <p>In a project that promotes sustainable agriculture in small-scale farming, extended monitoring fields can be:</p> <ul style="list-style-type: none"> - the use of additional income (for schooling, alcohol I...??) - the employment situation of the landless: Is there an effect here? - the work load of women engaged in small-scale farming (there is a danger that they have to perform too much extra work in addition to their existing productive and reproductive activities) - cultivation methods in neighbouring villages: Are there any copycat effects?

<p><u>Local contributions</u></p>	<p>MISEREOR is often unable to take into account the contributions made by the target groups and implementing organisations as presented in funding requests and financial reporting. In the Financing Plan, MISEREOR can accept only the following as local contributions:</p> <ul style="list-style-type: none"> o monetary transactions, i.e. transactions involving a flow of money; Putting a value on local contributions in kind or in another form is always problematic, and they can therefore not be included by MISEREOR in the Financing Plan; o costs incurred and income generated directly by the project partner and which can thus be included in the partner's accounts; Costs incurred by the target group cannot be booked in the project partner's accounts and therefore cannot be recognised either by an auditor or MISEREOR; o bookkeeping operations effected during the project funding period; For instance, items of equipment/furniture purchased in previous periods cannot be recognised as local contributions in the Financing Plan as they do not generate a bookkeeping operation in the project funding period; o local contributions towards specific costs can be recognised only if these costs are included in the approved Cost Plan; If a local contribution is made towards costs that are outside the terms of the approval, MISEREOR cannot recognise it in the Statements of Receipts and Payments. <p>All other forms of local contributions (e.g. by the target groups: voluntary labour/unpaid work on construction measures, voluntary work by promoters, local self-financing of travel expenses to attend a training course, provision of free food etc.; or by the Legal Holder of the project, for example if it provides premises and equipment for the project work) cannot be considered in the Financing Plan, but are nevertheless very important for a project as they increase the available resources and the 'ownership' of the people involved.</p> <p>We therefore ask you to inform us about these forms of local inputs separately, outside the Cost and Financing Plan: When submitting a project application, please include a separate comment about the Cost and Financing Plan; when submitting a Statement of Receipts and Payments, i.e. a financial report, please include this information in an annex. In both cases, the approximate monetary value of these non-monetary inputs or contributions in kind can be estimated.</p>
<p><u>Achievement of objectives</u></p>	<p>The achievement of the agreed objectives is naturally of great importance. However, it is not the only criterion that should be applied to assess a project, as there are usually too many effects that were not considered in the planning and which go beyond the intended effects formulated in the objectives. It is therefore important in each case to keep an eye on any unintended, unexpected and possibly negative consequences that may have occurred as a result of the activities.</p> <p>A project may not achieve its set objective but nevertheless bring about other significant changes, such that the project can be considered to have made a good developmental contribution. On the other hand, a project can achieve its objective but nevertheless be considered to have failed due to the number of negative (side) effects.</p>