ナミビア国
貿易産業省

ナミビア国
産業政策アドバイザー専門家派遣
（産業政策）
業務完了報告書

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ナミビア国 産業政策アドバイザー専門家派遣（第二年次）

業務完了報告書

目次

1.　専門家派遣の背景・経緯

ナミビアは安定した経済成長により、一人当たり国民所得が 4,210 米ドル（世銀 2008 年）の中所得国に分類されているが、ジニ係数が 0.7 と貧富の格差が世界で最も大きい国の一つとなっている。非鉱業分野における、限られた雇用と労働者技術力不足により、35～50%と言われる高い失業率が問題となっている（IMF 2010 年）。貧困者の 85%が農村に居住し、国民全世帯の 3 分の 1 が自給自足の生活を強いられている（IMF 2005 年）。広範な貧困を撲滅すべく、ナミビア政府のビジョン 2030 では、「人々に平等の機会が与えられ、世界的な競争力を実現し、最大限の成長を持続させ、全国民の生活の質を向上させる産業立国」を目指している。

2008 年 5 月及び 11 月に行われた国家計画委員会（National Planning Commission）及び貿易産業省（Ministry of Trade and Industry）の代表と JICA の経済タスクフォース調査団との協議において、ナミビアの経済発展の制約要因が明らかにされ、公共財政管理及び産業開発における能力強化の必要性が確認された。ナミビア政府の要請に応じ、JICA は、産業政策及び中小企業（Small and Medium-sized Enterprises：SME）振興の専門家である、森 真一を派遣することに決定した。当専門家は 2011 年における 8 ヶ月間の業務を通じて、ナミビア政府の産業・SME 振興の政策・施策をレビューし、貿易産業省の活動・サービスを分析し、産業・SME 振興上の主要な問題を解決するためのアクションを提言し、その実施を支援した。同業務に引き続いて、貿易産業省の業務実施能力をさらに向上させることを目的に、2012 年の 8 月下旬から合計 4.5 ヶ月にわたり、同専門家が貿易産業省に再度派遣されることとなった。同専門家は第一年次には産業開発部（Directorate Industrial Development）に配置されたが、第二年次においては、貿易産業省の要請に基づき、事務次官（Permanent Secretary）へのアドバイザーとして、全省にかかる業務への助言が当該専門家の主たる役割となった。当該専門家の派遣は、2012 年 8 月 26 日から 10 月 21 日、11 月 18 日から 12 月 6 日及び 2013 年 1 月 24 日から 3 月 16 日（うち 2 月 17 日から 25 日は別件出張につき業務停止期間）に行われた。

2.　活動の実績

(1)　中小企業の定義への助言

貿易産業省では、1997 年の「小規模ビジネス振興にかかる政策とプログラム」において、SME を以下のように定義している。

ナミビアにおける SME の定義（貿易産業省）

分野	従業員数	売上の上限	資本の上限
製造業	10 人未満	ND1 百万未満 [1]	ND 0.5 百万未満
その他のビジネス	5 人未満	ND 0.25 未満	ND 0.1 百万未満

注：SME は従業員数、及び他の 2 つの指標のうち最低 1 つを満たさなければならない。

ナミビア企業が SME と認定される（例えば、産業貿易省の SME 認証を受ける）場合に、(a) 政府の入札において優遇される、(b) 政府や金融機関の支援プログラムに応募する際に優遇される、といったメリットがある。SME 認証を受けるにあたって、企業は社会保障委員会が発行する「社会保障の

[1] 1 ナミビアドル＝10.3 円（2013 年 3 月）

未払いのない証明書」を申請書に添付することが求められているが、売上や資本については自己申告に留められている。さらに、一般の途上国で共通にみられるように、各組織では、それぞれの必要に応じて異なった SME の定義が用いられている（例えば、First National Bank は、従業員 50 名までの企業を SME としている）。

ナミビア財務省より、貿易産業省に対して、すべての組織で共通に用いるべき SME の定義を提案するようにとの要請が出されたことにより、本専門家は貿易産業省次官より SME の定義についての意見を求められた。そこで、同専門家は添付資料 1 の"Proposal on the Definition of SMEs in Namibia"を作成し次官に提出した。同資料では、以下の定義が推奨されている。

本専門家が推奨したナミビアの SME の定義

指標	マイクロ企業	小企業	中規模企業	大企業
従業員数	0-5 名	6-30 名	31-100 名	100 名以上

専門家の提案書が省内で回覧された後、数人の管理職から以下の意見が出された。

「従業員数は、中小企業の姿を必ずしも反映できない。売上といった他の指標も同時に用いるべきである。さらに、他の組織より、従業員数のみが定義で用いられることについて、異論が唱えられると考えられる。」

ほとんどの途上国は、中進国であったとしても、正確なデータの収集や確認ができないことから、政府や民間組織で共通に利用できる中小企業の定義を規定することは困難であることに留意すべきである。こうした国々では、統計局や、中小企業を統括する省庁が、中小企業の定義をまず規定し、他の組織はそれを参考としつつ自らの目的に応じた独自の定義を採用（ないし追加）するのが一般的である。ナミビア貿易産業省においても、すべての目的を包括するような定義ではなく、参考となる定義を採用すればよいと判断される。

本専門家が提案書を提出した後、貿易産業省の幹部からは、何ら新たな提案は出されておらず、また、建設的な議論が行われていない。SME の定義を担当する産業開発部より、「新たな SME の定義については、今後ドラフトされる予定である SME 政策の一環として議論されることとなる」と専門家に報告されている。

(2) フィージビリティ調査、ビジネスプラン及びメンタリング・サービスへの助言

貿易産業省の「プロジェクト委員会」が監理の責任をもつ、フィージビリティ調査、ビジネスプラン及びメンタリング・サービス[2]の運営には、以下の問題があることが本専門家により指摘された。

- これらのプログラムの応募要件や選考基準が明確に規定されていない。それにより、これらの知的サービスのアウトプットを有効に活用できないレベルの SME が多く受益者に含まれており、インパクトが著しく限られてしまっている。
- 申請書のフォームが存在しないために、申請者の「提案されたプロジェクトを実施する上での財務能力」といった重要な情報を得ることができていない。

[2] 外部コンサルタントを用いて、各種トレーニング（個別、集団）、経営改善、会計指導などを行うもの。

- 貿易産業省の州事務所は、申請者に関する情報を的確に把握できる立場にあるにも関わらず、申請書の予備的評価が行われずにすべての申請書が本省に送られてきている。
- サービスに関する Memorandums of Understanding がコンサルタントと貿易産業省の間でのみ交わされており、これが、裨益者である SME のオーナーシップが失われている原因の一つとなっている。
- コンサルタントによって作成されたドラフト報告書に対して、プロジェクト委員会[3]がタイムリーかつ有効なフィードバックを行うことができず、最終的な承認がおりないままでいる報告書が積みあがっている。また、プロジェクト委員会の現在の品質管理の方法は、時間の無駄が多く、非建設的であり、その結果、コンサルタントが、銀行に対するビジネスプランと、貿易産業省に対するビジネスプランの 2 種類の成果を出さざるを得ないケースが生じてしまっている。
- コンサルタントのパフォーマンスを評価する手段がなく、コンサルタントが低いレベルのサービスを提供した場合であっても、プロジェクト委員会はこうしたコンサルタントを選定対象から排除することができていない。

上記の問題に対する解決として、本専門家は 4 つの書類を作成して産業開発部に提示した。これらの書類の内容及び、産業開発部が行った対応は以下のとおりである。

(a) “Business Support Services Program” [添付資料 2]の新しい募集要項（フィージビリティ調査、ビジネスプラン、メンタリング・サービスの目的、優先分野、応募要件・条件（フィー負担を含む)、応募フォーム、応募フォームの書き方）

対応：産業開発部は現在、本専門家の提案した募集要項を改定しているところである（応募者による費用負担は採用されず、選考用件を厳しくすることによって対応することとなっている)。なるべく早く新募集要項が産業貿易省の幹部に承認され、それが一般に公開されるとともに、これに基づいてプログラムが実施されていくことが望まれる。

(b) 州事務所において記入されるべき“Project Assessment Forms” [添付資料 3]（プロジェクト要約表、予備的評価フォーム、及び州事務所職員が実際に申請者を訪問したことを申請者が証明する署名フォーム）

対応：産業貿易省本省に送る前に、各州事務所で予備的評価を行うことが決められており、産業開発部は現在、本専門家から提案された上記フォームをレビューしているところである。

(c) ビジネスプランの実施に際して、コンサルタントの契約時に提示され、またドラフト報告書のチェックに用いるべき“Business Plan Checklist” [添付資料 4]（本専門家は、当該チェックリストを実際に用いて、産業開発部の職員と一緒にビジネスプランのドラフト報告書のチェックを 9 件行った)。

対応：産業開発部は現在、本専門家から提案された上記フォームを改定しているところである。

[3]本スキームの運営を監理する、部局横断的な委員会であり、総務部長を委員長とし、投資センターや産業開発部のマネージャー等で構成される。

(d) ビジネスプランのドラフト報告書をコンサルタントから受領した際に、産業開発部がコンサルタントのパフォーマンス評価に用いるべき“Consultant Performance Evaluation Report” [添付資料5]。

対応 : 産業開発部は現在、本専門家から提案された上記フォームを改定しているところである。

(3) 機材支援スキーム

2011 年に本専門家が行った提言及び州事務所職員に対するトレーニングの結果、機材供与スキーム[4]に関するすべての申請書について、州事務所がまず予備的評価を実施することが徹底されるようになった。業務手続きをさらに円滑にするため、本専門家は 2 つの書類を作成して産業開発部に提示した。これらの書類の内容及び、産業開発部が行った対応は以下のとおりである。

(a) “Equipment Aid Scheme” [添付資料 6]の新しい募集要項（目的、支援内容・条件、応募要件・条件、応募フォーム、応募フォームの書き方）

対応：産業開発部は現在、専門家の提案した募集要項の改定を行っているところである。なるべく早く新募集要項が産業貿易省の幹部に承認され、それが一般に公開されるとともに、これに基づいてプログラムが実施されていくことが望まれる。

(b) 2011 年に本専門家が提案したフォームの改訂版であり、州事務所が記入すべき“Project Assessment Forms” [添付資料 7]（プロジェクト要約表、予備的評価フォーム、及び州事務所職員が実際に申請者を訪問したことを申請者が証明する署名フォーム）

対応：当該改訂版に基づいて、州事務所の職員による予備的評価が実際に行われている。

(4) 州事務所の運営

貿易産業省の各部局は、同省州事務所のパフォーマンスにそれぞれ不満をもっている。地方経済開発課（Division Regional Economic Development）の管理下に位置されている州事務所の運営方法を本専門家が観察して問題を特定した結果を“Problems in Regional Office Administration and Recommended Measures for Improvement” [添付資料 8]にとりまとめ、“Transfer of Documents (from MTI Regional Office to Head Office)” [添付資料 9]及び“Acknowledgement of Receipt of Documents” [添付資料 10]を作成して提出した。

本専門家の提案及びそれに対する貿易産業省の対応は以下のとおりである。

(a) 地方経済開発課を部に格上げすることにより、職員と予算を確保することにより、(i)地方事務所の適切な運営と、予算の計上、執行が行えるようにする、(ii)意思決定及び決定事項の実施のスピードを早められるようにする。

対応：産業貿易省は現在、組織の改革の計画を構築しているところであり、地方経済開発課の件が、この改革計画にどのように反映されるかについては、省の方針は聞かされていない。

[4] SME からの要請に応じて、製造業やサービス業に必要な機材を無償で供与するプログラム。

(b) 現在は職員1名(課長のみ)である地方経済開発課に適切な数の職員が配置されることにより、地方経済開発課長が本省において求められる業務に従事することができ、州事務所に関する会議に参加でき、必要に応じて他部局との協議に応じることができるようにする。

対応:貿易産業省の幹部は今後本件について適切な処置をとること、そして、2013年4月から行われる予定の貿易産業省の組織改革計画において改善が行われる予定であることが、本専門家に伝えられた。

(c) “Central Purchase Unit”及び”Petty Cash Account”を作り、州事務所が消耗品などの小規模な物品の調達をスムーズにできるようにする。

対応:貿易産業省幹部は、現在のやり方を踏襲すれば十分であると考えており、本専門家の提案は受け入れられなかった。

(d) 州事務所から本省への文書の流れを円滑にし、文書がなくなることを防ぐために、本専門家が作成した2つのフォームの利用が開始されるべきである。

対応:これらのフォームが州事務所に配布されたという報告がなされた。しかしながら、州事務所の職員全員が、このフォームを使うことの必要性を理解しておらず、本省と州事務所との間のコミュニケーションがいまだ不十分であることが感じられた。

(5) SME パーク(Sites and Premises Program)

貿易産業省傘下の Namibia Development Corporation(NDC)の運営する SME パーク(詳細は、本専門家1年次の参考報告書「ナミビアにおける有望製造業の概要と産業・中小企業振興策」を参照)は、数多くの企業の成長に寄与してきたものの、SME パークに入居している企業が、スタートアップや拡大の段階を経た後もずっと、市場価格より低い価格で入居を続けることができることから、裨益者の数が限られてしまう、という問題に直面している。そこで、本専門家は SME パークのプログラム(入居資格、家賃・入居期間、トレーニング等)をレビューし、本プログラムをどのように改善すれば、成長の可能性のある SME に対してインパクトを及ぼすことができるか、分析を行った。その上で、NDC 及び産業開発部との協議を経て、“Proposal on New Guidelines for the Sites and Premises Program” [添付資料 11]を作成し、産業開発部に提示した。

対応:本資料に基づき、産業開発部及び NDC が今後協議を行うこととなっている。

(6) 企業登記

2011年における本専門家の提案に基づき、商業部(Directorate Commerce)は、同専門家が作成した「有限会社設立のためのガイドライン」を印刷し、本省にある登記室(Subdivision Company and Close Corporation Registration)の相談窓口において、有限会社の登記フォームを受け取りに来るすべての企業担当者に対して配布を開始した。また、商業部によれば、州レベルにおける印刷会社に対して同ガイドラインの印刷が大量に注文されており、一部の州事務所には既に配布が開始されているとともに、各州事務所から、全州全域における州・郡政府、各省の全州事務所、全選挙区事務所に本ガイドラインが配布される手はずとなっている。

さらに、本専門家の提案に従い、商業部は今後、本省におけるすべての登記申請書について「相談窓口の職員がチェックしてそれに署名した後でなければ、申請書受付カウンターでは申請書を受け付けない」いう決まりを実施することにより、商業部に持ち込まれる間違いを含む申請書の数を減らすことを決定した。

また、やはり本専門家が 2011 年に行った提案に従い、登記済み書類がアルファベット順に棚に整理されるようになって、窓口の職員が書類を探すことがなくなり、スムーズな書類の配布が可能となった。一方で、同じ窓口で行われている登記簿の閲覧及びコピーについては、同窓口職員が見ていない間に訪問者が登記簿のオリジナルを持ち去ることが可能となっており、これによって被害を受ける会社も出てくることから、極めて大きな問題であると認識された。そこで本専門家は、登記簿の閲覧に関しては、本省の廊下ではなく、閉じられたスペース内でそれが行われるように提案したが、適切な部屋がないという理由で、本提案は実施されていない。

(7) 商標登録

現在、商業部の知的所有権登録室（Subdivision Intellectual Property Rights Registration）で行われている商標の登録には、5,000 以上の申請書が滞留していることから、1 年以上かかっており、2013 年 3 月現在、2009 年に提出された商標の登録申請書を処理している状態である。本専門家が、商標登録の状況を確認した結果、職員の判断の必要のない工程を外注（ないしアルバイト）にやらせることにより、46 日間ですべての登記を終わらせることができることが確認された[添付資料 12]。本専門家の提案に従い、商業部は、人事院に対して、臨時職員を雇用することを現在申請しているところであり、当該職員の配置が認可され次第、計画が実行に移されることとなる。

3. 提言

(1) 企業内研修プログラム

本専門家は、2011 年に企業内研修プログラムに関するコンセプトペーパーを産業開発部に提出したが、貿易産業省は、ナミビアトレーニング庁（Namibia Training Authority : NTA）に本プログラムの実施を委託することとし、同庁から 2012 年 12 月にプロポーザルを受け取った。しかしながら、同庁は、ナミビア企業に対する「トレーニング税」の導入を睨みながら、当該税を用いて実施することとなる自らの企業内研修、インターンシップの計画立案に忙しく、貿易産業省のプログラムを積極的に実施する意図は見受けられない。貿易産業省幹部は、企業内研修プログラムを今後実施するのかしないのか、明確な意思決定を行うべきである。

(2) 製品開発サービス（Product Development）

国際貿易部の市場調査・製品開発室（Subdivision Market Analysis and Product Development）の業務とされている「製品開発サービス」では、試作品の製造、ラベリング、パッケージング、ナミビア標準化機構による規格の取得等にかかるサービスを提供しているが、こうした支援を受けた製品の中で、実際に輸出に結び付いた製品は一つもない。その主たる理由として、これらの製品の品質がすべて非常に低く、支援を受けた結果、国内のスーパーマーケットで取り扱われることが限界であり、その目的のための支援のほとんどが向けられてしまっている、ということが挙げられる。

一方で、産業開発部では、”Vender Development” program を再開する準備を現在しており、当プログラムでは、上記 Product Development と全く同じサービスを提供することとなっている。従って、今後は、輸出可能ではない製品は産業開発部が扱うこととし、輸出可能な製品は国際貿易部が扱う（“Product Modification and Adaptation”と呼ぶべき）ことを提言する。

(3) 輸出振興プログラム（Export Promotion）

国際貿易部の輸出振興室（Subdivision Export Promotion）では、海外の貿易見本市へのナミビア企業の参加を支援しているが（航空賃、宿泊費、陳列スペース代、輸送費等の補助）、その支援の費用対効果は低い。実際に、貿易見本市への補助の費用対効果が低いのは、他国の場合もごく一般的なことである。国際貿易部の支援は結局のところ、参加企業が、国際見本市の場において製品を実際に販売する機会を与えているにすぎず、国際見本市参加の本来の目的である (a) ナミビアの製造業者を、同社の製品を継続的に購入する販売業者と結び付けること、(b) これらの製造業者が、自社製品を国際スタンダードに引き上げて海外市場で販売できるようにすること、については全く満たされておらず、従って、ほとんど成果を挙げていないと言っても過言ではない。

国際見本市への参加が、目に見える形で成果を出せるようにするためには、見本市参加企業の個別の製品の市場化に、輸出振興室がより積極的に関与することが必須である。そこで、それぞれの見本市の参加に際して、輸出振興室の職員が以下の活動を行うことを提言する。

- 国際見本市の実施前[5]: ターゲットとする商品の見本市開催国における市場の調査や販路の可能性を確認し、可能性のある販売業者とのアポイントメント取り付けまでも行う。必要に応じて、国際見本市の担当者は、見本市開催国にあらかじめ出張して、市場情報を収集しておくことが望まれる。
- 国際見本市の実施中: 見本市開催中に、見本市の訪問者への実際の商品の販売を通じて、当該国における顧客の反応を確認することは非常に重要である。しかしながら、見本市当日の訪問者は本来の顧客の一部に過ぎず、むしろ、販売業者となる可能性のある企業を訪問し、当該製品の特長について説明し、当該製品をどのように改善しどのような手続きをとれば当該国での販売が可能となるか把握することが、より重要と言える。つまり、輸出振興室の支援を、国際見本市の参加者と販売業者との対話を促進することに集中すべきなのである。
- 国際見本市の実施後: 国際貿易部による、見本市参加者へのフォローアップとしては、当該参加者に質問票を送って支援のインパクトについての情報収集することに留まっている。国際見本市への参加の本来の目的を果たすためには、見本市参加者が輸出対象国のニーズに合わせて自社製品を改善しつつ輸出販路を切り開くことであり、そのための支援を行うことが必須である。

国際見本市への参加企業が、市場や販路の可能性を探す上で、効果的な支援を行うためには、輸出振興室の職員が、ターゲットとなる製品やセクターについて十分な知識を有していることが必須となる。そこで、同室の各職員が、ナミビアにおいて輸出可能性のある製品について、それぞれ最低 2 つを選

[5] 国際見本市の展示品を選定する際に、当該国際見本市の目的や参加要件などを詳細に把握した上で、展示品が当該目的・要件を満たしているか判断しなければならない。これについても、一定の専門知識が要求される。

択してそれらについて市場調査を行わせることを提案する。これによって、同室職員は、国際見本市の実施前、実施中、実施後それぞれにおいて、参加者に対して専門的な見地からのアドバイスを与えることができると考えられる。

[添付資料 1] Proposal on the Definition of SMEs in Namibia

Proposal on the Definition of SMEs in Namibia

1. Guiding Principles for Setting up SME Definition

The following are guiding principles that need to be considered in selecting indicator(s) to be used in determining the definition of SMEs:

(a) To be representative

The indicators for defining SMEs must represent widely accepted characteristics of SMEs. If there are cases where a company's statistic under an adopted indicator is small while the scale of the company or its activities is in reality large, such an indicator is not serving its purpose.

(b) To be verifiable

The indicators should be objectively verifiable. In Namibia, as well as most developing countries, it is quite difficult for the government to precisely capture the state of activities of individual private businesses. Many private businesses, especially those in the informal sector, do not maintain accounting records that provide information on the size of their assets, sales, and income. Although these businesses can be requested to estimate and submit such figures, the accuracy of that data cannot be objectively verified and such inaccurate data could be misleading and manipulated.

(c) To be purposeful

The definition of SMEs should conform to the government's SME promotion policies and be stipulated in such a way as to enable effective, targeted allocation of government resources. One pitfall observed in many developing countries is the government spending tremendous amounts of time and money conducting surveys and classifying SMEs in accordance with its SME definition without having any promotion strategies or actions toward specific SME categories.

(d) To be manageable

The collecting and compiling of individual SME data consumes significant time and resources for both the government and SME. Moreover, the data must be updated with certain frequency due to the dynamism of the SME sector. In consideration of the government's limited resources, existing data should be used as much as possible and coordination sought with SME-related agencies. Although using multiple indicators and setting different thresholds by sector may conform to government policy and enable targeted support, implementation would inherently be more complicated and not easily managed in many developing countries.

2. Comparison of Business Indicators

When defining and classifying SMEs, the most used (either independently or in combination) indicators worldwide are: (a) number of full time employees; (b) total assets; (c) annual sales; and (d) registered capital. The following implications should be considered when using these indicators to define SMEs in Namibia.

(a) Number of full time employees

"Number of full time employees" is the most commonly used indicator for defining an SME. In Namibia all formal companies employing at least one person (excluding the proprietors) are required to register for social security and pay contributions. A "good standing" certificate that contains the number of registered employees can be easily obtained from the Social Security Commission whenever an SME is requested to present it upon applying for a government program. Although informal businesses do not register for social security, most of those businesses are self-employed and thus, necessarily fall into the "micro enterprise" category. A weakness in using the "number of full time employees" to define an SME is that it overlooks seasonal and informal employment. A possible negative impact of using this indicator is that it cannot prevent the government from providing support to those companies that are classified as small companies but in actuality employ a large number of seasonal or informal workers.

(b) Total assets

Although "total assets" is an indicator that more or less represents the physical size or financial capacity of a company, such data for individual SMEs is difficult to collect in Namibia since most SMEs have never prepared a balance sheet, and thus do not know the value of their assets. Only those SMEs that apply for bank loans are obliged to prepare a balance sheet. Although SMEs can be requested to submit an estimated figure for "total assets", that data would not be able to be easily verified.

(c) Annual sales

"Annual sales" is the indicator that can most precisely capture the scale of an SME's current activities. The weakness is, again, that many SMEs do not record their sales figures, and thus, collecting and verifying the figures would require considerable government resources. Moreover, the figures tend to fluctuate every year, making the classification and updating work even more difficult.

(d) Registered Capital

"Registered capital" is also widely used for defining SMEs in many countries as it represents the financial capacity of a company. However, it is usually data from when the company was registered, and thus, not necessarily representative of an SME's current financial state. In Namibia, this data is not available except for Public Limited Companies since capital is not recorded when registering a Close Corporation.

The following table provides a summary of the above discussion. It can be concluded that the "number of full time employees" is the most relevant to the guiding principles for the SME definition in Namibia as compared to all other indicators.

Table 1 Business Indicators' Relevance to the Guiding Principles for SME Definition in Namibia

Guiding Principle Indicator	Representativeness	Verifiability	Purposefulness	Manageability
Number of full time employees	Medium	High	Medium	High
Total assets	High	Low	High	Low
Annual sales	High	Medium	High	Low
Registered Capital	Medium	Low	Medium	Low

3. Rationale for Applying Different Thresholds between Sectors

Some countries apply different thresholds between sectors (such as primary, secondary and tertiary sectors). For example, in Japan the threshold for the number of employees for a micro-enterprise is set at 20 in the manufacturing sector, and 5 in the trade and services sectors, apparently due to the fact that the manufacturing sector requires a larger number of employees than other sectors in achieving economies of scale. Another implication from applying a higher threshold for the manufacturing sector could be that the government intends to provide more support to SMEs in the manufacturing sector than those in the trade and services sectors.

While applying different thresholds between sectors would enable more specifically targeted support by the government, it should also be kept in mind that the more parameters brought into the definition, the more difficult the implementation of policy measures will become. In consideration of the Namibian government's limited human resources, it is recommended that priority be given to simplicity in the definition, i.e. uniform thresholds be applied to all sectors.

4. SME Definition/Thresholds and the Government's Support Programs

The following table shows the recommended definition for SMEs (micro, small and medium enterprises) in Namibia and the priorities that are recommended to be given to specific categories of companies within different government programs.

Table 2 Definition of SMEs in Namibia and Priorities of Government Programs

Category	Micro	Small	Medium	Large
Number of Employees	0-5	6-30	31-100	Over 100
Government Programs				
Sites and Premises	P	P		
Equipment Aid Scheme	P	P		
Training	P	P		
Feasibility Study, Business Plan, Mentoring Service		P	P	
Government Tendering (SME Certificate)	P	P	P	
Industrial Upgrading and Modernization Programme		P	P	P

P: Priority

[添付資料 2] Proposed Application Package for Business Support Services Program

Business Support Services Program

1. Introduction

The Government of Namibia, in its Vision 2030, aims to transform Namibia into a developed country by 2030, through stimulating sustainable economic growth and wealth creation. Apart from moving the economy up to higher levels, Vision 2030 initiatives focus on spreading of wealth and growth across the country, creating employment, reducing regional disparity and eradicating poverty. Namibia's Fourth National Development Plan, NDP 4, also identified high and sustained economic growth, job creation, and reduction of income inequality as key goals for the country for the years 2012 – 2015.

These national plans place a high priority on the development of manufacturing and service sectors as the sources of higher value creation and employment. They have also identified the importance of entrepreneurship development and the pivotal role of Small- and Medium-sized Enterprises (SMEs) as central to the expansion and deepening of the industrial base to enhance the country's economic development.

In line with these national plans and their core objectives, the Ministry of Trade and Industry (MTI) takes a lead in the development of the business in the trade and industry sectors. In order to address SMEs' technical and managerial challenges, such as marketing, financial management, production management, quality control and human resource management, MTI has decided to implement the Business Support Service Program (BSSP) through which training and consulting services are provided with subsidized rates.

BSSP's overall objective is to boost Namibia's economic development by increasing employment and reducing poverty through the strengthening of SMEs' technical and managerial capacities. The program is comprised of (1) Feasibility Study, (2) Environmental Impact Assessment (EIA), (3) Business Plan, (4) Mentoring Service (one-on-one consulting services), and (5) Training Service (collective training).

2. Guidelines for Application

(1) Feasibility Study, EIA, and Business Plan

(a) Objectives

(i) Feasibility Study: The objective of a feasibility study is to answer the essential question of "should I proceed with the proposed business idea?" The feasibility study outlines and analyzes several alternatives or methods of achieving business success. The best business alternative(s) to your business will be identified through the feasibility study in consideration of a wide range of factors, including technologies, marketing, management, and financing. The feasibility study reports will be made public on the MTI's website six months after the delivery of the reports to the Business Owners.

(ii) Environment Impact Assessment (EIA): EIA is the process of identifying, predicting, evaluating and mitigating the biophysical, social, and other relevant effects of development proposals. It is often required by financial institutions as a condition of a loan.

(iii) Business Plan: The business plan tells how a business should be created, operated or expanded, and why it will lead to success. It shows all aspects of specific future business operations and serves a guide to the business operator. Banks and investors also need a business plan to make their decision of funding. The business plan will be kept confidential.

* The most distinct difference between the Feasibility Study and Business Plan is that a Feasibility Study is conducted for the projects of which the feasibility is not known, while a Business Plan is prepared for the projects that do not have major uncertainties and thus the investment is ready to be made. For example, a Feasibility Study will be needed when the market response of a newly introduced product is not known, when an innovative methodology is applied but its effectiveness is not known, or when no companies have tried the same type of business in the target area, etc. On the other hand, a Business Plan should clearly state, as the preparation for an investment, all the specific issues such as the business and technical partners, suppliers and specifications of equipment and materials, maintenance regime of the equipment, exact location of the business, recruitment of managers and staffs, training of staffs, etc.

(b) Priority Sectors

The following business sectors will be given priority:

- Manufacturing (carpentry, joinery, metal fabrication, construction materials, tailoring/sewing, cosmetics, leather processing, shoe-making, jewellery, etc.);
- Food-processing (dairy, confectionary, jam/fruit, bakery, etc.);
- Printing services (excluding photocopy shops);
- Auto services (car repair, wheel balancing, etc.);
- Small scale stone processing (not mining) ; and

- Tourism.

(c) Eligibility and Conditions for Application

- The Owner must be registered, or in the process of being registered, with MTI (a proof must be attached to the application in both cases). Registration must be completed prior to the signing of the agreement.
- The Owner must have minimum business skills. A proof of having completed business management training must be attached to the application. (Please inquire about small business training at an MTI Regional office if the Owner has not received any business management training)
- 20% of the total costs (consulting fees) will be charged to the Owner.
- The maximum amount to be supported by MTI is, in principle, ND 160,000 per project.
- The Owner's past business experience will be given due consideration when the application is assessed.

(d) Application Procedures

(i) Submission of two copies of the application form and certificate of completing business management training

The Applicant for a Feasibility Study, EIA, and Business Plan must submit two (2) copies of the application in the prescribed application form attached hereto, together with two copies of the certificate of completing business management training. In filling out the application form, the Applicant is advised to refer to the next section "Guidelines for Application".

(ii) Site Visit and Interview by an MTI Officer

A site visit to the proposed business location(s) by an MTI officer is in principle requisite to the processing of the application. The site visit, together with an interview, will be conducted by an MTI Regional office after the receipt of the application. When the location of the business is not easily accessible from the capital of the region, information can be collected from planners or economists of the Regional Coordinating Council if they have knowledge about the business.

(iii) Notification of the evaluation results

The application, along with the results of the site visit and interview by an MTI office, will be evaluated at the MTI head office and the Applicant will be notified of the results of the evaluation, approximately within three months after the site visit and interview.

(e) Guidelines for Application

The following are the guidelines that the Applicant should refer to in filling out the application form.

(i) General Information and the Current Business of the Owner (information about the Owner's current business activities, not future expectations)

1-1. Name of the Owner (company) / Project

1-2. Gender of the Owner

1-3. Name of the region and constituency where the Owner is primarily operating his/her business

1-4. Contact person’s name, address, tel./fax and cell phone numbers, and e-mail address

1-5. Date when the Owner started his/her current business

1-6. Legal status of the current business, and the date and number of registration (if registered)

1-7. Status of the Owner’s current business:

* Please explain the products/services that the Owner is currently offering.
* Please provide the Owner’s sales revenue on an annual or monthly basis.

<Please provide the following information if the service is requested for the expansion of the current business>

* Please explain the location of the current market and the types of core customers.
* Please explain the status of competition in the market for the current products/services.

1-8. The Owner’s educational and technical background (schools, completed grades, training, etc.) and past business experiences

1-9. Current number of employees (casual or permanent, excluding the owner of the business)

1-10. Business support services received in the past (type and year, MTI or other organizations)

(ii) Outline of the Business to be Promoted

2-1. Type of business to be promoted

* Please indicate the locations where the Owner’s business is (will be) operated.
* Please explain what products and services are (will be) offered.

2-2. Target Market

* Please explain the market areas of your products / services.
* Please explain the types of your core customers and the prices of your products / services.
* Please explain the status of competition in the market for the (new) products/services and the strength of the Owner’s (new) products/services compared to competitors’.

2-3. Rough estimate of the required investment and working capital

* Please provide a rough estimate of the required investment and initial working capital.

2-4. Expected funding sources of investment and working capital

* Please explain how the investment and working capital will be mobilized.

2-5. Necessity of environmental impact assessment (EIA only)

* Please explain why an EIA is required for the project.

2-6. Technical and management capability to operate and maintain the proposed business (Business Plan only)

* Please explain whether the Owner is capable of operating and maintaining the business to be promoted, and the reasons for concluding such.

2-7. Human resource management (Business Plan only)

* Please explain how many workers will be newly employed in conjunction with the new investment.
* Please explain how the Owner is going to develop the workers’ skills.

(iii) Required Attachments

A proof of the registration (or a proof of the registration being processed) with MTI and the copy of receiving business management training must be attached to the application. It is also advisable that an evidence of the land ownership, leasing agreement of the building and/or letter of intent by a financial institution be attached to the application in the case of Business Plan.

Attn: Ministry of Trade and Industry

Application for ☐ **Feasibility Study** ☐ **EIA** ☐ **Business Plan**

Note: (1) Please refer to the MTI's leaflet "Business Support Services Program" prior to filling out this application form.
(2) Please tick both "Feasibility Study" and "EIA" above when both services are needed.
(3) Please submit <u>two sets</u> of the application.

1. Information of Owner(s)

1-1. Name of Owner (company) / project	
1-2. Gender of Owner	
1-3. Region and constituencies of focus	
1-4. Contact person's name, address, tel/fax and cell phone numbers, e-mail address	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, sales, market, competition, etc.)	
1-8. Owner's educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the Business to be Promoted

2-1.Type of business to be promoted (business locations, products, services, etc.)	
2-2. Target market (market areas, types of core customers, prices, competition)	
2-3. Rough estimate of the required investment and working capital	
2-4. Expected funding sources of investment and working capital	
2-5. Necessity of an Environmental Impact Assessment (<u>EIA only</u>)	
2-6. Technical and managerial capability to operate and maintain the proposed business (<u>Business Plan only</u>)	
2-7. Human resources management (new employment and skill development) (<u>Business Plan only</u>)	

3. Attachments Required

Please attach a proof of the registration (or a proof of the registration being processed) with MTI and a certificate of completing business management training. It is also advisable that an evidence of the land ownership, leasing agreement of the building and/or letter of intent by a financial institution be attached to the application in the case of Business Plan.

Name of Applicant ______________________ Title ______________________

Signature ______________________ Date ______________________

(2) Mentoring Service

(a) Objective

The objective of the Mentoring Service is to provide individual SMEs with one-on-one consulting services so that they can overcome their challenges in their current businesses and grow. The services include productivity improvement, quality control, turnaround strategies, due diligence, prototype product designs, marketing/advertising, database design/installation, etc.

(b) Eligibility and Fee

- The Owner must be registered, or in the process of being registered, with MTI (a proof must be attached to the application in both cases). Registration must be completed prior to the signing of the agreement.
- The Owner must have minimum business skills. A proof of having completed business management training must be attached to the application. (Please inquire about small business training at an MTI Regional office if the Owner has not received any business management training)
- <u>20% of the total costs (consulting fees) will be charged to the Owner</u>.
- The Owner's past business experience will be given due consideration when the application is assessed.

(c) Application Procedures

(i) Submission of two copies of the application form and certificate of completing business management training

The Applicant for a Mentoring Service must submit two (2) copies of the application in the prescribed application form attached hereto, together with two copies of the certificate of completing business management training. In filling out the application form, the Applicant is advised to refer to the next section "Guidelines for Application".

(ii) Site Visit and Interview by an MTI Officer

A site visit to the proposed business location(s) by an MTI officer is in principle requisite to the processing of the application. The site visit, together with an interview, will be conducted by an MTI Regional office after the receipt of the application. When the location of the business is not easily accessible from the capital of the region, information can be collected from planners or economists of the Regional Coordinating Council if they have knowledge about the business.

(iii) Notification of the evaluation results

The application, along with the results of the site visit and interview by an MTI office, will be evaluated at the MTI head office and the Applicant will be notified of the results of the evaluation, approximately within three months after the site visit and interview.

(d) Guidelines for Application

The following are the guidelines that the Applicant should refer to in filling out the application form.

(i) General Information and the Current Business of the Owner (information about the Owner's current business activities, not future expectations)

1-1. Name of the Owner (company) / Project

1-2. Gender of the Owner

1-3. Name of the region and constituency where the Owner is primarily operating his/her business

1-4. Contact person's name, address, tel./fax and cell phone numbers, e-mail address

1-5. Date when the Owner started his/her current business

1-6. Legal status of the current business, and the date and number of registration (if registered)

1-7. Status of the Owner's current business:

* Please explain the products/services that the Owner is currently offering.
* Please provide the Owner's sales revenue on an annual or monthly basis.
* Please explain the location of the current market and the types of core customers.
* Please explain the status of competition in the market for the current products/services.

1-8. The Owner's educational and technical background (schools, completed grades, training, etc.) and past business experiences

1-9. Current number of employees (casual or permanent, excluding the owner of the business)

1-10. Business support services received in the past (type and year, MTI or other organizations)

(ii) Outline of the Services Requested

Please specify the areas that require mentoring and the challenges that should be overcome through the Mentoring Service.

Examples of the areas are: technology up-grading, productivity improvement, quality control, hygiene control, stock management, pricing, cost management, resource mobilization / arrangement for new investment, turnaround strategies, due diligence, prototype product designs, marketing/advertising, database design/installation, human resource management, etc.

(iii) Required Attachments

A proof of the registration (or a proof of the registration being processed) with MTI must be attached to the application.

Attn: Ministry of Trade and Industry

Application for Mentoring Service

Note: (1) Please refer to the MTI's leaflet "Business Support Services Program" prior to filling out this application form.
(2) Please submit two sets of the application.

1. Information of Owner(s)

1-1. Name of Owner (company) / project	
1-2. Gender of Owner	
1-3. Region and constituencies of focus	
1-4. Contact person's name, address, tel/fax and cell phone numbers, e-mail address	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, sales, market, competition, etc.)	
1-8. Owner's educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the Services Requested

Please specify the areas that require mentoring and the challenges that should be overcome through the Mentoring Service.

Area	Challenges

3. Attachments Required

Please attach a proof of the registration (or a proof of the registration being processed) with MTI and a certificate of completing business management training.

Name of Applicant ______________________ Title ______________________

Signature ______________________ Date ______________________

(3) Training Service

(a) Objective

The objective of the Training Service is to provide groups of SMEs with collective training on basic business management skills and other topics common to multiple SMEs. Training sessions on small business management, book-keeping and business plan making will be regularly organized at the MTI Regional office. Training on other topics will be organized on a request basis with the participation of, in principle, at least eight (8) SMEs.

(b) Eligibility and Fee

- Registration with MTI is not required.
- Training will be charged with a nominal fee (e.g. ND 50 per day).

(c) Application

- Training for business management skills will be announced at the MTI Regional offices.
- Please contact an MTI Regional office for the information on the training on other topics.

[添付資料 3] FS, EIA and Business Plan: Project Assessment (to be filled by the Regional office)

Note: (1) Project Assessment Form is used to compile information based on the results of an interview with the Applicant. After the interview, the MTI officer must type it up and send it to the head office (both in electronic file and hard copy) together with all the other application documents. (One set of all the documents must be retained at the Regional office)

(2) Refer to the “2. Guidelines for Application” of the MTI’s “Business Support Services Program” leaflet when conducting an interview.

(3) Upon the interview, the MTI officer must make sure that the Applicant understands the contents of the above leaflet.

(4) A site visit by an MTI officer, evidenced by the Applicant’s signature on this Form, is in principle requisite to the processing of the application by the MTI head office.

Assessment for ☐ **Feasibility Study** ☐ **EIA** ☐ **Business Plan**

Name of the MTI officer who has conducted the interview	
Date of the interview	
Name and position of the interviewee	

1. Information of the Owner

1-1. Name of Owner (company) / project	
1-2. Gender of Owner	
1-3. Region and constituencies of focus	
1-4. Contact person’s name, address, tel/fax and cell phone numbers	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, annual sales, market, competition, etc.)	
1-8. Owner’s educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the Business to be Promoted

2-1.Type of business to be promoted (business locations, products, services, etc.)	
2-2. Target market (market areas, types of core customers, prices, competition)	
2-3. Rough estimate of the required investment and working capital	
2-4. Expected funding sources of investment and working capital	
2-5. Necessity of environmental impact assessment (EIA only)	
2-6. Technical and managerial capability to operate and maintain the proposed business (Business Plan only)	
2-7. Human resources management (new employment and skill development) (Business Plan only)	

I hereby certify that an MTI officer, named ____,

visited my premises at (location) ____

on (date) __________________________.

Name of Applicant ______________________ Title __________________________

Signature ____________________________________ Date __________________________

3. Assessment (MTI Office Use)

3-1. Site(s) visited	(to be filled if the business is operated at multiple sites)			
3-2. Condition of the place(s) to operate the intended business (including land, electricity, water, etc.)		A. Sufficient		B. Will surely be made sufficient
		C. Not sufficient		D. Difficult to assess
	Reasons/Comments:			
3-3. Owner's technical capability to operate the requested business		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-4. Owner's managerial and financial capability (business experiences, annual sales, savings, etc.)		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-5. Promoted business's prospect of future growth (status of demand and supply, competition, uniqueness, etc.)		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-6. Number of new employment expected				
3-7. Other comments				

4. Conclusion of the Assessment

	A. The application is proposed to be sent to the Project Committee for evaluation.
	B. The application is proposed to be sent to the Project Committee for rejection.

Mentoring Service: Project Assessment Form (to be filled by the Regional Office)

Note: (1) Project Assessment Form for MS is used to compile information based on the results of an interview with the Applicant. After the interview, the MTI officer must type it up and send it to the head office (both in electronic file and hard copy) together with all the other application documents. (One set of all the documents must be retained at the Regional office)

(2) Refer to the "2. Guidelines for Application" of the MTI's "Business Support Services Program" leaflet when conducting an interview.

(3) Upon the interview, the MTI officer must make sure that the Applicant understands the contents of the above leaflet.

(4) A site visit by an MTI officer, evidenced by the Applicant's signature on this Form, is requisite to the processing of the application by the MTI head office.

Name of the MTI Officer who has conducted the interview	
Date of the interview	
Name and position of the interviewee	

1. Information of the Owner

1-1. Name of Owner (company) / project	
1-2. Gender of Owner	
1-3. Region and constituencies of focus	
1-4. Contact person's name, address, tel/fax and cell phone numbers, e-mail address	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, annual sales, market, competition, etc.)	
1-8. Owner's educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the Services Requested

Please specify the areas that require mentoring and the challenges that should be overcome through the Mentoring Service.

Area	Challenges

I hereby certify that an MTI Officer, named ____,

visited my premises at (location) ____

on (date) ____________________________.

Name of Applicant ________________________ Title ________________________

Signature ____ Date ________________________

3. Assessment (MTI Office Use)

3-1. Site(s) visited	(to be filled if the business is operated at multiple sites)			
3-2. Assessment on the need of support				
Area:		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
Area:		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
Area:		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-3. Other comments, such as other areas that require support.				

4. Conclusion of the Assessment

	A. The application is proposed to be sent to the Project Committee for evaluation.
	B. The application is proposed to be sent to the Project Committee for rejection.

[添付資料 4] Business Plan Checklist

(Date)

Business Plan Checklist: (Name of Project)

Consultant: (Name of Consultant)

Business: (Category of Business)

No.	Item	Comments (Stated / Not stated / Other comments)
1. Executive Summary		(One to two page highlight of key ideas / plans in business plan.)
2. Description of Business		
2.1	Business name	
2.2	Contact details	
2.3	Legal and registration status	
2.4	Owner's educational background	
2.5	Brief history of the business or the Owner' skills	
2.6	Owner's achievements in business to date	
3. Description of product/service		
3.1	Types, features and benefits of the product/service	(Technical information can be attached in the appendix.)
4. Marketing		
4.1 Industry		
4.1.1	Conditions of the industry that the business represents	(Expanding, declining, new, mature, etc.)
4.2 Customers		
4.2.1	Types of customers	(Individuals: age, gender, socio-economic characteristics etc.; Companies: size, industry, etc.)
4.2.2	Locations of customers	
4.2.3	How the product/service satisfies customer needs	
4.3 Competition		
4.3.1	Locations and scales of competitors	
4.3.2	Advantages of the product/service over competitors'	

4.4 <u>Location</u>		
4.4.1	Conditions required for the business location(s)	(Important factors in determining the business location, special requirements / regulations)
4.4.2	Features of the selected business location	(The reasons why the specific location has been selected)
4.4.3	Status of securing the business location	(To what extent the business location has been secured)
4.5 Pricing		
4.5.1	Description of the pricing	(Pricing strategy)
4.6 <u>Advertising and promotion</u>		
4.6.1	Advertising methods	(Trade shows, newspapers, radio/TV, direct mail, homepage, etc.)
4.6.2	Sales promotion methods	(Discount policy, how to increase repeated customers, etc.)
5. <u>Production</u>		
5.1	Production methodologies and cycles	
5.2	Equipment and machinery to be used and how to obtain them	(List of equipment and machinery and the availability of distributors)
5.3	Maintenance and repair of equipment and machinery	(Availability of maintenance and repair services)
5.4	Other operational factors (building, electricity, water, technical skills, waste, etc.)	(Fulfillment of all physical conditions in operating the factory)
5.5	Quality control, hygiene, and safety measures	
5.6	Packaging, shipping and storage	
6. <u>Suppliers / Source of materials / Subcontractors</u>		
6.1	Materials or services required to complete production / sales	(List of the materials needed)
6.2	How to obtain materials or services	
6.3	How to find subcontractors	(To be stated when necessary)
7. <u>Management</u>		
7.1	Background of the management team	(Specific information is needed to secure the management)
7.2	Board of directors and advisors	(To be stated when necessary)
7.3	Number of employees necessary and how to recruit them	(Specific information is needed to secure the operation)
7.4	External human resources (accountant, lawyer, etc.)	(To be stated when necessary)

7.5	Staff training	(Specific information is needed to secure the operation)
8.	Financial Plan	
8.1	Amount of capital to start or expand the business	(Details of capital expenditures and operation costs are needed)
8.2	Sources of capital (owners, partners, banks)	(Specific information is needed, and the plan needs to be realistic)
8.3	Historical financial statements	(To be stated if available)
8.4	Cash flow projections	
8.5	Internal rate of return (Optional)	
8.6	Breakeven point (Optional)	
9.	Risk Analysis (Optional)	
10.	Others	

[添付資料 5] Consultant Performance Evaluation Report

Consultant Performance Evaluation Report

1. Type of BSSP provided		
2. Project ID		
3. Name of Project / Company		
4. Type of Business		
5. Name, Address and Contact Details of Consultant		
6. Date of MOU		
7. Name of Evaluator(s)		
8. Name of Supervisor		
9. Signature of Supervisor	Signature	Date

Note: The evaluation results must be drafted by the DID officer in charge of BSSP and agreed upon by the regional officer and the supervisor. The evaluation must be conducted upon the submission of the Final Draft, and its results must be presented to the Project Committee along with the Final Draft for approval.

Evaluation Results (see the following pages for the details of evaluation)

Category	Score (3, 2, or 1)
A. Quality of Work	
B. Project Management	
C. Human Relations	
Total Score (9 – 3)	

Scores from the following pages

Results	Recommended Action
A=1 (regardless of B, C)	Suspension: The company is suspended for MTI tendering for one year.
B=1 or C = 1	Warning: If repeated, the company will be suspended for one year.
Total Score = 8 or 9	Reward: The company will be favorably treated in MTI tendering
Others	No action

Recommended Actions and Reasons

Evaluation

Section A. Quality of Work (3: Outstanding – 2: Satisfactory – 1: Poor)

Item	Score (3,2,1)	Reasons
A-1 Did the consultant understand the specific features of the required work?		
A-2 Was the work of the consultant up to the standard required by MTI from the beginning?		
A-3 Were the reports of the consultant adequately organized?		

Section A Average (rounded off to 3, 2, or 1)

Section B. Project Management (3: Outstanding – 2: Satisfactory – 1: Poor)

Item	Score (3,2,1)	Reasons
B-1 Was the consultant project manager / leader in control of the services provided?		
B-2 Did the consultant project manager / leader assign appropriate staff to the service?		
B-3 Was the communication between the consultant project manager / leader and the MIT staff adequate?		
B-4 Did the consultant submit reports in a timely manner?		

Section B Average (rounded off to 3, 2, or 1)

Section C. Human Relations (3: Outstanding – 2: Satisfactory – 1: Poor)

Item	Score (3,2,1)	Reasons
C-1 Did the consultant maintain a good working relationship with the client?		
C-2 Did the consultant maintain a good relationship with the organizations relevant to the work?		
C-3 Was the consultant responsive to requests from MTI?		

Section C Average (rounded off to 3, 2, or 1)

[添付資料 6] Proposed Application Package for Equipment Aid Scheme

Equipment Aid Scheme

1. Introduction

The Government of Namibia, in its Vision 2030, aims to transform Namibia into a developed country by 2030, through stimulating sustainable economic growth and wealth creation. Apart from moving the economy up to higher levels, Vision 2030 initiatives focus on spreading of wealth and growth across the country, creating employment, reducing regional disparity and eradicating poverty. Namibia's Fourth National Development Plan, NDP 4, also identified high and sustained economic growth, job creation, and reduction of income inequality as key goals for the country for the years 2012 – 2015.

These national plans place a high priority on the development of manufacturing and service sectors as the sources of higher value creation and employment. They have also identified the importance of entrepreneurship development and the pivotal role of Small- and Medium-sized Enterprises (SMEs) as central to the expansion and deepening of the industrial base to enhance the country’s economic development.

In line with these national plans and their core objectives, the Ministry of Trade and Industry (MTI) takes a lead in the development of the business in the trade and industry sectors. In order to address SMEs’ challenges in mobilizing financial resources in starting-up or expanding their businesses, MTI has decided to implement the Equipment Aid Scheme (EAS) through which production equipment will be leased to SMEs at subsidized rates.

2. Objectives

The overall objective of the Equipment Aid Scheme is to boost Namibia’s economic development by increasing employment and reducing poverty through the strengthening of SMEs in the production sector. EAS is aimed at supporting SMEs in the production sector in starting-up or expanding their businesses through the provision of equipment. The equipment will be leased to SMEs at subsidized rates, and if all the conditions are met, the ownership of the equipment will be transferred to SMEs after a three- to five-year lease period.

3. Conditions for Grant

After MTI’s approval of the application, the Promoter will enter into a grant agreement with the Namibia Development Corporation (NDC), an agent assigned by MTI to implement EAS under the following conditions:

(1) Observation Period

MTI retains the right to reclaim the ownership of the equipment during three years after the donation. The Promoter is required to use the equipment in the way that has been agreed upon between him/her and MTI during the first three years. If there is a breach of the agreement, the Promoter must either return the equipment or pay its full amount to MTI.

(2) Maximum Amount of the Grant

- The maximum amount of the equipment to be granted (excluding shipping costs and taxes) is ND 200,000 for the manufacturing sector and ND 100,000 for the service sector.

- If the total cost of the equipment exceeds the above amount, the Promoter is required to pay the remaining portion (by utilizing a bank loan).

4. Eligibility and Conditions for Application

(1) Requirements

- The Promoter must be registered, or in the process of being registered, with MTI (a proof must be attached to the application in both cases). Registration must be completed prior to the signing of the lease agreement.
- The Promoter must have minimum business skills. A proof of having received business management training must be attached to the application. (Please inquire about small business training at an MTI Regional office if the Promoter has not received any business management training)

(2) Priority Sectors

The following business sectors will be given priority:

- Manufacturing (carpentry, joinery, metal fabrication, construction materials, tailoring/sewing, cosmetics, leather processing, shoe-making, jewellery, etc.);
- Food-processing (dairy, confectionary, jam/fruit, bakery, etc.);
- Printing services (excluding photocopy shops);
- Auto services (car repair, wheel balancing, etc.); and
- Small scale stone processing (not mining).

(3) Negative List

The following sectors are not eligible for EAS:

- Office equipment for general purposes, including computers and photocopy machines;
- Equipment and materials to be used for agriculture and farming;
- Musical instruments;
- Raw materials and consumables;
- Goods to be traded; and
- Vehicles including trucks and tractors.

(4) Site Visit and Interview by an MTI Officer

A site visit to the proposed business location(s) by an MTI officer is requisite to the processing of the application. The site visit, together with an interview, will be conducted by an MTI Regional office after the receipt of the application.

(5) Other Considerations

- The Promoter’s past business experience will be given due consideration when the application is assessed.
- Equipment for businesses for which the market has already reached saturation cannot be approved (e.g. where an increase in sales for one person may result in a decrease in sales for another person in the same area).
- The Promoter’s physical and/or financial contribution to the proposed business, including bank loans, will be rated highly in the assessment of the application.

5. Guidelines for Application

The Promoter for EAS must submit two (2) sets of the entire application documents, including the statement in the prescribed application form attached hereto and the quotations of the equipment. In filling out the application form, the Promoter is advised to refer to the following explanation.

(i) General Information and the Current Business of the Promoter (information about the Promoter’s current business activities, not future expectations)

1-1. Name of the Promoter (company) / Project

1-2. Gender of the Promoter

1-3. Name of the region and constituency where the Promoter is primarily operating his/her business

1-4. Contact person’s name, address, tel./fax and cell phone numbers and e-mail address

1-5. Date when the Promoter started his/her current business

1-6. Legal status of the current business, and the date and number of registration (if registered)

1-7. Status of the Promoter’s current business:

* Please explain the products/services that the Promoter is currently offering.
* Please provide the Promoter’s sales revenue on an annual or monthly basis.

<Please provide the following information if equipment is requested for the expansion of the current business>

* Please explain the location of the current market and the types of core customers.
* Please explain the status of competition in the market for the current products/services.

1-8. The Promoter’s educational and technical background (schools, completed grades, training, etc.) and past business experiences

1-9. Current number of employees (casual or permanent, excluding the owner of the business)

1-10. Business support services received in the past (type and year, MTI or other organizations))

(ii) Outline of the Requested Equipment and Business to be Promoted

2-1. Equipment requested and total cost

* Please provide a list of the equipment.
* Please provide the total cost (lowest quotation).

2-2. Business to be promoted with the requested equipment

<Please try to highlight the difference between having and not having the new equipment>

* Please explain the (new) products/services the Promoter is planning to promote with the new equipment and their specific features.
* Please explain the locations of the (new) target market and the types of core customers.
* Please explain the status of competition in the market for the (new) products/services and the strength of the Promoter’s (new) products/services compared to competitors.

2-3. Amount of the additional working capital required and funding sources

* Please explain how much working capital is needed upfront for raw materials, fuel, transport, etc.
* Please explain how the Promoter is going to finance the above working capital, and how much savings the Promoter will be able to mobilize as working capital.

2-4. Promoter’s physical and financial contribution

* Please describe what contribution the Promoter is going to make to the business, such as building/renting the premises, buying materials and tools from his/her savings, etc.

2-5. Condition of the premises for the requested equipment

* Please explain where the Promoter is going to install the requested equipment.
* Please explain the condition of the premises (owner of the premises, size, electricity, water, etc.) for storing and operating the requested equipment.

2-6. Technical capability to operate and maintain the requested equipment

* Please explain whether the Promoter is capable of operating and maintaining the requested equipment, and the reasons for concluding such.

2-7. Availability of after-care services

* Please explain the warranty period for the requested equipment.
* Please explain how major breakdowns in the equipment will be handled.

2-8. Human resource management

* Please explain how many workers will be newly employed in conjunction with the new equipment.
* Please explain how the Promoter is going to develop the workers’ skills.

(iii) Required Attachments

The following documents must be attached to the application:

- A list of equipment and their relevant three quotations;
- A proof of the registration with MTI (or a proof of the registration being processed);
- A proof of having received business management training; and
- A proof of the Promoter’s past revenues and a business plan if the requested amount exceeds ND 100,000. An example of the outline for the business plan can be obtained on the following website:
  http://agmarketing.extension.psu.edu/business/startabusness/businessplanoutline.pdf

Attn: Ministry of Trade and Industry

Application Form for the Equipment Aid Scheme

Note: (1) Please refer to the MTI's leaflet "Equipment Aid Scheme" prior to filling out this application form.
(2) Please submit two sets of the entire application documents.

1. Information of Promoter(s)

1-1. Name of Promoter (company) / project	
1-2. Gender of Promoter	
1-3. Region and constituencies of focus	
1-4. Contact person's name, address, tel/fax and cell phone numbers, e-mail address	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, annual sales, market, competition, etc.)	
1-8. Promoter's educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the New Equipment and Business to be Promoted

2-1. Major equipment requested and the total cost (lowest quotation)	
2-2. Business to be promoted with the new equipment (products, services, market locations, customers, competition, etc.)	
2-3. Amount of additional working capital required and its funding sources	
2-4. Promoter's physical and financial contribution	
2-5. Condition of the premises for the requested equipment	
2-6. Technical capability to operate and maintain the requested equipment	
2-7. Availability of after-care services	
2-8. Human resources management (new employment and skill development)	

3. Attachments Required

Please see "5. Guidelines for the Application" of MTI's leaflet "Equipment Aid Scheme"

Name of Promoter ______________________ Title ______________________

Signature ______________________ Date ______________________

[添付資料 7] Equipment Aid Scheme: Project Assessment Form (to be filled by the Regional Office)

Note: (1) Project Assessment Form for EAS is to compile information based on the results of an interview with the Promoter. After the interview, the MTI officer must type it up and send it to the head office (both in electronic file and hard copy) together with all the other application documents. (One set of all the documents must be retained at the Regional office)

(2) Refer to the "5. Guidelines for Application" of the MTI's "Equipment Aid Scheme" leaflet when conducting an interview.

(3) Upon the interview, the MTI officer must make sure that the Promoter understands the contents of the above leaflet.

(4) A site visit by an MTI officer, evidenced by the Promoter's signature on this Form, is requisite to the processing of the application by the MTI head office.

Name of the MTI Officer who has conducted the interview	
Date of the interview	
Name and position of the interviewee	

1. Information of the Promoter

1-1. Name of Promoter (company) / project	
1-2. Gender of Promoter	
1-3. Region and constituencies of focus	
1-4. Contact person's name, address, tel/fax and cell phone numbers	
1-5. Date of establishment	
1-6. Legal status of the business and the date of registration	
1-7. Current business (products, services, annual sales, market, competition, etc.)	
1-8. Promoter's educational/training background and past business experiences	
1-9. Current number of employees	
1-10. Business support services provided in the past (type and year)	

2. Outline of the New Equipment and Business to be Promoted

2-1. Major equipment requested and the total cost (lowest quotation)	
2-2. Business to be promoted with the new equipment (products, services, market locations, customers, competition, etc.)	
2-3. Amount of additional working capital required and its funding sources	
2-4. Promoter's physical and financial contribution	
2-5. Condition of the premises for the requested equipment	
2-6. Technical capability to operate and maintain the requested equipment	
2-7. Availability of after-care services	
2-8. Human resources management (new employment and skill development)	

I hereby certify that an MTI officer, named ________________________________,

visited my premises at (location) ____________________________________

on (date) _______________________.

Name of Promoter ______________________ Title ______________________

Signature ______________________________ Date ______________________

3. Assessment

3-1. Site(s) visited	(to be filled if the business is operated at multiple sites)			
3-2. Condition of the place(s) to operate and/or store the requested equipment (including electricity, water, etc.)		A. Sufficient		B. Will surely be made sufficient
		C. Not sufficient		D. Difficult to assess
	Reasons/Comments:			
3-3. Promoter's technical capability to supply quality products/services and to operate the requested equipment		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-4. Promoter's managerial and financial capability (business experiences, annual sales, savings, etc.)		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-5. Promoted business's prospect of future growth (status of demand and supply, competition, uniqueness, etc.)		A. Looks high		B. Looks moderate
		C. Looks low		D. Difficult to assess
	Reasons/Comments:			
3-6. Number of new employment expected				
3-7. Other comments, including the necessity of training				

4. Conclusion of the Assessment

	A. The application is proposed to be sent to the Equipment Aid Scheme Committee for evaluation.
	B. The application is proposed to be sent to the Equipment Aid Scheme Committee for rejection.

[添付資料 8] Problems in Regional Office Administration and Recommended Measures for Improvement

Problems in Regional Office Administration and Recommended Measures for Improvement

No.	Problems	Observations and Analyses on the Current Status	Recommended Measures
1	RED Division's inappropriate designation within MTI's structure	● DID controls the budget for Regional Offices though the latter serve not only DID but the entire ministry. This skewed structure hampers proper budget planning / allocation for Regional Offices (see #3 below). ● The RED Deputy Director is currently placed under the DID Director. In spite of the fact that regional issues do not necessarily fall under DID's authority, the RED Deputy Director is required to seek the DID Director's approval for any action to be taken, which in most cases leads to a delay in implementation.	● An independent Directorate needs to be created for RED, and staff and budget shifted to the new Directorate in order to achieve: (1) proper planning / allocation and utilization of the budget for Regional Offices; and (2) quick decision making and action.
2	Poor information sharing between the Head Office and Regional Offices	● Departments in the Head Office often fail to notify RED / Regional Offices of their decisions, even when relevant to such regions. There have often been cases where a Department initiated some actions at the regional level without duly involving RED / the Regional Office (sometimes due to difficulties in reaching the RED Deputy Director who is often required to travel within the regions), which has resulted in significant losses in efficiency as well as impact.	● A sufficient number of staff should be assigned to RED to enable the RED Deputy Director (or his alternate) to remain at the Head Office, be present at meetings involving regional matters, and be available for consultation with other Departments whenever necessary.
3	Regional Offices' work environment	● Regional Offices often suffer from a poor work environment, including a shortage of stationary, the breakdown of office equipment, computers and internet, electricity and water cuts, etc. due to the fact that all expenditures are managed by the Head Office, and the Regional Office's requests are often not immediately handled. This situation sometimes deteriorates to such a level that the normal functioning of the Office is significantly hampered. ● Regional Offices must collect three quotations when requesting the purchasing of office supplies from the Head Office. Since the number of office suppliers is limited within each respective region, resulting in the officers often having to visit Windhoek to obtain quotations, these exercises consume significant amounts of time and energy of the officers.	● The creation of an independent Directorate for RED will solve some of these problems since the budget to be used for Regional Offices will become properly planned and ensured. ● In order to achieve efficiency in procuring office supplies, a "central purchasing unit" should be created within RED that collectively purchases office supplies and distributes them to Regional Offices (the amount for each purchase can be limited to less than 10,000 ND). ● A petty cash account should be created for each of the Regional Offices (on the condition that all expenditure requests need to be verified and approved by RED), which will enable each Office to solve their minor problems on their own.

4	Loss of documents en route from Regional Offices to the Head Office	• There are often cases where a document received at a Regional Office and sent to the Head Office becomes unaccounted for due to the absence of a standardized system to record the receipt and dispatch of such documents. • All letters of acknowledgment are issued by the Head Office since Regional Offices have not been authorized to do so. This obscures who bears responsibility when a document is lost.	• The Advisor developed a standard form titled "Transfer of Documents (from MTI Regional Office to Head Office)", which should be used as a cover letter attached to all types of documents transferred from Regional Offices to the Head Office. This should be immediately implemented. • Regional Offices should be authorized to issue acknowledgement letters. The Advisor developed a standard form titled "Acknowledgement of Receipt of Documents" that should be used by Regional Offices upon the receipt of any type of document. This should be immediately implemented.

[添付資料 9] Transfer of Documents (from MTI Regional Office to Head Office)

Regional Office: (1) Fill out this form and attach it whenever transferring documents to Head Office, and keep a copy.

(2) Follow up, and tick when the arrival of the documents is confirmed. ☐

Transfer of Documents (from MTI Regional Office to Head Office)

Date:

Total number of pages:

From:		To:	
Name of the officer transferring the documents: Cell phone number: Fax number:			

The officer at company registration must enter reference numbers and fax this list back to the regional office.

List of Documents Transferred:

Name of Applicant	Business / Project Name	Type of Document (CC8, CC1, CM8, FS, BP, EIA, MS, etc.)	Ref No. (in case of company registration)

[添付資料 10] Acknowledgment of Receipt of Document

Acknowledgment of Receipt of Documents

Dear MTI client: Please fill in all applicable items (within the black frame only) and submit TWO copies to an MTI officer, who will sign on both copies and return one of them to you. Please also obtain the signature(s) of the MTI officer on the right hand side of this form when revenue stamps are pasted on your document.

To be filled out by the MTI client

Company's name / business owner's name:	Business owner's cell phone number:
Name of the person who delivered the document:	Signature of the person who delivered the document:

Delivered Document

Tick	Company Registration	Tick	Revenue Stamps	MTI officer's signature
	Registration of Defensive Name (CM8)		Total Amount:	
	Application for Close Corporation (CC1)		Total Amount:	
	Amendment of Founding Statement (CC2)		Total Amount:	
	Other document(s) (please specify):		Total Amount:	

Tick	
	Application for SME certificate
	Application for Equipment Aid Scheme
	Application for Business Plan / EIS/ Feasibility Study
	Application for Mentoring Services
	Application for the Participation to Trade Fairs
	Other documents (please specify):

Please Read Application Guidelines

To be filled out by an MTI officer

I hereby acknowledge the receipt of the above document(s).

Location and telephone number of MTI Regional Office:	Name of the MTI officer who received the document:	Signature:	Date:

[添付資料 11] Proposal on New Guidelines for the Sites and Premises Program

Proposal on New Guidelines for the Sites and Premises Program

1. Background

MTI, through NDC, has constructed business sites in the forms of business industrial parks, SME modules, open markets and common technology facility centers in strategic locations throughout the country. These are leased at nominal rates lower than market rates that are affordable for local entrepreneurs, in order to support their start-up and/or expansion of business activities. Although the Program has contributed to the growth of a number of companies, the number of beneficiaries has been limited since tenants are allowed to continue renting the premises at a rate lower than commercial rates even following the start-up / expansion stage. The current design of the Program is unable to prevent businesses with little growth potential from continuing to be supported, leading to a loss of MTI's opportunities to support other entrepreneurs with higher growth potential in the same regions. Based on this recognition, it is proposed that the following new Program guidelines be adopted by MTI management.

2. New Guidelines for Sites and Premises Program

(1) Objective of the Program

The overall objective of the Sites and Premises Program should be to boost Namibia's economic development by <u>promoting the growth of local enterprises</u> through the leasing of premises at affordable rates <u>during the start-up or expansion stage</u>.

(2) Rental Conditions for Premises

Premises will initially be leased to eligible businesses at a rate lower than commercial rates. The initial rate will be maintained during the first two years, and for an additional three years the rate will be increased annually up to the level of commercial rates. After the five-year rental period the tenants will be given the option to purchase the premises (this can also be done before the end of the rental period) or continue renting the same premises at commercial rates. In the case of a purchasing, NDC will support the tenants in preparing a loan application to submit to a bank (it is possible that NDC/MTI enters into an agreement with a bank or banks so that the latter provide a special loan facility for the tenants). Those tenants unable to generate sufficient cash flow to pay the increased rent or apply for a bank loan (in spite of the business support mentioned in the next section) will be obliged to vacate the premises, which will then open up new opportunities for other businesses with higher growth potential to rent the facilities at a rate lower than commercial rates.

Authorizing NDC to sell the premises or apply commercial rate rental fees will enable it to invest in additional new facilities, resulting in an increase in the number of the Program beneficiaries. This will also reduce the Government's burden of continuously mobilizing fresh capital for creating new premises.

(3) Holistic Approach to Support Tenants

Providing entrepreneurs with premises alone is not sufficient to place them on a growth path in a highly competitive environment. Once enterprises with growth potential are identified and premises allocated, MTI's other programs should also be engaged so that these companies acquire sufficient business and technical skills and/or financial resources to overcome their challenges and begin growing. Strengthening the tenants' competitiveness through this holistic approach will accelerate their graduation from the Program (i.e. purchasing the premises or leaving the premises to seek a larger space). It is expected that the emergence of successful businesses among the tenants will greatly inspire other entrepreneurs in the same regions.

(4) Eligibility of the Tenants

(a) Requirements

- The Applicant must be registered, or in the process of being registered, with MTI (a proof must be attached to the application in both cases). Registration must be completed prior to the signing of the lease agreement.
- The Applicant must have minimum business skills. The applicants who have received basic business management training will be given priority in the selection of tenants (all tenants are required to complete basic business management training prior to the signing of the lease agreement).

(b) Priority Sectors

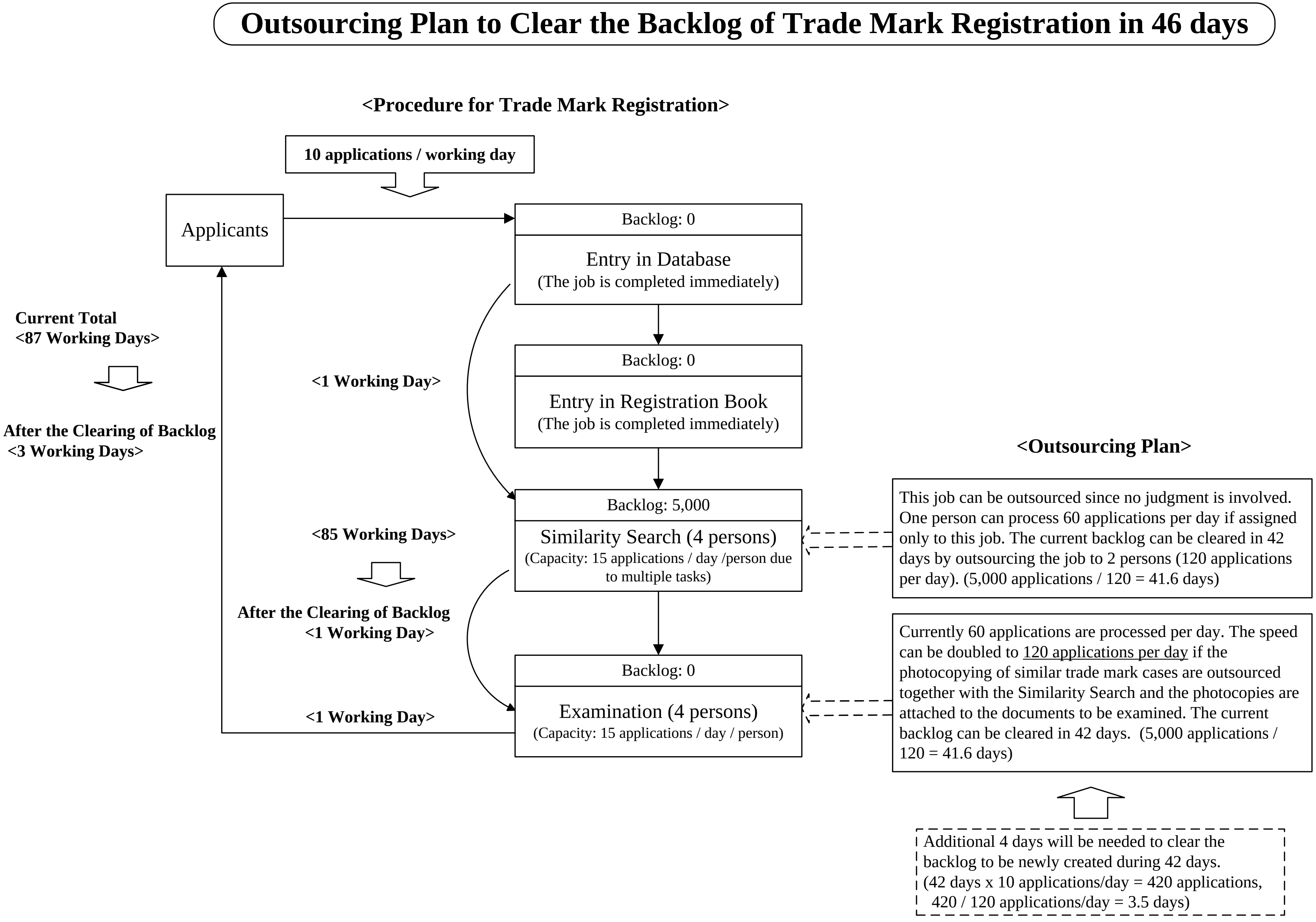
The following business sectors will be given priority (contingent on the type and availability of the premises):

- Manufacturing;
- Food-processing;
- Printing services (excluding photocopy shops);
- Auto services;
- Small scale stone processing (not mining);
- Tourism; and
- Logistics.

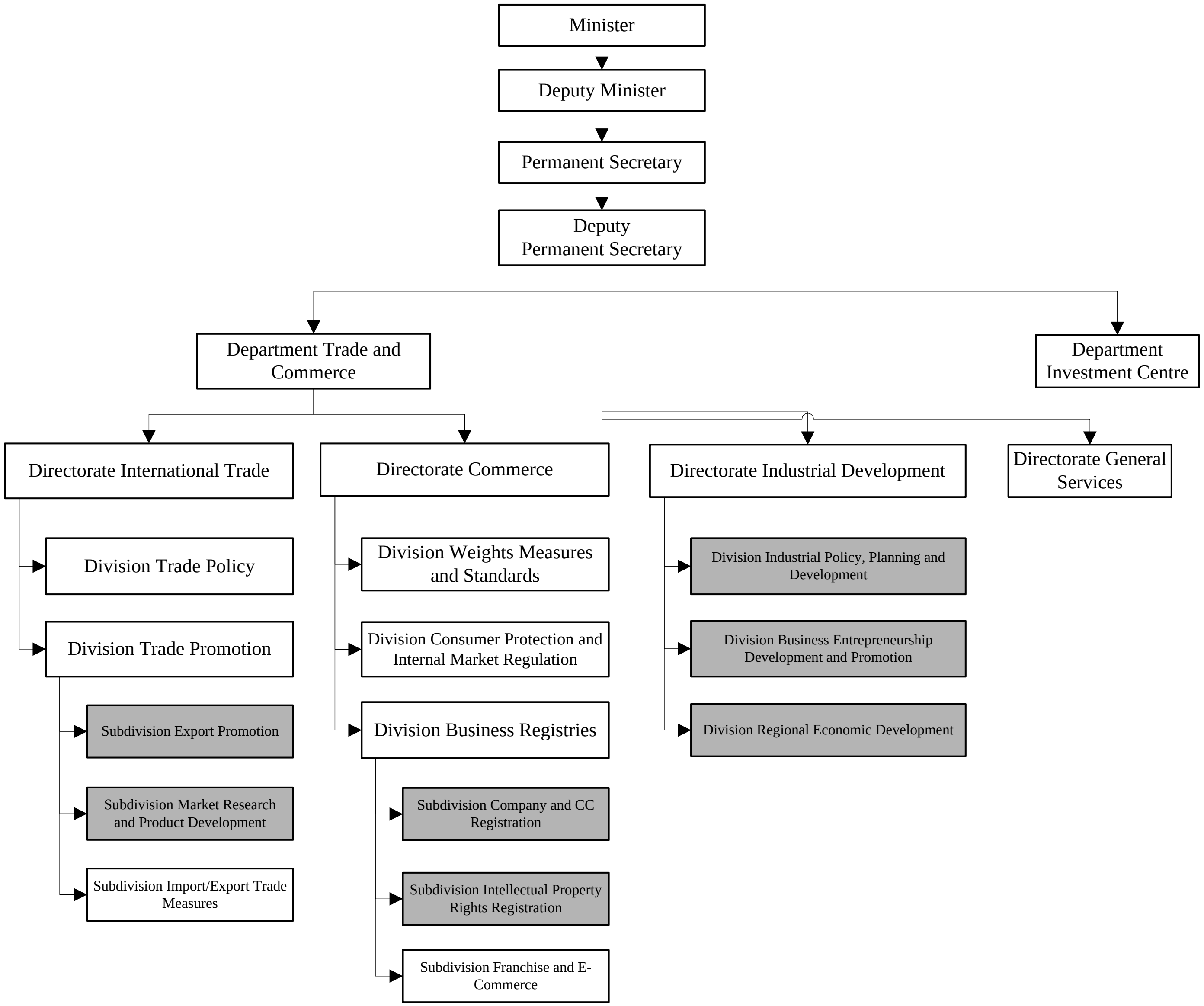
(c) Other Considerations

- The Applicant's past business experience will be given due consideration when the application is assessed.
- The businesses of which the market has already reached saturation cannot be approved

[添付資料 12] Outsourcing Plan to Clear the Backlog of Trade Mark Registration in 46 days



[添付資料 13] 貿易産業省の組織図



（網掛けは、本専門家が本業務を通じて特に関わった部局）