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ZOPP

(an introduction to the method)

GTZ-Form 21-26-1

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CONTENTS

I. INTRODUCTION

1. The ZOPP planning method was officially introduced at the GTZ in 1983. It is to be applied in planning all project preparation and implementation phases.

   Since 1986 the new commissioning procedure between the GTZ and the BMZ - the German Federal Ministry for Economic Cooperation - has also made the use of ZOPP compulsory in project planning. ZOPP ensures a consistent train of thought and procedure and uniform understanding of the terms used. It thus facilitates communication and cooperation between all parties involved. This does not mean, however, that ZOPP has to be applied in-'a stereotyped manner in all its steps.
   The amount of information available, the task to be tackled and the number of persons participating in ZOPP will determine how comprehensively the planning steps can be implemented in
   each case. To apply the method flexibly, the basic elements of ZOPP presented hereafter must be mastered.

2. ZOPP consists of inter-supportive elements:
   (1) The method, which is explained in this brochure and is the guideline for work in the planning group.

   (2) The team approach as the framework for studying inter-disciplinary problems and the participation of important interest groups and target groups.

   (3) Visualisation - which means the contributions by the planning team and the results of discussions are recorded on cards.

   (4) The rules of application, which in the project preparation phase determine the timing, participation and purpose of the ZOPP workshops. The rules are laid down in the GTZ Organisation Manual[1])

   (5) Project management, which is based on ZOPP and has the task of turning planning into practical project work[2])

   The ZOPP method draws on the knowledge, ideas and experience contributed by the team members. ZOPP is to improve the quality of planning, which in turn determines the benefit for the decision- makers and practical project work. In the final instance, the benefit obtained must justify the planning input made.

3. ZOPP is based on a few very simple underlying principles:
   (1) Cooperation between the project staff and the partner organisations is smoother and more productive if all involved have jointly agreed their objectives and expressed them clearly.

   (2) In development cooperation we try to solve or alleviate problems by tackling them at their roots - their cause. We therefore analyse the problems and their causes and effects. We then deduce feasible and expedient objectives from them.

   (3) Problems and their causes do not exist in isolation, but are intimately linked with people, groups or organisations. Therefore we can only talk about problems if we have a comprehensive picture of and insight into the interest groups, individuals and institutions involved.

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1) Cf. Organisation Manual Section 4211
2) Cf. GTZ Project Management – a guide for implementation in project countries.
   Management von GTZ - Projekten
   Ein Leitfaden . für die Durchführung im Partnerland

The analysis thus attempts to extract typical perspectives of a situation which in reality is very complex. These characteristics then become tangible and can be analysed and worked on by the planning groups. In the interests of the target groups and project personnel a conscious and pragmatic effort is made to simplify methods, as complex ones are often not applicable in practical project planning.

4. During the analysis phase the work results are recorded in the following documents:
   - participation review (Step 1, pages 4-5)
   - problem tree (Steps 2 and 3, pages 6-9)
   - objectives tree, indicating potential alternative solutions (Steps 4' and 5, pages 10-12)

   The steps of analysis are followed by planning steps in the narrower sense, using a project planning matrix, which contains the overall basic structure of a logical and feasible project (Steps 6 to 12).

   The ZOPP documents become more detailed in the consecutive stages called ZOPP 1 to 5, (see section III.). The overall planning horizon should be a reasonable time-span, more or less covering the entire promotion period. The project planning matrix should encompass the promotion phase under review.

5. This brochure gives back-up material for ZOPP introductory courses. It can also be used as handbook to study the method - nevertheless, participation in a ZOPP basic training course is a must.

II. ZOPP IN STEPS

Step 1: PARTICIPATION ANALYSIS - analysis of the project target group and all other persons, institutions etc. participating and involved in the project.

Procedure:

1.1 Write down unsystematically the names of all interest groups, institutions, projects etc. which are located in the region, hold an influential position or may be affected by the problems. Indicate all external influences and interests of all parties involved.

1.2 Scan the groups and persons listed as to whether they consist of homogeneous units or whether sub-groups, sections or sub-units with specific problems or interests can be identified and listed separately.

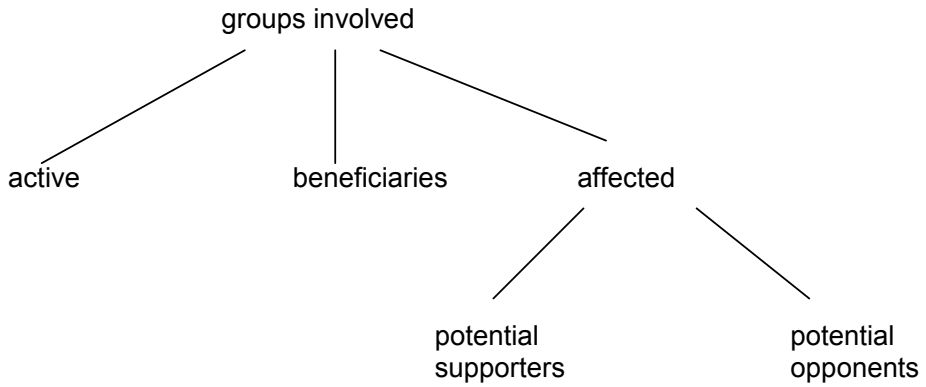
1.3 The planning team decides on the criteria for analysis of all groups, institutions etc.

1.4 When classifying into interest groups, participants etc. always proceed in steps, in the following order:
- collect,
- classify,
- describe,
- analyse,
- evaluate.

1.5 Divide 'the interest groups and institutions into participants and non-participants.

	Institutions	Interest Groups
Participants		
Non-participants		

1.6 If the planning team feels it is expedient the groups involved can also be divided:



1.7 The planning team discusses whose interests and views are to be given priority when analysing the problems. This leads to the second step and the question: "What is the core problem?"

1.8 Separate in-depth analysis can be made of the internal situations or interest groups and their relations with each other.

Step 2: PROBLEM ANALYSIS - Identifying the core problem

Procedure:

2.1 Each member of the planning team first writes down just one problem which he/she deems to be the core problem. Note:

- The problems are expressed as a negative state.
- The core problem must pertinently describe the central point of the overall problematic condition.
- The core problem does not automatically turn into the later project purpose.

2.2 A brief substantiation is then given for each proposed core problem. In the" following discussion we try to agree on what is the core problem. The prevailing theme is always the interests and problems of the persons, groups and institutions involved.

2.3 If agreement cannot be directly reached then:

- arrange the proposed core problems above and below each other into causes and effects,
- try again to agree on the core problem on the basis of the overview achieved in this way.

2.4 If still no consensus is achieved, then

- try brain-storming, role games, or other decision-making aids,
- select the best decision, e.g. by awarding points to determine the preferential solution etc., or
- decide temporarily on one or several core problems, continue work but return to discuss the core problem.

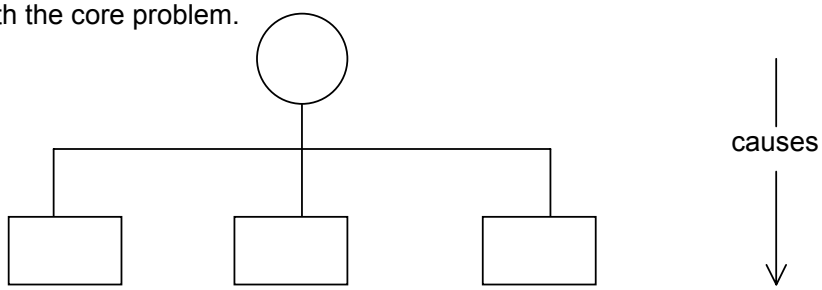
Wherever possible avoid resorting to formal voting to obtain a majority decision.

2.5 To prepare the next step - the analysis of causes and effects of the core problem. - it is expedient to list the problems for each institution and interest group. These problem-lists can be prepared in advance by specialists or during the ZOPP workshop by sub-groups, although it must be guaranteed that they are later discussed and processed to a problem tree around a core problem.

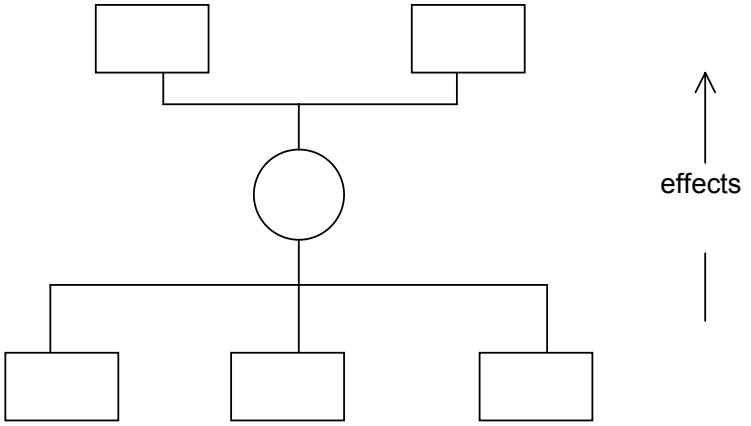
Step 3: PROBLEM ANALYSIS - Analysing the causes and effects of the core problem

Procedure:

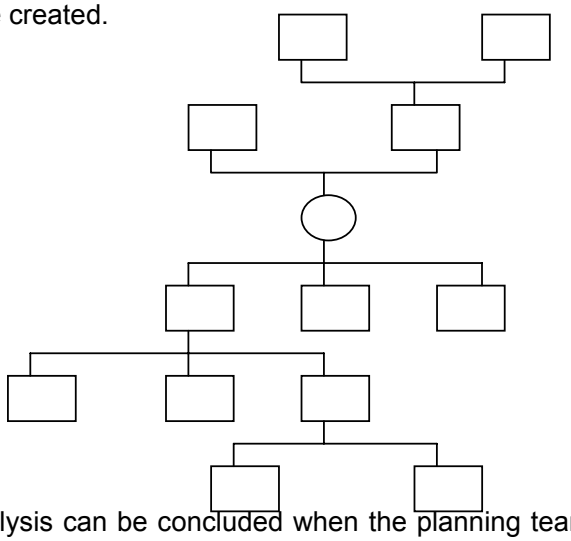
3.1 The substantial and direct causes for the core problem are placed parallel to each other underneath the core problem.



3.2 The substantial and direct effects of the core problem are placed parallel to each other above the core problem.



3.3 Causes and effects are further developed along the same principle so that multi-level causal links and branches are created.



3.4 The problem analysis can be concluded when the planning team is convinced that the essential information has been used to build up a causal network explaining the main cause-effect relationships characterising the problem situation being analysed.

Problems can be placed in different cause-effect relationships, depending on the cultural view under which they are considered; to ensure sustainability of the project impacts it is essential to incorporate the cultural background of all project partners.

3.5 If possible, add indicators to exactly describe the problems.

Step 4: OBJECTIVES ANALYSIS - The hierarchy of problems (problem tree) is transformed into a hierarchy of objectives (objectives tree) and the set objectives are analysed.

Procedure:

4.1 Working from the top downward we reword all problems making them into objectives.

- Problems worded as a negative condition are to be rephrased to become a positive condition to be achieved in the future (= objective).
- The core problem is transformed into an objective like the others and no longer accentuated.

4.2 Points to check when rewording the problems to make them objectives:

- Difficulties in rewording indicate deficiencies
- in the analysis of problems; in this case return to discuss the problem ("what did we really mean to say?")
- Check whether rewording will lead to practically nonsensical or ethically questionable statements; in this case write a replacement objective or transfer the problem unchanged.
- Are the contents set down in the objective sufficient form us to achieve the next highest objective?

4.3 Ensure that cause-effect relationships have become ends - means relationships.

"If cause A, then effect B"

"means X in order to achieve end Y."

Caution: every cause-effect relationship does not automatically become a means-end relationship.

4.4 The objectives tree should be drawn up as an independent, separate overview.

Step 5: DISCUSSION OF ALTERNATIVES - Identifying potential alternative solutions

Procedure:

5.1 Related means-end branches in the objectives tree are identified. (We draw a pencil circle around the means-end branches. The circles can overlap.) These means-end branches constitute the alternative solutions.

5.2 The alternatives are marked (with numbers or labelled with descriptors, e.g. "production approach", "income approach", "training approach", etc.).

5.3 The chief criterion when evaluating and selecting alternatives is whether the project is expedient and realistic. The following aspects can be significant:

- development-policy priorities
- specific conditions in the project country
- suitability of the alternative solution for the Technical Cooperation scheme (in contrast to Financial Cooperation or other instruments of development cooperation)
- funding available
- GTZ's experience in this region or sector
- available manpower
- complementary or competitive activities of other donors

The choice among alternatives can be supported by:

- cost-benefit analyses of alternatives prepared in the scope of appraisal reports and feasibility studies
- additional analysis steps, for example analysis of interest groups and target groups
- group discussions and management decisions

5.4 Even when there are no really viable alternative solutions, we should nevertheless take the alternative approaches into account for options at the implementation stage.

Step 6: PROJECT PLANNING MATRIX - We develop an overall description of the project

Procedure:

6.1 The chosen project is derived from the objectives tree and transferred into the first vertical column of the planning matrix (see p.11). We proceed as follows:

- start at the top and work downwards,
- decide on one overall goal and one project purpose,
- if necessary, review the wording in the objectives tree and make it more accurate.

6.2 The project purpose describes the intended impacts or the anticipated benefits of the project as a precisely stated future condition. The project purpose contributes to achieving the overall goal.

6.3 The results/outputs are expressed as objectives, which the project manager must achieve and sustain. Their combined impact must be appropriate, necessary and sufficient to achieve the project purpose.

6.4 We write down those activities, which are necessary to achieve the results/outputs, noting that to ensure clarity:

- we do not list too many detailed activities, but rather indicate the basic structure and strategy of the project,
- in contrast to the objectives levels, we express the activities as an action, e.g. (activity) train counter-parts (objective) extension service in operation.

6.5 Activities and results/outputs are given consecutive, related numbering. The numbering can be used to indicate the sequence of events or the priorities.

6.6 The column entitled summary of objectives and activities must describe the operational means-ends relationships in the project structure,

- the activities are implemented in order to obtain the results/outputs
- the results/outputs are necessary and (together with the assumptions) sufficient basic requirements to achieve the project purpose,
- the project purpose is a prerequisite to obtain the overall goal.

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH Dag-Hammarskjöld-Weg 1 D-6236 Eschborn 1	PROJECT PLANNING MATRIX (PPM)	Project Title: Project No: Est. Project Duration: Country:		PPM prepared on (date):
SUMMARY OF OBJECTIVES/ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS/SOURCES OF VERIFICATION		IMPORTANT ASSUMPTIONS
OVERALL GOAL to which the project contributes 1. How do we word the OG, taking into account the results of the analysis of objectives?	INDICATORS that overall goal has been achieved 9. How do we define the contents of the OG (in the various phases), i.e. the contribution to the achievement of the OG, so that they become measurable? Note: Quality, quantity, time and possibly location and target group.	12. Which database is available, or which documents have been drawn up or can be obtained elsewhere, to prove that the OG has been achieved?		for sustaining objectives in the long term 8. Which external factors will have to occur in order to assure sustained continuity of the achieved contribution to the OG in the long term?
PROJECT PURPOSE 2. With which PP (independent of factors manageable by the project management) will we make a considerable contribution to the achievement of the OG?	INDICATORS proving that the project purpose has been achieved (end-of-project status) 10. How do we define the contents of the PP (in the various phases), i.e. the achievement of the project purpose, so that it becomes measurable? Note: Quality, quantity, time and possibly location and target group.	13. Which database is available, or which documents have been drawn up or can be obtained elsewhere, to prove that the project purpose has been achieved?		for achieving the overall goal 7. Which external factors will have to occur for the anticipated contribution to the overall goal to actually take place?
RESULTS/OUTPUTS 3. Which results/outputs (as a whole and in effective combination) will have to be obtained in order to achieve anticipated impact (the Project Purpose)?	INDICATORS proving that the results/output. have been achieved 11. How do we define the contents of each individual result/output (in the various phases) so that they become measurable? Note: Quality, quantity, time and possibly location and target group.	14. Which database is available, or which documents have been drawn up or can be obtained elsewhere, to prove that the results/outputs have been achieved?		for achieving the project purpose 6. Which important assumptions in relation to the results/outputs 1 to ..., that cannot be influenced by the project or have been consciously defined as external factors, must occur in order for the project purpose to be achieved?
ACTIVITIES 4. Which activities (also as complex packages of measures) will the project have to tackle and implement in order for the results/outputs 1 to ... to be obtained?	SPECIFICATION of inputs/costs of each activity 15. What does it cost and what inputs are needed (including personnel inputs in man-months) in order to implement each individual activity?	16. What records voucher for the costs entailed, consumption of materials, use of equipment, inputs of personnel etc.?		for achieving the results/outputs 5. Which important assumptions in relation to the activities 1 to ..., that cannot be influenced by the project or have been consciously defined as external factors, must occur in order for the results/outputs to be obtained?

MANAGEABLE FACTORS

If these activities are carried out, then results/outputs are obtained

DEVELOPMENT HYPOTHESIS

If these results/outputs are obtained, then the project purpose is achieved

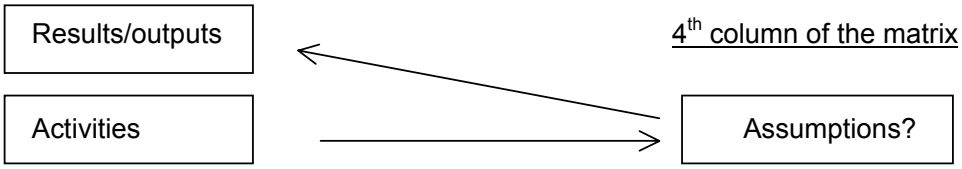
If the project purpose is achieved, then a contribution is made towards the overall goal

Step 7: PROJECT PLANNING MATRIX (PPM)

- Determine the important assumptions

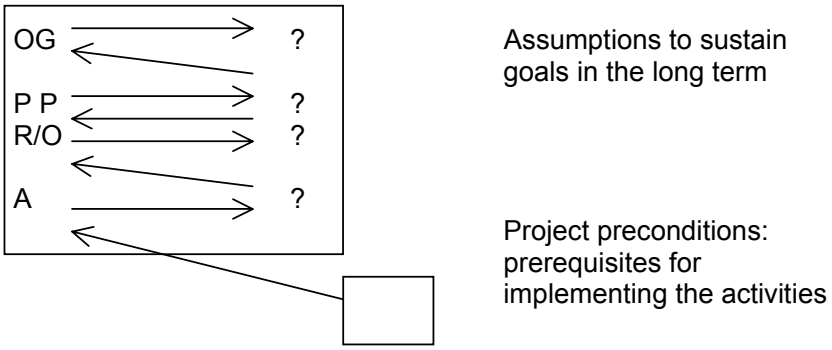
Procedure:

7.1 We examine whether activities directly generate the desired results/outputs or whether an additional event must also take place outside the project (assumption).



7.2 Some important assumptions can be derived from the means-end relationships in the objectives tree, which were not incorporated into the project.

7.3 We make the three-step check (see 7.1) at all levels starting from the bottom in order to verify that the concept is logically conclusive and complete. Each level must contain the necessary and sufficient conditions (including assumptions) for the next highest level.



Note: The fourth column of the project planning matrix "important assumptions" lags one level downwards in relation to the "summary of objectives/activities." The preconditions for implementing the activities are thus outside the normal PPM and the top right-hand square is used for the assumptions necessary to sustain the overall goals in the long term.

7.4 Ensure that:

- important assumptions are expressed in the same way as objectives (as a positive condition)
- the important assumptions are described in such operational detail (with indicators if possible) that we can exactly see whether these external conditions have occurred or not.
- only important assumptions are stated which are logically- necessary, additional conditions.

7.5 Assumptions which are important but improbable are "killer assumptions" and cannot be planned! If killer assumptions exist, planning must be changed or the project must be abandoned.

Step 8: PROJECT PLANNING MATRIX - Wording our indicators

Procedure:

8.1 The indicators define the contents of the objectives (OG, PO and RIO). Either the objectives or the indicator must also contain

- the time period,
- the region,
- the target group or
- the partner institutions.

8.2 The details in the indicators allow us to exactly measure how far the objectives have been achieved at different periods in time. We must also quantify the quality factors as far as possible. To do this several direct indicators are usually required, plus, if necessary, additional proxy indicators, substitute indicators etc.

8.3 When the contents of the objectives have been fully in-corporated we must state how to measure them and set the quantities required.

8.4 The prescribed measuring process must be accurate enough to make the indicator objectively verifiable. An indicator is objectively verifiable when different persons using the same measuring process obtain the same measurements quite independently of one another.

8.5 A good indicator is

- substantial, i.e. reflects the essential content of an objective in precise terms
- objectives-oriented, i.e. the means-ends relationships between the levels on the PPM suffice in terms of quality and time to achieve the next highest level.
- plausible, i.e. the changes recorded can be directly imputed to the project,
- independent, i.e. it differs in content to that on the level in the PPM immediately below it, so that the degree to which the objective has been achieved can be measured directly, and quite independently of the inputs made.

8.6 At an early stage of planning indicators are just guiding values which serve to quantitatively analyse the project concept. We examine what inputs should be used to achieve quantifiable results/outputs or impacts. These guiding values must be reviewed again on location, and where necessary replaced by project-specific indicators.

Step 9: PROJECT PLANNING MATRIX

- Describing the means of verification

Procedure:

9.1 We stipulate the sources of information to be used to verify each indicator.

9.2 The third column of the matrix is to give an exact description of what information is to be made available, in what form and, if necessary, by whom. The sources of verification should be allocated numbers corresponding to those of the indicators.

9.3 Sources of verification outside to the project are reviewed as to:

- how much information they contain on the region and on the target groups,
- how reliable, up-to-date and accessible they are,
- their composition and how they were obtained.

9.4 When suitable sources of verification outside the project cannot be identified, the information necessary to verify the indicators must be collected, processed and stored internally by the project itself.

9.5 The collection, preparation and storage of information in the project itself and the individual activities this involves are to be incorporated as an activity in the activities column and calculated in the specification of inputs and costs.

9.6 Indicators for which we cannot identify suitable sources of verification must be replaced by other, verifiable indicators.

9.7 Indicators which, after consideration of costs and benefits, are too expensive must be replaced by simpler, cheaper controls.

Step 10: PROJECT PLANNING MATRIX - Analysing how relevant he assumptions are, what risks they entail; incorporating this into the project concept

Procedure:

10.1 The assumptions must be reviewed as to whether they are appropriate for the quantities and dimensions to be analysed by the indicators, and they must be more exactly defined, quantified and supplemented where necessary.

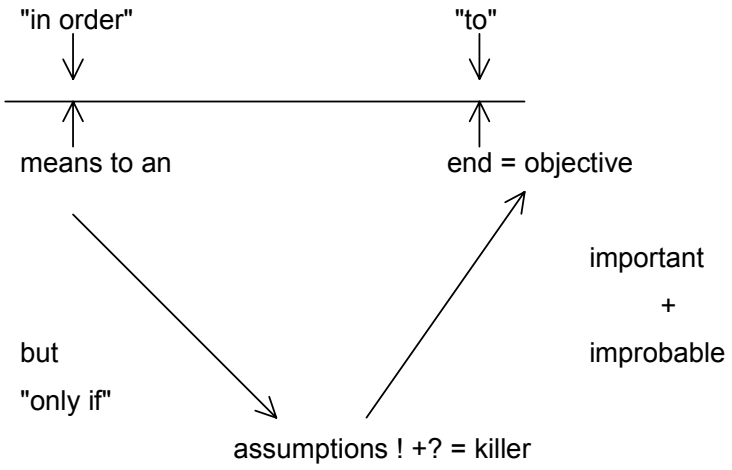
10.2 Exactly define the assumptions for the feasibility of each individual activity (basic preconditions).

10.3 Those assumptions. which are essential prerequisites for the next level are marked, for example with an exclamation mark (!).

10.4 All assumptions are re-examined as to their probability. When it is questionable or improbable that they will occur, they are also marked, for example with a question mark (?).

10.5 Assumptions which are important for project success (!) but which are not likely to take place - are improbable (?) -are "killer assumptions" and signalise the unfeasibility of the planned concept.

10.6 "Killer assumptions" force us to abandon the project if they cannot be eliminated by a lower-risk concept.



10.7 Activities, results/outputs and objectives must be altered as often as necessary until the "killer assumptions" disappear.

10.8 The overall risk of a project comprises the risk for achieving the objectives and potential unintended negative impacts. An additional risk analysis may be necessary to assess the overall risk involved.

Step 11: PROJECT PLANNING MATRIX - PPM
- Checking whether the project management can guarantee the results/outputs.

Procedure:

11.1 After analysing the risks entailed in the assumptions and making a quantitative analysis using the indicators, we enquire again into the factors that can be managed by the project management and the latter's responsibility for the results/outputs.

11.2 The question of the manageable factors posed in fact the question of what can be directly achieved in the scope of a project. The question of responsibility for the results/outputs is a legal issue to be dealt with outside of ZOPP.

11.3 The manageable factors are identified on the basis of
- situation at the outset
- the objectives and
- the risks.

11.4 The project management must be willing and able to guarantee the results/outputs, so that the project purpose can be achieved. It can only enter into a legal obligation to do something that actually appears possible.

11.5 The project management can be formed by one project partner alone or jointly by the project partners. Management responsibility must be stipulated in the government agreement and in the project implementation agreement and also in the employ""
contracts for project staff.

11.6 The planning must delimit duties, powers and responsibility at the different project levels, in accordance with the actual possibilities and necessities.

Step 12: PROJECT PLANNING MATRIX -
Determining the specifications of quantities and the costs for each individual activity.

Procedure:

12.1 We identify the quantities of goods and equipments, project finance and manpower required to carry out the individual activities.

12.2 Project finance does not cover costs for goods and materials or personnel, but those funds which are to be used directly as cash.

12.3 The manpower inputs are given in man-months, separately for each individual activity.

12.4 The goods and equipment are first listed ('x' tons of seed, 2 tractors) and allocated (in percentage if necessary) to each individual activity,

12.5 After making rough estimates and generally specifying inputs, we again review the project concept and

- specify the quantities required for each individual result,
- discuss, from the cost-benefit viewpoint, the priority-rating of each result and the contribution it makes to obtaining the project purpose,
- estimate possible additional inputs which may be required on the basis of the risk analysis.

12.6 When quantity limits have been set by the funding organisation the design must be reviewed from the quantitative aspect. Planning must then indicate options - what inputs can achieve (or not achieve) what results.

12.7 The design must be re-examined from the quality aspect when the specification of inputs as such seems to be problematic. This can be the case, for example, when

- energy consumption is too high,
- foreign exchange is required,
- results bring long-term dependency on imported goods,
- project running costs or follow-up costs are too high,
- activities are not sufficiently labour-intensive or do not encourage self-help by the target groups.

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12.8 The specification of inputs is the basis for calculating an offer to implement the project and for calculating the costs.

III. THE PLANNING STEPS IN THE DIFFERENT ZOPP WORKSHOP

1. In practically applying ZOPP at the GTZ the ZOPP stages briefly explained hereafter have crystallized:

   ZOPP 1 ("Pre-ZOPP") In preparation of a decision to carry out a project appraisal, a formal preliminary commentary is worked out by the GTZ for its client, the Federal Ministry for Economic Cooperation (BMZ), giving where-ever possible recommendations for future procedure and an offer for implementation of the appraisal to the BMZ.

   ZOPP 2 (" Appraisal-ZOPP") As a preparation for the project appraisal, the Terms of Reference for the appraisers are defined. The' appraisers for the project participate in ZOPP 2.

   ZOPP 3 ("Partner-ZOPP") The major conclusions and recommendations of the appraisal report are analysed and coordinated with the partners in the project country and processed to a joint project design, including planning for inputs and services.

   ZOPP 4 ("Take-off ZOPP") The plan of operations is prepared through updating and further developing analyses and planning in the project, on location, with the project personnel and the counterpart authority.

   ZOPP 5 ("Replanning-ZOPP") For plan adjustments, i.e. modifications or supplements to objectives and results levels during project implementation (also to prepare the oncoming project phase). The planning seminar is conducted on the spot with the participation of the counterpart organisation, the GTZ and, if necessary, the BMZ.

   Other ZOPPs are recommended to update planning in annual ZOPP seminars. The GTZ project leader is responsible for these ZOPPs. A member of project staff can generally be moderator for the workshop.

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1) Section 4211 of GTZ Organisational Manual defines the 5 regular ZOPP stages for analysis and planning and the different persons and organisations involved.

2. Decisions on projects are based on internal and external procedures. In the final instance, both the initiative for a project and the decisions concerning it lie with the counterpart organisation and the funding source. In the application for a project, the order to implement it and the directives concerning the project, the counterpart organisation and the funding source set the framework for analysis and planning, in which the objectives, the time-scale, the type of project and the scope of operations are more or less exactly defined. The detail and the information available determine the scope and the intensity of the planning workshop and to what extent the method can be applied throughout. The information must always become more detailed and reliable from ZOPP , to ZOPP 5.

   The information required is all the more exactly definable and the search for alternative all the more limited, the narrower the set framework for analysis or planning. When the information is reliable and abundant the method can be applied all the more intensively throughout. ZOPP is always a decision-making aid and the directives given by counterparts and funding organisations must be observed.
   The results of ZOPP must not influence or excessively prejudice their freedom and scope for decision.

3. In principle the ZOPP method should always be applied as an integral process. It is not a question of drawing up a problem tree at "zero point", then filing this away and just talking about objectives and inputs. The objectives and the inputs must continuously be reviewed as to their suitability for solving the problems, and how they are compatible with and non-detrimental to the project's environment. However, we cannot always process all ZOPP steps with the same intensity and degree of detail. Before each ZOPP workshop, therefore, the specific areas of analysis and planning problems have to be examined. The advice of an experienced ZOPP moderator can help to save time and errors.

   When applying the method to a specific situation and need, we must however ensure that the results also become more substantial and reliable in the course of time and thus more binding. Step by step we should:
   - establish descriptive hypotheses (e.g. draft a hypothesis on the causal relationships between problems)
   - verify these descriptive hypotheses (e.g. assign expert appraisers to examine the problems described and their causes and effects)
   - quantify these hypotheses (e.g. provide evidence of these problems and their causes, through expert studies and indicators)
   - review quantities (e.g. in the scope of a preliminary project phase, or of a situation analysis at the beginning of a project)

- analyse the potential for success and the risks involved (e.g. by pilot measures with carefully planned parallel investigations)
- plan inputs and services and continuously monitor and evaluate them.

Analysis and planning should thus create a link between action and learning and make this link tangible.

4. The following table gives an overview of
   - the time required for each ZOPP stage
   - who is to participate
   - the conceptional scope for action
   - the degree of detail in planning required.

Steps \ ZOPP Workshop		ZOPP 1 "Pre-ZOPP"	ZOPP 2 - "Appraisal-ZOPP"	ZOPP 3 "Partner-ZOPP"	ZOPP 4 "Start-ZOPP"	ZOPP 5 "Replanning-ZOPP"
1	Time input depending on the size of the project	1 day	1-2 days	2-5 days	3-10 days	3-10 days
2	Planning team (coordinator is underlined)	Regional Department, relevant project department Resource persons (BMZ, KfW) 4-7 team members	Project Department, appraiser, resource persons 3-7 team members	GTZ Head-office project liaison officer (PS), appraisers, counterpart institutions (Representatives of target group) head of GTZ Project Administration Service, Representative of competent Ministry, representative of the German embassy	Project team, PS, project executing institutions, representatives of the responsible ministry, target groups, external moderator, head of PAS	As in ZOPP 4, plus where applicable appraisers, GTZ Head Office Project Liaison Officer (PS), Head of GTZ PAS, external moderator
3	Conceptional scope of action	Wide	Limited[1]	Limited[1]	Very limited[2]	Large
4	Participation review	Limited information, only name major groups	Information still limited, list should be as comprehensive as possible marking gaps to be filled by appraisers	Intensive analysis	Review the participation analysis, supplement where necessary, structure cooperation relationships	Review documents from ZOPP 4 and possible additions particularly when redesigning project
5	Problem analysis and analysis of objectives	As comprehensive as necessary, but not too detailed, identify information gaps	Refer to ZOPP 1, but review gaps and mark where more information is required	Answer open issues, evaluate the relevance of problems and objectives	Review and indepth processing of existing analyses, prepare ongoing monitoring of the problem situation[2]	Review in regard to the new problems encountered or modifications planned
6	Analysis of alternatives	Where sufficient information available, identify and evaluate alternative project approaches	Depending on contents of BMZ order	If Overall Goal and Project Purpose cannot be achieved = appraisal result is negative If result is positive, examine implementation alternatives at activity to a limited degree also at results level	At activity level, if applicable; depends on the content of the implementation offer/order	Identify and assess alternatives, especially when redesigning project
7	Project planning matrix (PPM): summary of objectives and activities	Overall goal, objectives, results: no activities	Preliminary statement of activities	Binding definition of overall goal, project purpose, results; state activities	Determine activities, plan of operation and possible detailed project-internal work planning	Restate again overall goal, project purpose, results and activities
8	PPM: assumptions	State assumptions known	As in ZOPP 1	Clear definition of external factors, contributions and inputs by third parties, pre-conditions for project implementation	Development of a plan to monitor for assumptions	If necessary state new assumptions and draw up plan to monitor assumptions
9	PPM: indicators and means of verification	Not yet applicable	Underline their importance, discuss examples	State main indicators	To be detailed and serve as a basis for monitoring	Details of new indicators and means of verification where necessary
10	PPM: specification of costs and inputs	Not yet applicable	Rough estimate	Details must be sufficient to be the basis for an offer for project implementation	Detail planning, possibly for individual working areas	Detail planning for new approach

1) At this point in time, an order to appraise a defined project proposal has already been received from the BMZ

2) At this point in time the BMZ order to implement a defined project has been received, the government agreement has been signed, changes can only be made after renewed coordinations and agreement with the BMZ and the project executing organisation.