PROJECT MANAGEMENT FOR DONOR FUNDED - COMMUNITY BASED SUSTAINABLE DEVELOPMENT EFFORTS IN SRI LANKA

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Declaration

I hereby declare that this submission is my own work and that, it contains no material previously published or written by another person nor material which, to a substantial extent has been accepted for the award of any other degree or diploma of an university or other institution of higher learning, except where an acknowledgement is made in the text.

UOM Verified Signature

Piyum Malmee Weerasiri
November 2008

I hereby acknowledge that Mrs. Piyum Malmee Weerasiri has followed the dissertation process set by the Department of Building Economics.

UOM Verified Signature

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Dr. R Rameezdeen
Dissertation Supervisor
November 2008

Dedication

Home to office

Office to home

The unchanged melody

Changed by a 'Masters'

God ….. where do I find life?

She comes giggling

Eyes twinkling

'Ammiyo …..' she jumps on me

'Not the time for your masters' …. her eyes tell me

Little fingers meddle on the key board

'Show my birthday pictures'

Life, I found it,

Right on my lap

To my little angel, Suharya

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Thank you again.

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List of abbreviations

Abbreviation	Stands for
UNDP	United Nations Development Programme
INGO	International Non Governmental Organization
NGO	Non Governmental Organization
CBO	Community Based Organization
SL	Sri Lanka
GA	Government Agent
LTTE	Liberation of Tamil Tiger Eelam
DS	District Secretariat
DRB	District Review Board
IP	Implementing Partner
IDP	Internally Displaced Population
LKR	Sri Lankan Rupees
UN	United Nations
EC	European Commission
BOQ	Bill Of Quantities
BPR	Business Process Reengineering
TQM	Total Quality Management
SWOT	Strengths – Weaknesses – Opportunities – Threats

Abstract

Application of Project Management concepts in For-Profit project environments is very common. This study attempts to apply and make use of Project Management concepts in Non-Profit project environments.

The writer who had extensively involved in non profit project environments in Sri Lanka believes that many project fail or show poor performance due to lack of project management. Hence, this study is carried out.

The subject matter of the study is 'Donor Funded' 'Community Based' 'Sustainable Development' projects in different regions of the Sri Lanka. The aim of the study is to establish a common case of application of project management concepts throughout the life of a project by which the project quality is enhanced.

In achieving the aims of the study, a literature review will be carried out to establish the base line for the study and select an appropriate method of research. Further it will identify the general conditions and structures prevailing with the research matter. Upon identification of generic project conditions, the study will proceed to detail two real projects and to apply selected project management concepts on them, by means of case studies. The analysis will highlight the importance of project management to enhance project quality and sustainability.

Concluding the study, a model will be developed to ensure meaningful application of project management techniques in driving the project process to achieve project objectives. It is expected this model to be a guide in implementing nonprofit community projects for many professionals involved and for laymen as well, and in different contexts.

Recommendations will be made to improve the nonprofit project environment in Sri Lanka in a project management perspective.

Key words :
Donor funded, community based, sustainable development

Chapter ONE

Introduction

1.1   Back ground and Justification

Sri Lanka is a country which had been severely affected by many ethnic and political conflicts for centuries from the time the island was approached by Portuguese in 1505 AC. Lately, after independence, various ethnic and political groups within the borders of the country had been in conflict due to lack of leadership and focus on development. The great history of conflicts had detained the country in an Economical and Cultural recession for decades. As a result, the Government, Public Sector, Private Sector and the general public had remained to be 'under developed' in world development indexes and ratings. Especially, a significant percentage of the country's land and people who are occupying the areas under conflict have been troubled and unattended resulting in severe development gaps. On top of the ethnic conflict, none or low preparedness to natural disasters and endless corruption had caused more damages to the national economy and livelihoods of the people. It's a pity that the governments come to power do not have a strong and long term strategy to overcome the problems in the country.

"Sri Lanka's long running armed conflict is an important stumbling block to long-term development and poverty alleviation in Sri Lanka. The conflict has deep historical roots, and involves multiple issues such as ethnicity and access to economic opportunities." *(The World Bank Country Overview – Sri Lanka, 2008)*

Having said above, the amount of donor funds pledged on country's development activities have been enormous, especially after the cease fire in February 2002 and Tsunami in December 2004. The Government of Sri Lanka has a set of rules and regulations of managing external resources, undoubtedly for the benefit of the country. Unfortunately, the human resources involved do not have the capacity, knowledge and the intention of extracting the maximum benefit of the external resources of the country in useful and transparent manner. Therefore, government had been heavily dependent on international and local development agencies. Government plays the role of the 'facilitator' or

'coordinator' of the development activities while the implementation is almost carried out by development agencies.

Development agencies and the government bodies involved in development efforts carry significant organization wealth in terms of practical experience in carrying out the activities. But the local human resource attached to the development sector has limited experience as development sector is a new area of interest of the people. The staff attached to the development agencies, government bodies and other stakeholders do not carry adequate experience, technical competencies and project management skills in formulating and implementing community service projects. This has resulted in poor delivery of projects in terms of effectiveness of the funds pledged and resources mobilized. It is very much evident in the society that most of the resources allocated for development projects are wasted than made use of.

"Sri Lanka is on track to achieve most MDG targets, but now faces the challenge of achieving quality, relevance and sustainability in key public services." (*The World Bank Country Overview – Sri Lanka, 2008*)

Given the context, the need to set up project management tool kit to make sure the maximum utilization of the resources mobilized and the maximum benefits derived has become an utmost necessity. Moreover, it is important that the modalities developed are very generic and simple guides so that they could be widely use in all ground conditions and by many people.

This study will capture one specific segment of development efforts, where the activities are donor funded, and community based and sustainable. The very reason to capture this segment of activities among the others is the limited involvement of expert professional capacities at community level due to which the success of the activities is always risked.

1.2   Aims and Objective of the study

The aim

The above category of projects tends to be very complex due to the issues in ground conditions and implementation modalities. As the ground conditions and the development requirements in a community affected by the conflict or by natural disasters tend to be

multi faceted, the solutions too are multi faceted. The aim of the study is to identify and apply the very basic and simple Project Management concepts that could assist and direct the development projects in concern, in achieving the project objectives, economically, efficiently and effectively. The study will be directed towards developing a generic model to facilitate easy application of project management tools by layman on any ground conditions.

The objectives

In arriving at the above following objectives will be established.

- A precedent study on current practices and trends of the industry in general, locally and globally, to establish the industry stand point / the base line for study.

- A precedent study on research methods to focus on an appropriate method of research to investigate and analyze associated issues and develop a logical solution path and an application model as outlined in the aim above.

- A study on real term projects where above could be applied and elaborated to file evidence for the study.

- A post study review and recapture in developing the project management model and associated conclusions and recommendations of the study.

1.3   Methodology

The writer being in the trade for good five years with substantial involvement with different players and the stake holders of the development efforts of the country has a sound understanding on project formulations and progress. On the other hand, the writer had played a coordinating role between the programme and operations of development efforts, worked in a central location with extensive travel to all areas of the country to witness the delivery of the projects. The missions have been helpful for the writer to obtain the views and opinions of the local government, development agencies, project partners and beneficiaries and the degree of involvement in development efforts.

Being able to witness and feel the ground conditions and capacities, the writer believes that the area of study should be well felt and understood by the readers before proceeding to theorem being discussed. Therefore, the writer proposes an evidence based study where by the study is carried out around actual project matters and issues rather than hypothesis, so that the complexity and the concerns of a donor funded, community based, sustainable development project could be well conversed by the reader.

The study methodology could be listed as follows;

- A literature review will be carried out on application of project management concepts on non profit development projects in order to identify the global practices in a generic context.

- An analysis will be carried out on research methods to identify the best method of research for the study.

- As per the selection of research method, appropriate, relevant and adequate sources of evidence / subject matter will be identified.

- The subject matter will be introduced before detail analysis to familiarize the reader with the ground conditions and issues.

- A detail analysis will be carried out investigating the subject matter, identifying issues, developing solutions through application of project management tools.

- An analysis will be carried out to measure the successfulness of the case in achieving it's objectives in a non project management environment and in a project management environment.

- An overview of the analysis will be established while developing a generic model of applying project management concepts in designing and implementing the project type in concern.

- Conclusions and recommendation of the study.

1.4   Scope and limitations

The scope of the study, as reflected in the topic, will be carried out within three lines, 'Donor funded', 'Community Based' and 'Sustainable Development Efforts'. The location in which the study will be carried out is Sri Lanka. Sri Lanka has hundreds development projects across the island and hereby the projects will be categorized into few groups based on the common features of different projects.

- Development efforts in North and East provinces to cater the communities affected by the long standing ethnic conflict
- Development efforts in Tsunami Belt
- Development efforts in other areas of the country either affected by natural disasters or continuously of low living standards

- Development efforts directly undertaken by the Government such as high ways, harbors, airports etc.

The study will cover the first three groups where Government intervention in minimal. On the other hand, majority of the community development projects have minimal government intervention and thereby make the study very relevant to the Sri Lankan context.

However, it may not be viable and practical to apply project management concepts to projects of smaller values, shorter project periods and less complex but to make decision based on simple rational thinking. The reason is that smaller projects deal with smaller issues in more controlled environments and it will not be worth to spend resources on a comprehensive project management exercise. Having said above, it is intended to discuss the high value, long term and multi faceted projects for which project management concepts could be practically applied and benefited of.

Moreover, such complex projects could be designed and implemented only by the established development agencies or the government which has the administrative and operational capacities to carry out the required operations. Putting aside the complaints made on implementation of projects by development agencies, there are many good projects and implementation methodologies practices by them in delivering the complex but sustainable projects. Therefore, the study will be limited to the work of development agencies. The efforts taken by individuals, private sector and public sector will not be considered here even though the results of the study would be applicable to the modalities in practice by those parties as well.

Also, the study will be limited to perspectives of the development agencies, donors, project partners, community and the government being the key players of the development activities in concern.

Chapter TWO

Industry viewpoint, baseline for the study and method of research

The literature review was carried covering two aspects which are important to base and build up the study. The first aspect of the review is to identify the industrial viewpoint on non profit development projects and project management applications on the same. Research on this aspect and the analysis is expected to establish the general situation in the industry. The second aspect is to review the different methods of research to identify which suit the best for this study. Research and analysis on this aspect is expected to select the method of research to be used in the study, the basis of selection and the nature and the number of scenarios to be selected for the study.

2.1   Industry viewpoint and baseline for the study

The projects in concern in this study are of very specific nature, as been explained so far. They are different from other common project types, primarily,

- Being non profit making projects
- Performance is evaluated by the means of how much more could you invest rather than how much more could you save
- No of stake holders, their interests and capacities are very different and should be catered with greater sensitivity
- Sustainability of the end client overrides the speed and cost of delivery
- Objectives, Inputs, outputs and impacts are more of unquantifiable nature
- Each project has it's own ground conditions, resources, processes etc. or in other words, very dynamic and subject to change
- Assessing and responding to risks tends to be very challenging than of a commercial projects

Having said above, a literature review in to previous research studies had been carried out to find out and establish the application and modeling of project management concepts in non profit - development sector. Due to the lack of formal - printed literature in the area of research, this research was mainly web based yet covered official websites of Project

Management Institutes, Development Sector and Public Sector Institutes and general Project Management Circles, Journals and Articles.

The very existence of the non profit sector is totally based on the funding by the donors. The overall challenge in non profit development sector is to design projects which are marketable to donors by being projects which meet ground conditions and beneficiary requirements at the same time being economical, efficient and effective. To ensure the project cycle takes place in full from identifying projects, resource mobilization, implementation and results, it is vital that the project is designed in consideration with all relevant factors. This challenge in had been identified by the famous writers / project management practitioners as below.

"Funding for nonprofit programs is very difficult to get if the nonprofit has not carefully designed, marketed and evaluated its programs. If those three highly integrated activities are not done well, it is very difficult to prove to donors that the programs are successfully meeting needs in the nonprofit's community. As a result, the nonprofit will not get the support and funding so critical to its very existence. Thus, the critical activities of program design, marketing and evaluation have never been more important to nonprofits." (*McNamara, 1997*)

Narrowing down from the wider perspective of challenges faced by the non profit development projects in an overall context, the renowned international auditors, Price-Waterhouse-Coopers (2004), identifies the lack of management concepts being in practice by non profit organizations. This is even applicable in Sri Lankan context where almost all the projects in the field are implemented and managed by staff who is not particularly conversant with project management concepts.

"Many public sector organizations are under pressure to meet improvement and development targets, or deliver major change programmers to high standards. The requirement to demonstrate significant improvement across all aspects of public sector businesses has driven our clients to recognize the benefits of improving their broader programme management capability. In response, organizations increasingly recognize the benefit of improving their broad programme and project management capability. Potential issues are,

• Improving efficiency and effectiveness in response to targets and public sector reviews

- Improving and developing an organization's programme and project management capability
- Disparities in the ability to deliver programmers and projects, and their expected benefits, successfully
- A failure to realize the anticipated benefits of using formal methodologies

(Anon, www.pwc.com/extweb/industry.nsf/docid/)

Further narrowing down to operational details of non profit development projects, the project management writers identify the need of a realistic and strong strategic plan. The strategic plan drives the project towards the objectives within a comprehensive framework drawn up taking account of taking ground conditions and availability of the resources.

"Strategic planning serves a variety of purposes in organization, including to:
- Clearly define the purpose of the organization and to establish realistic goals and objectives consistent with that mission in a defined time frame within the organization's capacity for implementation.
- Communicate those goals and objectives to the organization's constituents.
- Develop a sense of ownership of the plan.
- Ensure the most effective use is made of the organization's resources by focusing the resources on the key priorities
- Provide a base from which progress can be measured and establish a mechanism for informed change when needed.
- Bring together of everyone's best and most reasoned efforts have important value in building a consensus about where an organization is going."

(McNamara, 1997)

Above quotes are self explanatory in need of a strategic plan for a projects of non profit development sector. It also explains the need of reviewing and revising strategic plan in continuous basis depending on the changes in he ground conditions. As the projects in concern in this study are situated in very volatile ground conditions, the need of strategic plan which guides and directs the project operations towards the project objectives is a critical success factor. Moreover, it should be noted that the strategic plan should allow for a lot flexibility, diversity and contingency to adjust freely and conveniently to the changing situations.

More precedents were carried out as to what need to be done in drawing up an appropriate strategic plan for non profit development projects with the belief that such will help arriving at the project aim of modeling project management concepts around nonprofit development projects. A typical strategic planning process and its implications on the project can be identified as follows.

"Many managers spend most of their time 'fighting fires' in the workplace. Their time is spent realizing and reacting to problems. This could be avoided by developing a strategic plans and corresponding work plans. Gathering the strategic planning process;

- Strategic planning should be done when the project is just getting started. The strategic plan is usually part of an overall business plan, along with a marketing plan, financial plan and operational/management plan.

- Strategic planning should also be reviewed at least once a year in order to be ready for the coming fiscal year to identify the organizational goals to be achieved over the coming year, resources needed to achieve those goals, and funded needed to obtain the resources.

- During implementation of the plan, the progress of the implementation should be reviewed at least on a quarterly basis. The frequency of review depends on the extent of the rate of change in and around the organization.

- When conducting the planning process, involve a cross functional team people who will be responsible for implementing the plan to ensure the plan is realistic and collaborative.

- Organize the overall strategic plan into smaller action plans, often including an action plan / work plan specifying and clarifying the plan's implementation roles and responsibilities.

- Communicate the role of follow-ups to the plan. If people know the action plans will be regularly reviewed, implementers tend to do their jobs before they're checked on."
(McNamara, 1997)

As being quoted above in all cases, it is established that a strategic plan is one of the most critical aspects on any project for projects consisting of many different actions and processes each having very independent but inter dependent cost, quality and time factors to be met within the given ground conditions and resources. A strategic plan will drive a project in the desired direction, at a desired pace and at a desired cost ensuring the achievement of project objectives, at the end of the process.

Literature review above established the industry viewpoint in general on non profit development projects. The findings of the review could be summarized in to following key points.

- The very existence of nonprofit development projects is to have adequate funds pledged for all required activities. Though there are many donor agencies with large pools of funds, the donors would pledge money only on projects that appear to be viable, accountable and presentable for the people who contribute to the pool of funds.

- For a project to be lucrative to a donor, it needs to be strategic, manageable and accountable. A project that does not meet these criteria will not attract donors.

- The project should be marketable. Though the project is developed strategic, manageable and accountable, it will not attract donor unless it brings some tangible benefits and credits to the donor. Projects which have tangible outcomes and impacts are more marketable among donors.

- Projects need be integrated in to a broader development plans rather being isolated. Development requires multi sectoral boom to achieve sustainability. Developing one sector / one area while the other sectors remain under developed will automatically amounts to the failure of developed sector as well.

- Projects should be initiated, planned and commissioned in a planned manner to avoid fire fighting throughout implementation to achieve smooth operations, economies of scale and best results.

- Lack of awareness of the project aspects and issues among the project stakeholders results in poor performance of projects. Therefore internal and external communications of the projects should be planned and followed continuously and consistently.

Deriving from the industry view point of project management in non profit development sector projects, following could be drawn up as the baseline in applying project management in nonprofit community based development projects in Sri Lanka.

- A holistic / integrated approach
- Strategy at macro and micro level
- Participatory planning and implementation
- Manage design, operations, resources and risks
- Ownership and empowerment for sustainability

The study hereby, will not guide through the formulation of a generic strategic plan for projects. As the non profit – development projects vary heavily in the nature, ground conditions, issues and activities, it is more feasible to leave room for project mangers to formulate individual strategic plans for individual projects. The study will be looking at guiding the way forward through modeling projects with simple project management concepts identify the issues and resource, establish objectives, planning and implementing the project to achieve objectives in an economical, efficient and an effective manner.

2.2   Method of research

A research is a method by which data is gathered to generate a theory or to test a theory. There are different ways of conducting research but irrespective of the method in use, it is important to carry out systematic collection and analysis of data. Research requires questioning of opinions, assumptions, theory and speculation with sole purpose of gathering evidence to prove the case.

A research, by definition is a,

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"Systematic, formal rigorous and precise process employed to gain solutions to problems and/or to discover and interpret new facts and relationships." (*Waltz and Bausel, 1981*)

"Process of looking for a specific answer to a specific question in an organized objective and a reliable way." (*Payton, 1979*)

"Systematic, controlled, empirical and critical investigation of hypothetical propositions about the presumed relations among natural phenomena." (*Kerlinger, 1973*)

To understand more what research is let's look at certain main characteristics of a research which are common for all types of research methods.

- Research originates with a question or a problem.
- Research requires a clear articulation of a goal.
- Research follows a specific plan of procedure.
- Research usually divides the principal problem into more manageable sub-problems.
- Research is guided by the specific research problem, question, or hypothesis.

- Research accepts certain critical assumptions. These assumptions are underlying theories or ideas about how the world works.

- Research requires the collection and interpretation of data in attempting to resolve the problem that initiated the research.

- Research is, by its nature, cyclical; or more exactly, spiral or helical.

(Leedy, 2005)

In another perspective, research is seen in a spiral between knowledge and findings which forms the next question and the research action to solve the question. Research spiral below represents the helical nature of research.

"A research is continual and expanding. As one question is answered many more are generated. Researchers depend upon previous work to expand the knowledge base on any research frontier. A better representation of research might be a series of interconnected 'V's forming an upward spiral." *(Trochim, (2006)*

*Illustration 01 :
The research spiral*
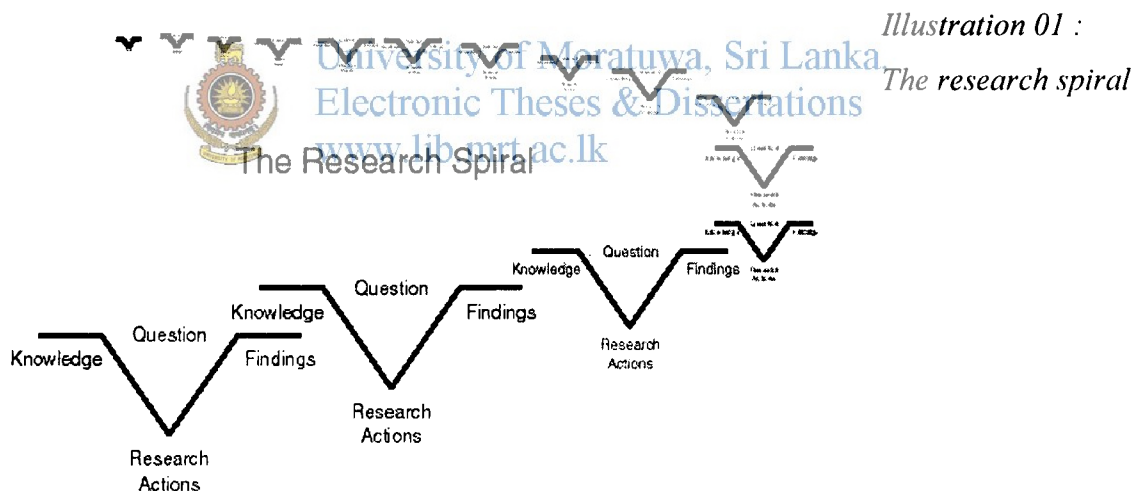
Having said above, it is now important to identify and analyze the best method of research to carry out the study in concern herewith, where by the nature of the study, access to information etc. are taken into considerations and also the aims and the objectives of the study are achieved.

The objective of this analysis is the find out, analyze and select the most suitable method of research for the particular study. Also, it will stipulate the no of subjects / cases that need to be researched, their relevance and appropriateness to arrive at a reliable conclusion

and on what grounds. It would further discuss the various pre research steps that should be taken in order to get the research take off the grounds.

The study has a potentiality of being tested on both qualitative and quantitative aspects. Therefore, let us first look at the types of common and convenient research methods that could be practiced in research in social science and management areas and also the methods that could carry out both quantitative and qualitative research. Common and convenient research methods are considered here with is due to the fact that data collection and other relevant resources would not be accessible easily as study locations are based in access restricted areas. Therefore, the writer felt that it would be better to choose a research method where the research process is straight forward, less complicated etc.

Couple of methods is in general use for research studies. The different methods have been developed by theorists in response to the needs of researchers to cater research if different nature. Identifying the different research methods, following could be listed;

- Experiment
- Survey
- Participatory Action Study
- Case study

A brief explanation on the main characteristics of all above methods will facilitate in identifying the best suitable method of research for the study.

2.2.1 Experiment

A standard definition of an experiment will be the best to brief about the process of an experiment and it's applicability in research.

"An experiment is a set of observations performed in the context of solving a particular problem or question, to support or falsify a hypothesis or research concerning phenomena. The experiment is a cornerstone in the empirical approach to acquiring deeper knowledge about the physical world. In an experiment,

- The independent variable is the only factor that varies systematically in the experiment; in other words, that the experiment is appropriately controlled - that confounding variables are eliminated

- The dependent variable truly reflects the phenomenon under study, a question of validity and that the variable can be measured"

(Anon, http://en.wikipedia.org/wiki/Experiment)

Experiment as the method of research for the study

The study will be an effort to identify the success in achieving objectives of a project in two situations where project management tools are applied and not applied. In such a context, the success of project cannot be measured in terms of one indicator /variable factor but through the success of collection of indicators / variable factors. In the method of experiment, in general, one factor will be variable where as all other conditions will be kept fixed, or in rare instances, a couple of factors will vary. Also, the results expected here are of quantitative rather than qualitative. So it would be very impractical to measure the success of collective indicators by this method. Also, the study is looking at qualitative results such as the impact of projects on peoples lives, communities etc. which are not feasible to be measured through an experiment.

"Field experiments are so named in order to draw a contrast with laboratory experiments. Often used in the social sciences, and especially in economic analyses. Field experiments have the advantage that outcomes are observed in a natural setting rather than in a contrived laboratory environment. However, like natural experiments, field experiments suffer from the possibility of contamination of conditions, ie: experimental conditions cannot be controlled with more precision and certainty like in the lab." *(Harrison, 2004)*

As quoted above, even though the experiments can be carried out in the field as well, it is extremely difficult to control the experiment conditions in a field set up. The projects in the study particularly face very volatile ground conditions and therefore, field experiments will not be feasible as well.

With above, it could be concluded that the experiment is not the appropriate method of research for the study except for certain mini areas of it.

2.2.2 Survey

"Survey research is one of the most important areas of measurement in applied social research. The broad area of survey research encompasses any measurement procedures that

involve asking questions of respondents. A 'survey' can be anything from a short paper-and-pencil feedback form to an intensive one-on-one in-depth interview. Typically they could be of two types, questionnaires and interviews." (*Trochim, 2006*)

As stated above, survey is the best research method takes a sample of the information on the same question over a large population of similar subjects. This is the best way of obtaining quantitative results over a research on social sciences, management etc. A survey proves / provide clear evidence of the result for the question raised, as it actual and real time information extracted from the source it self.

"Surveys represent one of the most common types of quantitative, social science research. In survey research, the researcher selects a sample of respondents from a population and administers a standardized questionnaire to them. The questionnaire, or survey, can be a written document that is completed by the person being surveyed, an online questionnaire, a face-to-face interview, or a telephone interview. Using surveys, it is possible to collect data from large or small populations, referred to as the universe of a study." (*Trochim, 2006*)

But the reliability of the information gathered is totally dependent on the source of information. If the source by which the information is extracted is not reliable, not capable enough to understand the survey and to provide information in a manner that would be of help for the research and in a timely manner, the validity of the data gathering becomes questionable.

Survey as the method of research for the study
With the analysis above, a survey is more a quantitative method of research in social science / management projects. The study, as discussed before, is a measure of success in achieving project objectives, which are measures through highly qualitative measures on impact on people and communities. It is possible to design the survey in such a way that qualitative aspects of the project could be gathered but in the context of this study, it is very doubtful that the information sources being reliable, timely and to the extent which the information provided is appropriate for the analysis.

Also, the study does not try to prove a fact by applying it among a large population but develop a generic model which could be applied on vivid and diversified project

conditions. Therefore, rather than proving fact among a larger population, it is more suitable to go for a research method which could analyze a multi faceted problem in to multi faceted solution.

2.2.3   Participatory action research

Action Research or Participatory action research has emerged in recent years as a significant methodology for intervention, development and change within communities and groups. It is now promoted and implemented by many international development agencies, local community organizations and university programs.

"PAR involves all relevant parties in actively examining together current action in order to change and improve it. It is action which is researched, changed and re-researched, within the research process by participants. Nor is it simply an exotic variant of consultation. Instead, it aims to be active co-research, by and for those to be helped. Nor can it be used by one group of people to get another group of people to do what is thought best for them - whether that is to implement a central policy or an organizational or service change. Instead it tries to be a genuinely democratic or non-coercive process whereby those to be helped, determine the purposes and outcomes of their own inquiry." (*Wadsworth, 1998)*

As explained above, participatory action research is a very successful method of carrying out research. By personally involving in the study, the research will be in interaction with the people in concern, their cultures and norms. It allows the researcher learn all ground conditions, issues, resource availability etc. of the study. This helps the researcher focus on all relevant matters and to come up with the best integrated solutions and conclusions. The disadvantage of this method is that there is a high tendency of the researcher being biased in participatory action and in his conclusions too.

The writer had been involved in the study areas significantly but indirectly, more in a overlooking or observation capacity. It had helped the writer to learn the people, culture and ground conditions but not to get involved in the real work, where personal biases could play a role. In terms of the study here, it is not practical to carry out a Participatory Action Research anyway, as the areas in concern are not easily accessible and the scope of the study being large and wide cannot be fully attended by one researcher, but a group.

Therefore, the involvement the writer had in actual context will be very helpful in the study.

2.2.4 Case study

The popularity of case studies in testing hypotheses has developed only in recent decades. Case study evaluations cover both process and outcomes, because they can include both quantitative and qualitative data.

Yin had been the most successful writer on case study method. It is the best to look at his views and of contemporary writers, to understand the characteristics of a case study.

"Case studies are complex because they generally involve multiple sources of data, may include multiple cases within a study, and produce large amounts of data for analysis. Researchers from many disciplines use the case study method to build upon theory, to produce new theory, to dispute or challenge theory, to explain a situation, to provide a basis to apply solutions to situations, to explore, or to describe an object or phenomenon. The advantages of the case study method are its applicability to real-life, contemporary, human situations and its public accessibility through written reports." (*Yin,1984*)

"Rather than using large samples and following a rigid protocol to examine a limited number of variables, case study methods involve an in-depth, longitudinal examination of a single instance or event: a case. They provide a systematic way of looking at events, collecting data, analyzing information, and reporting the results. As a result the researcher may gain a sharpened understanding of why the instance happened as it did, and what might become important to look at more extensively in future research. Case studies lend themselves to both generating and testing hypotheses." (*Yin, 1984*)

"Case study is known as a triangulated research strategy. (Snow and Anderson, 1991). Triangulation can occur with data, investigators, theories, and even methodologies. The need for triangulation arises from the ethical need to confirm the validity of the processes. In case studies, this could be done by using multiple sources of data." (*Tellis, 1997*)

A case study is well explained in the above by all its characteristics. The facts that support the arguments could be listed as below.

- A case study could be used to build upon theory, to produce new theory, to dispute or challenge theory, to explain a situation, to provide a basis to apply solutions to situations, to explore, or to describe an object or phenomenon.

- A case study drills down in to all variables / details of one scenario rather than and looking at single/couple of variables of multiple scenarios.

- A case study gathers data from multiple sources and process data in to information within an integrated framework.

- A case study develops in to measuring of qualitative and quantitative data. It analyses, processes and outcomes.

- A case study could be carried out on hypothesis or on real life situations.

2.2.5 Case study as the method of research for the study

The facts above are sufficient to establish that the most suitable method of research for the study in concern is Case Study. The study here by will use the case study method for research on the basis that,

- It builds upon the theory and provides a basis to apply solutions to situations
- The study needs to cover all aspects of the scenario including objectives, people, culture, ground conditions, resources, risks, potentials, social impact etc.
- The study requires to gather data from multiple sources and to analyze information within a single integrated framework.
- The study stipulates qualitative measures as well as quantitative measures as evidence.
- The study is totally carried out based on very complex real life situation.
- The study is to generalize theory rather than proving a fact over a large population.

"Case study research excels at bringing us to an understanding of a complex issue or object and can extend experience or add strength to what is already known through previous research. Case studies emphasize detailed contextual analysis of a limited number of events or conditions and their relationships. Social scientists, in particular, have made wide use of this qualitative research method to examine contemporary real-life situations and provide the basis for the application of ideas and extension of methods." (*Yin, 1984*)

Having said above, let's now look at the selection of cases for study.

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Apart from the logistical issues in carrying out a case study, there are couple of parameters that should be looked at selecting case / scenario for the case study to be academically viable, operationally practical and rich in substance and evidence and top of all simply worth doing it. The following quotes will summarize such parameters to facilitate the selection of the case for the study.

"The rationale for using multiple sources of data is the triangulation of evidence. Triangulation increases the reliability of the data and the process of gathering it. In the context of data collection, triangulation serves to corroborate the data gathered from other sources."

"The unit of analysis is a critical factor in the case study. It is typically a system of action rather than an individual or group of individuals."

"Case studies are multi-perspective analyses. This means that the researcher considers not just the voice and perspective of the actors, but also of the relevant groups of actors and the interaction between them. This one aspect is a salient point in the characteristic that case studies possess. They give a voice to the powerless and voiceless."

(Tellis, 1997)

As mentioned above, the parameters that should be met in selecting a case / scenario could be listed as follows.

- Ability to gather information from multiple sources so that triangulation of information will increase the reliability, accuracy, applicability, quality and appropriateness of evidence.
- Ability to clearly identify the 'units of research' with in the case. In other words, the scenario should carry clear and focused areas to which the research could be meaningfully segmented and then to interrelate and integrate.
- Ability to carry out the research over all related actors and processes. This will establish the transparency and compatibility if views.

It is also important to see the literature on how many cases should be selected to prove the theory in concern. Yin, again had written on the matter,

"A frequent criticism of case study methodology is that its dependence on a single case renders it incapable of providing a generalizing conclusion. Yin (1993) presented Giddens' view that considered case methodology "microscopic" because it "lacked a sufficient number" of cases. Hamel (Hamel et al., 1993) and Yin (1984, 1989a, 1989b, 1993, 1994) forcefully argued that the relative size of the sample whether 2, 10, or 100 cases are used, does not transform a multiple case into a macroscopic study. The goal of the study should establish the parameters, and then should be applied to all research. In this way, even a single case could be considered acceptable, provided it met the established objective.

Case studies can be single or multiple-case designs, where a multiple design must follow a replication rather than sampling logic. When no other cases are available for replication, the researcher is limited to single-case designs. Yin (1994) pointed out that generalization of results, from either single or multiple designs, is made to theory and not to populations." (*Tellis, 1997*)

It is very clear from above that the number of cases does not play a role in a study where the objective is to generalize a theory. What matters is the substantial application of theory over the selected scenario and then generalizing the application so that the generic application model can be applied on any scenario. But it is important to select a case where substance is concrete and facilitates generalizing. In conclusion, the writer decides to select two cases where general practices in the industry is well incorporated, substantial in content and context and also that suffice the three parameters that establishes the study is worth doing.

Before carrying out the study, let's also briefly look at the protocol and the methodology of a case study introduced by Yin, to ease the research efforts. The typical case study protocol would be,

- A guide for case study report (outline, format for the narrative) An overview of the case study project - this will include project objectives, case study issues, and presentations about the topic under study
- Field procedures - reminders about procedures, credentials for access to data sources, location of those sources
- Case study questions - the questions that the investigator must keep in mind during data collection
- A guide the case study report - the outline and format for the report.

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Chapter THREE

Introduction and approach to the case study

The main purpose of this chapter is to introduce the general context, project process and issues of nonprofit development efforts in order to facilitate the application of project management tools on the same. Project management tools will be applied to two real scenarios through the research method, case study. In order to develop a strategy for applying project management tools, a model will be developed. The model is the structures response to the feedback gathered from project stakeholders through data collection techniques. Hence, this chapter will cover the following aspects.

- Define / briefly explain the subject matter of the case study

- The approach to the case study

- Data collection technique and data collection

- Identification of generic project functions, project process and project issues

- Conceptualize the applicability and application of project management tools

- Selection of certain project management tools

This source material for this part of the literature review were field knowledge and experience acquired by the writer being involved in the industry, one to one interviews with staff with development agency, implementing partners and beneficiaries, project manual of the development agency, various agreements and mandated of development authority, development agency and investors, agreements and findings of cognitive mapping exercise carried out on case scenarios etc. Facts that are given here are independent and impartial analysis of the writer of the facts extracted from the above mentioned sources.

3.1   Defining and debriefing of the subject matter of the case study

Development sector has not been a very popular area of interest among the people of Sri Lanka as the country had very little opportunity in getting involved in it in the past.

As a fact, development takes place after two preliminary stages of post conflict / post disaster / post recession efforts in reinstating the state and people affected by the same. The two preliminary stages are Relief and Recovery.

Relief is immediate survival activities carried out during or just after a period of conflict, disaster or recession. Recovery is preliminary reinstatement activities carried out during which basic needs of the state and people are taken care of by a responsible third party while building the capacity amongst the affected to stand up on their own.

As an example, during Tsunami, saving lives of affected, first aid, temporary lodging, finding family, essential food supply etc. falls under relief probably carried out in first two days. The next few weeks of relocating the affected people in temporary housing, dry ration and monetary contribution, finding schools for children, preparing lost documentation etc. falls under recovery.

Development effort is the third stage of reinstating the state and the people on their normal lives where housing, livelihoods, infrastructure, other public services such as education, health and sanitation etc are properly put in place for the affected people to lead an independent life.

The study concentrates on the third stage, which is 'development' rather 'sustainable development' where by millions of dollars of donor money is pledged. Being more contained within a part of a larger topic, the study will only consider the efforts which follow community based approach.

With a view that general readers are not very familiar with the definitions and concepts behind the subject matter, the writer intends to debrief on the same to better converse the ideas discussed herewith.

3.1.1 What is meant by Sustainable Development Efforts?

As discussed above, development is the third stage of reinstating the state / people affected by a conflict, disaster or recession. A government has to make very strategic decisions during this stage because people are waiting for a new life. Also the decisions need to be made very quickly as the people cannot wait for months to get back to their normal

independent lives. The more the decisions are vague, irregular, and inappropriate and slow, the more the state and the people would suffer. Moreover, it may cause duplication of development efforts resulting in utter waste of resources.

On top of the core concepts of development, the development sector now is more concerned about 'sustainable development'. This is where the development sector concentrates on the sustainability of the efforts where it is ensured that state and people who are beneficiaries of one process can stand alone on their feet for their rest of their lives without having to be a beneficiary of a similar development process. At the end of the development process, they are given with basic needs and a stable mode of income to build up their lives. If the effort in concern is rehabilitation of a road, sustainability attained is that the road will be in use in good conditions (except for ware and tare) and probably with provisions left for expansion etc. so that the next development phase does not have to redo the processes that have been already taken place.

3.1.2 What is meant by Community Based Sustainable Development Efforts?

Community based approach is one of the modalities practiced in community development activities. The term community hereby represents the people, culture, resources, needs etc. of the target group of beneficiaries. Hereby, each and every member in the community is treated to be having equal rights and responsibility to participate in the development efforts by raising their concerns, decision making and actively involved in development action. Though the individual opinions are respected, the decisions and actions will be based on majority and collective basis.

Based on the requirements of the community, either one or more development agencies will get together to support the community. The limitations that the development agencies face in taking up a complete community project is due the individual mandates of the agencies and also the mandates of the donors and the funds availability.

Community will play the key role in implementing the project as the project will be owned by the community itself at the completion. Community based approach will develop the skills and capacities of the people while implementing the projects. On completion of the project the community is expected to sustain on its own, with the livelihoods, skills and capacities developed.

3.1.3 What is meant by Donor Funded, Community Based Sustainable Development Efforts?

Even though there are many donors who have pledged funds in development efforts in Sri Lanka, they do have their preferences on deciding the sectors. Yet, Sri Lanka has a good combination of donors and the fund pledge for different sectors, ranging from major infrastructure to community livelihoods.

Donors, when they pledge money, have their own set of mandates, preferences, budgets etc. that restrict the decisions and activities of the development agencies. A donor contribution is made with an agreement that the funds will be invested on certain areas, certain sectors, certain approaches (community based, area based etc.) and certain budget for each sector / area. It could be further detailed in to elements such as a cost of a house, cost of dug well etc. where the development agency has to fall within the budget in implementation. This is a key factor in project formulation and implementation and has to be well understood and planned for at early stages.

3.1.4 Who are the key players in development sector?

It is important to identify the key players in development sector and also to identify the hierarchical and communication links between them to proceed with a project management exercise.

Development authority
Development authority is the ultimate decision maker in the development sector. In Sri Lanka, the central government, line ministries and the local government bodies collectively holds the responsibilities and carry out the tasks of a development authority. The main tasks of the said entities will be to,

- Endorse entry of donors and development agencies reviewing their mandates, terms and conditions
- Ensure that the millions of dollars pledged, at any time, will not challenge the economy of the country, ongoing development activities and will not overrule the current players on the ground
- Draw the macro level plans for development
- Regulate and regularize the operations of various stakeholders

- Ensure fair distribution of funds among all communities, areas and sectors

While line ministries make most of the plans and allocation based on central government decisions, local government bodies heavily involve in implementation of plans and monitoring progress through the structures of Government Agent (GA) / District Secretary (DS) and District Review Board (DRB). DRB is a steering committee at the district level who endorses the proposal presented by the development agencies based on the master plan for development in the district. The local authority also supports the development activities in the district by playing an intermediary role between the communities and the development agencies.

Investor / Donor

A donor is a party which pledges money towards the development efforts. A donor could be International or National, Public, Private or Individual.

The donors in Sri Lanka are mostly the governments of developed countries. The money invested is the tax collected from the people of the donor's country or other voluntary contributions. Therefore, the donors are bound to report back the return on investment to the public of that country. Hence, the donors are very concerned about the transparency, accountability, lower over head costs and greater output and impact.

Development planner / agency

Is an agency involved in development efforts in assisting a country / government / community in concern deploying funds of the agency or the funds donated by a third party and routed through the agency.

In case the local government, community organizations, private sector etc. are not in existence or do not the capacity to implement development efforts, the agency it self will implement the projects. In case the above parties are available with the required capacity, the development agencies will channel the funds through such entities to the grass root levels.

A development agency is expected to act as an independent body that by policy a neutral entity to all segments of communities and also as a nonprofit organization. Different types of development agencies found in Sri Lanka are,

- International Development Organizations

  In terms of the wealth, capacity and the reliability, these agencies are much stronger and emphasized than many other development agencies. Some of them play the role of the donor and the implementing agencies while some others play one of the above roles.

- International Non Governmental Organizations

  These organizations raise funds to implement development project from Donor organizations and countries and are directly involved in implementation.

- National Non Governmental Organizations

  Similar as above but are national organizations.

- Central and Local Government Authorities

  These institutions mostly involve in planning and monitoring of development efforts. But in southern part of the island where Government has the technical and human capacity to implement projects, they do involve directly in implementation, therefore could be considered as a development agency in certain part of the island.

- Private sector

  There is a new trend of established corporate entities showing increased interest in development efforts in the country. These organizations have been working directly on the ground with considerable amount of money as been guided and requested by the local government.

Implementing partner (IP)

An implementing partner is an entity that would implement the projects on behalf of the development agency.

It is a very common practice that the Development Agencies seek the expertise of an implementing partner to implement the projects in the field. There are many reasons behind this modality. Implementing partners (mostly local NGOs and Community Based Organizations) do carry a better understating of the ground conditions, community norms and cultures. They could gather the required human resources to implement the project easily and administer them in a simpler way rather than issuing a staff contract of a Development Agency. On top of that, implementing projects in the filed is the main course of business of such organizations and possess experience and expertise.

In general, a development agency may not be strategically positioned to implement a project in communities but would prefer a monitoring role where as an implementing partner is positioned at the most strategic position to carry out development activities in a community.

Community

Identifying the community is a very sensitive and a critical factor in community based approach in development efforts. Community is a group of people who live together in a place sharing infrastructure, culture and norms and with the assistance to each other in their day today living. A sense of belongingness, territoriality, and collective decisions are indications that a group of individuals have transformed to a community. The composition of a community is not necessarily be of the same religion, race or the cast but different. It is the mutual understanding of the group members which forms a community.

In development efforts, not only the people are considered as a community but their physical and psychological needs within the community such as housing, roads, health and sanitation etc. In community based approach in development, all members of the community and their views are treated with equal importance.

Beneficiary

Beneficiary is a recipient of the benefits of the development effort. There could be direct and indirect beneficiaries in a development activity and it is important that the indirect beneficiaries concerns too are incorporated in to the project plans as it could be the main factor of sustainability of the project.

As said above, project planning should take place in as a two way process from bottom to top and top to bottom, identifying the needs and requirement of all above in concern.

3.2   The approach to the case study

Having established the baseline for the study under chapter one and understood the general ground conditions earlier in this chapter, an approach which ensures that all aspects and functions of a case study research is captured in detail, analyzed and formed in to a research study and findings. The approach would be to indentify multi sectoral projects which have been already implemented, identify the issues, loopholes and benchmarks of

the already designed and implemented project, and redevelop the project applying project management tools and to assess enhancements in decisions, implementation and quality of the end product.

To facilitate the above approach, following steps will be carried out. Steps are listed along with the basis for decision.

- Identifying two scenarios for the case study research

  It is intended to capture widest scope of issues and ground conditions by the two case studies while the two scenarios are presented from different sectors, donors, locations, degree of damage, capacity of the community etc. It is also important that accurate and reliable data could be accessed and the stakeholders have the capacity to participate in a cognitive mapping exercise. Moreover, the two scenarios have to be already designed, implemented and completed. The two scenarios need to be elaborated in to the two case studies in order to carry out a comprehensive analysis in which decisions have to be made in very complex and volatile situations. Above is expected to cover a most of the aspects and issue in the process of building a general model. UNDP being the leader in development projects in Sri Lanka, two projects that have been created and implemented will be selected.

- Collection of data of the already designed and implemented project

  A comprehensive date collection will be carried out to indentify the project design and implementation in terms of responding to the ground situation, aligning with development plan, setting up objectives, work planning, roles and responsibilities, communications, implementation mechanism, handover of the project, stakeholder satisfaction and sustainability.

- Identification of issues, loopholes and benchmarks

  The already implemented project will have both good and bad practices. The data collected will identify the area covered and would have been covered. Likewise, data collected can be processed in to meaningful information and summarized at this stage to be used in redeveloping the project through project management tools.

- Relate the project to a generic project and issues

  Later in this chapter, a framework for a generic project and generic project issues will be developed. As the objective of the study is to develop a project management model

that guide the designing and implementation of development sector projects, the two scenarios too should be related to the generic project framework. While the framework too may evolve along the application in the case study, it will also verify, qualify and validate the framework.

- Plan and apply the project management model along the project process
  Later in this chapter, a model for project management application will be developed. The two case scenarios will be applied with this model from scratch. It is intended to carry out comprehensive application in the case study. While the model too may evolve along the application in the case study, it will also verify, qualify and validate the model.

- Ascertain the quality of the decisions and the output with the application of project management tools
  Along the application process, the enhancement of the quality of the decisions, project outcomes, impact on the community, and satisfaction of the stakeholders and sustainability of the development effort will be ascertained.

3.3   Data collection technique and data collection

For this study, it is required to select a data collection technique which can gather data from various stakeholders of different nature and levels but on the same subject and the aspects. Then the data need to be processed in to one integrated framework, which could be later applied to similar situations. In order to meet such requirement, the data collection method selected will be 'Cognitive Mapping'.

"A cognitive mapping exercise is a structured process, focused on a topic or construct of interest, involving input from one or more participants, that produces an interpretable pictorial view (concept map) of their ideas and concepts and how these are interrelated." (*Trochim, 2006*)

To carry out the cognitive mapping exercise, a questioner was developed. The questioner captured the full process of the project, its' issues and functions by twelve factors. The twelve factors are,

- Objectives

- Communication and awareness

- Risk management

- Physical compliance and delivery

- Financial compliance and delivery

- Time management

- Quality of the products

- Sustainability

- Impact on the society and the people

- Self satisfaction of the role played

- Lessons learnt

- What's next

The questioner was developed with three questions under each factor which captured the key concerns under each factor. Questioner was produced to indentified stakeholders who are representing the development authority, development planner, implementing partner and the beneficiaries. The persons selected were from the strategic level and the lower level of the each organization structure. The reason behind the above selection was to gather project information at strategic level as well as at grass root implementation level. It should also be noted that, in the two scenarios, the role of the development planner and the implementing partner was held by the same entity and also and the role implementing partner and beneficiary was held by the same entity as well.

Stake holder	High ranker	Low ranker
Development planner / Implementing partner (UNDP)	The programme officer / engineer who developed the project	The programme assistant / field assistant who implemented and monitored the project
Implementing partner / Beneficiary (Community / individuals)	Office bearer of the community organization / a leader in the community / a gramasewaka	A household
Development authority (Local government)	Government agent /Planning director	Officer in charge of the project / A field monitor

The finding through the questioner will be absorbed into an integrated framework which is elaborate under the next heading.

3.4 Identification of generic project functions, project process and project issues

3.4.1 Feedback from cognitive mapping exercise

In arriving at the generic project, project process and issues the first consideration would be to gather and summarize the feedback of the cognitive mapping exercise. Questioner for both case studies being the same, the feedback can conveniently put together to arrive at a generic form. The questioner which collected views from a sample of stakeholders could be absorbed under the twelve factors, as follows.

Factor	*Positive feedback*	*Negative feedback*
Objectives	• Lessons learnt from previous projects are considered • Tried to integrate all sectors	• Vague, not precise, not focused • Not adequately represented in the work plan • Does not coincide with a master plan – haphazard development • Remotely linked to indicators • Agency has their own preferences rather than the community assessment of what is needed • Responsibility was entirely on the development agency • Not well thought of – no one knew answers to certain key questions
Communication and awareness	• Awareness build up by on the job experience at the grass root level	• Not well communicated at the policy level • Rather than the plan being communicated in advance, stakeholders get to know things while implementation • Working relationships were loose and overlapping
Risk management	• Inclusion of a contingency budget • Project office does	• Alternative action in a situation change needs donor approval - low flexibility • When sites cannot be accessed, beneficiaries

	everything possible to put things back on right track	and projects are affected while staff and resources idle. • Risk of beneficiaries disappear with grants was not closely looked at
Physical compliance and delivery	• A good indicator to measure time, cost and quality	• Time and quality is not met as stipulated at certain times • Agency rules on procurement etc. slow down delivery • Selection of private suppliers on the basis of competency was not the best criteria for selection as they absorbed major chunk of resources otherwise would have retained with the community • Only tangible indicators
Financial compliance and delivery	• A good indicator to push things forward	• Delivery measured through financials is not essentially a good indicator • Management Information Systems could manipulate and show higher delivery • Donors are not flexible in budgeting exercise • Conditions on contingency budgets were loose ended • Effectiveness of micro grants were not reflected
Time management	• Emergency responsiveness of the project office is substantial	• Time plans not drawn • Contingencies not seen and attended in advance • Economies of scales are lost when one project site faces certain constraints • Repayment delays that affect the project need be considered
Quality of the products	• Beneficiaries do their best to learn and practice what they learnt	• Quality supplies is always not the best option as it draws money out of the area and affects speedy delivery too • Certain accountability issues and political

	• Beneficiary participation in designs brings out the best for them	issues at the site and in the market may affect the quality
Sustainabi lity	• Community developed a lot of skills • Community ownership was felt up to a certain extent	• Certain other parameters such as health, education etc. is still a question • Handover of responsibility of the project is not well thought of • Post completion progress and monitoring is not planned, hence the project could fail on post completion
Impact on the society and the people	• Community is confident to face life and willingness to further improve • Improved living standards • Community understands the development efforts and the complexities	• Community should be helped with initial market base for their skills • A success model for other communities • Government contribution and involvement in community upgrading should be increased • Dependability on the development agency is very high
Self satisfactio n of the role played	• Self satisfaction on contribution made towards upgrading the lives of needy	• All complained about duplication of work and rectifications • All felt the responsibilities were vague and not adequately vetted • All felt that they could have contributed more • Not satisfied with controls on disbursing funds
Lessons learnt	• Need of a strategic plan in macro context in to which individual projects are incorporated • Need of a strategic plan in micro context which covers operations, communication , risk and evaluation • Rules should be bent but not broken to achieve economies of scale • Importance of listening and valuing the view of all stakeholders • Always should consider the value added rather than looking at cost	

	efficiency, faster delivery and quality ratings individually
	• Bring the best out of the people and their motivation
	• Consider the post completion stage is equally important as the other stages
	• More precise and measurable indicators which are linked to
	• Too much of dependency on development agency
What's next	• Development agency was ready to anything that government wants them to do within the agency mandates and donor agreements
	• Beneficiaries wanted extra support on marketing their skills and also other social development such as health and education
	• Government wanted more similar projects implemented

3.4.2 The generic project functions, project process and project issues

Deriving the 'generic'/ 'common' aspects is the first step in generalizing the application of project management theories.

Ground conditions and resource levels of donor funded community based development projects can be very different from each other due to the following reasons.

- Compositions of the different communities
- Needs and requirements of different communities
- Geographical and climatic differences
- Donor concerns
- Sectors that the development agency is willing to invest in
- Degree of damage in the community
- Project period agreed with the donors
- Different implementation modalities
- Budget allocation
- Capacity of the community to absorb the project

Moreover, project objectives, work structures, project specific issues etc. could be very different from project to project. Yet, certain characteristics of projects such as project life, project envelope, planning and implementations modalities could be common to all projects. Following is an attempt to identify the 'generic project', 'generic project process' and 'generic issues' in the context of donor funded community based development effort.

In order to structure the study in a logical and sequential manner, let's review the project along the project life cycle, namely,

- Evolution
- Formulation
- Implementation
- completion

3.4.2.1 Evolution

Cause, preliminary analysis, needs assessment and concept paper are the four steps in Evolution stage of a project.

Strategic plan in macro context

Following three activities should take place in order to draw up the strategic plan in macro context.

- Identify the provisions and requirements of the development master plan drawn by the development authority / the body who coordinates development activities in the area
- Operating framework of the organization drawn within the borders of mandates, policies and capacities
- Role expected from and feasible for the development agency in the project context

Project abstract

Cause

Development efforts commence by identifying problems in the society / community which are evident in the vicinity in the day to day life. The development authority will initiate a development effort to bridge the development gap.

Preliminary analysis

As the first step, data already available on the problem should be analyzed to arrive at a clearer picture on the ground conditions / existing context.

Needs assessment

Based on the preliminary data analysis, a need assessment exercise is designed. The purpose of a needs assessment is clearly communicated to the community in concern.

There are two ways on assessing the needs ie: assessment by the team of assessors though a pre-prepared questions or participatory needs assessment in which everybody in the community is invited to express their needs and preferences and then the community and the assessors collectively make a decision on the needs of the community.

The later had proved to be a very successful as the community feels the importance of their presence in contributing and decision making about them. It also allows each member of the community to relate their own problems to a collective problem of the community, where each member feels as sense of belongingness and team spirit which helps a lot in implementing the project.

Moreover, assessors will collect more accurate data on the community to enhance the preliminary data collected from already existing resources. This will help make firm decisions that earlier on the degree of damage and the strategy that should be put in place to bridge the development gap.

Concept paper

Once the needs assessment is completed with a list of needs given due priority, a concept paper is prepared with the analysis of data collected, the results of the needs assessment and few workable options to go forward. This paper will be discussed at management level and if falls within the mandates and other conditions of the agency, will be given the green light to proceed with in to the next step.

A concept paper concludes the evolution of a project, in the environment of donor funded community based development.

Issues in common

The issues faced at this stage are very much based on policies and mandates of the stakeholders. An issue that affects the evolution stage will change the whole project and its activities. Summarizing the issues faced, the following could be listed.

- The strategy and focus of development efforts Sri Lanka changes rapidly due to political changes in the country. Moreover, corruption and undue profits prevent the investments not being fully deployed on development efforts.

- Availability, reliability and accuracy of the ground data are quite low and therefore the results of the preliminary assessment could be wrong

- Though all areas and communities have equal rights to receive development assistance the development planner has to be selective on the areas / communities based on many factors such as accessibility, degree of damage, mandates of the stakeholders, capacity of the development agency and the potential partners to work in the area, the risk of being the project getting exposed to the poor and unsecure working conditions, mandates etc.

- Selection of sectors of development is also a sensitive issue as above. All sectors having the right to get treated equally in development efforts, a selection must be made as due to couple of reasons such as one development agency cannot participate in all sectors, complicated inter agency partnerships, sustainability of projects etc.

- Making the above decision more complex, donors do have their restrictions in working with foreign governments and lands.

3.4.2.2 Formulation

An endorsed concept paper on its viability and feasibility in the current context, will be further developed and formulated in to a project. Project formulation could be only carried out by a party which has the technical skills and community knowledge. This is due to the complexity of the issues that has to be handled in a framework of mandates of many parties contributing towards the effort and also the restriction and risks that will have to be faced in implementation of the project.

The donors pledge money to Development Agency based on a wider proposal which covers couple of communities in few districts and couple of sectors. A community project formulated will be one of many of that sort to a development agency for which the funds would be in hand before the proposal is developed.

Objectives, outputs and outcomes

Having an endorsed concept paper, the first step in formulating a project is to set up the objective of the project and the output and outcomes that should be achieved in accomplishing project objectives. Generally, an objective statement will be decomposed to a set of tangible outputs which are the physical end products of the project and a set of intangible benefits / impacts to the beneficiaries in concern. The intangible benefits / impacts will be measures through indicators.

Activities, budget and time frame

Community based approach to development efforts do not undertake projects which are very complex and need high end professionals and skilled labor to deploy millions of dollars. Instead, smaller project components will be developed which could be undertaken by the implementing partners within the community or from immediate area. Supplies that require in implementing the project should also be sourced within the community or in the immediate vicinity. The concept behind this is to retain the funds spent on the development activities within the community itself and which will create skills, capacities and income generation opportunities for the community. Having said above, activities, budgets and time frames of a project are three components of a project which needs to be carefully modeled depending on the skills and capacities of the implementing partners and also delivery requirements and timelines of donors.

Inputs

The next step is to work out the inputs. Inputs are tangible or intangible resources that needs to contributed towards achieving the project objectives. Inputs could be of many forms such as cash, human resources, technical skills, supplies etc. Inputs also has to be decided very carefully as it is important to source as much as possible within the community.

A work plan

Preparation of work plan is the step to summarize all work done so far. A template will be developed against each output, in terms of the activities, budget, time frame and input that should be put together to attain the particular output.

Project proposal

Project proposal is the last step in project formulation process. Project proposal will conclude the process with an introduction of the project, analysis of base data, summary of the needs assessment, project objective and the detailed work plan of activities, budget, time frame and inputs that will deliver the outputs. Importantly, the proposal should outline the monitoring mechanism and the indicators by which the progress and completion outputs and outcomes.

Endorsing the project

Project proposal developed internally has to be vetted by the management of the development agency as to its appropriateness in terms of mandates and donor concerns. The vetted proposal will be then submitted to development authority for the endorsement that the particular project falls in line with the overall development strategy of the district. Upon above endorsement, the proposal will be submitted for funds. If the funds are mobilized, the project could be implemented.

Issues in common

This happens to be a stage in which project management modeling could be applied and made use of at its maximum. Unfortunately not many projects are modeled in a project management environment before being put in to practice and found with failures in implementation and delivery. Summarizing the issues faced, the following could be listed.

- The composition of the community in terms of the no of males and females, income levels, ratio of human resource that could contribute to development efforts, technical capacities of the community, gender etc. should be considered in formulation of the project. Mix cultures should be given more attention.

- Along with the composition of the community, capacity of the community to absorb a development project and big money is also should be considered. In general, just after a conflict or a disaster, it is difficult to find communities with required capacities.

- Planning with the budget lines and time lines of the donors is a challenge in multi task projects and also of very volatile situations.

- Managing risks such as incapacity of the partners and the community to absorb the project, security and climatic changes, donor withdrawing funds due to various reasons, a particular sector of the project being slowed down affecting the delivery of other sectors, government / ruling authority imposing various tariffs and restrictions on supplies, theft etc.

- Internal controls to ensure value management and transparency.

- Monitoring mechanism that will monitor the project process and also grow in to sustainable era.

3.4.2.3 Implementation

Let's look at the steps in the implementation stage of a project and the common issues faced during the stage.

Setting up the selection criterion to select the IPs

Successful implementation of a project totally depends on the capacity, reliability and the dedication of the implementing partner who implements the project. But possibility of an appropriate implementing partner not being available in the communities in concern is very high. Therefore, selection criterion should be drawn with a lot of care on capacity, access, cost, knowledge on ground conditions etc.

Sourcing IPs and selection

Once the selection criterion for selecting IPs had been established, sourcing should be carried out. Method and scope of sourcing should ensure transparency and best value for money. Selected partner will be awarded a contract with the development agency to implement the project. As per the contract, funds will be disbursed to the implementing partner to drive towards delivery.

Vendor selection and supplies

Similar principles as per partner selection applies and the supplies should be made available on site as per the work plans.

Monitoring and evaluation

Monitoring and evaluation in implementation should be part and parcel of the monitoring plan of the project. The indicators should match the relative figures of delivery in comparison to the utilization of funds and other resources. Moreover, it is required that the progress or delays due to various reasons are recorded regularly, to be used at a later stage to meet expectations of the donors.

Issues in common

Having an idea of the steps and action in the implementation stage, a study on the common issues faced in the stage will direct to a research with more focus. Summarizing the common issues faced in this stage, following could be listed.

- Selection of the right implementation modality to implement the project will be driven through the process of identifying the aspects such as who will implement, the components that will be awarded to partners and components kept with the development agency itself, who will monitor, the mechanism of fund transfer, fund matching process or physical progress to release funds, involvement of government and beneficiaries in activities etc. A project will definitely be a mix of different

implementation modalities based on the nature of the activities of the project and the community in concern.

- Though most competitive bid should be honored as per procurement rules and regulations of the agencies, decision has to be practical and feasible as well. Striking a balance between the best value for money and the best benefit for the community is an arguable matter in development sector.

- Marginal profits offered to the vendors in development sector tend not to attract vendors with quality service and products. This issue is also associated with the reliability and credibility of vendors and also the capacity of the vendors to face contingencies.

- Effective communication of the project to all its stake holders and reporting channels play a major role. Good communication drives projects towards team playing, backstopping arrangements, avoiding duplication of efforts and rectifications, sense of belongingness of the project, learning environment, on the job improvement of the project where by the players comment on adverse movements etc.

- In terms of financing, the common issues will be access to financing modes, transparency of transactions, setting up milestone payments and beneficiary accountability etc.

- Progress monitoring has become an issue due to lack of capacity and accessibility. But it conceptually affects a project by not being a part of the project planning but being random and irregular checks by staff that are not trained on monitoring. Progress monitoring should be coupled with quality management.

Having identified the activities and issues of the implementation stage, let's move further to completion stage, the last stage of project life cycle.

3.4.2.4 Completion

The most important fact on completion is handover of the project to the relevant party who is ultimately responsible for continuity of the project through sustainability efforts, impact assessment and working out on possible extensions to further develop the project.

Completion of a project

On utilizations of funds on the activities outlined in the work plan and on the confirmation from the monitoring and evaluation team that the project had been successfully delivered,

it could be considered that the project is completed. It is important that the ratio between the financial utilization and the physical progress is as agreed and also all the outcomes, outputs and objective are achieved.

Handing over of the project

A completed project could be handed over to the beneficiaries. Even though the handing over by concept is to be taken place with all beneficiaries, it is to identify an entity who could take the responsibility of the follow up actions and any decision to be made in the future.

Reporting to the stakeholders

Among the many stakeholders of the project, implementing partners should produce progress reports at agreed intervals and a completion report along with a hand over note at the end of the project. Submission of the completions report to the development agency / donor and handing over of the project to the responsible beneficiary, concludes the completion process.

Issues in common

Completion of a project should be a collective picture of financial, physical, psychological and technical delivery of the project in terms of the outputs and outcomes outlined in the project proposal. Summarizing the issues faced in this stage, following could be listed.

- It is very difficult to conclude that a project has come to end by looking at the financial delivery or physical delivery, individually. It is advisable to look in to a comparison of the two in terms of achieving objectives, measured through indicators set at the formulation stage of the project.

- Decision on the party to whom the project will be handed over is critical in sustainable development efforts. Even though it is stipulated at the project proposal who will receive the handover, the project allows the freedom to reassess the capacity of the entity as to whether it is in a position to undertake the sustainability steps and follow up actions. The entity which receives the hand over generally is an integral part of the project process and expected to develop its capacity during the process.

- Ensuring sustainability of the projects should be reviewed at the project completion. A successful project completion is not the end of upgrading lives of the community but the extensions to the project developed by the community itself by utilizing their own knowledge and savings.

- Visibility plays a key role on sustainability of a project. It is a respect to the donors who invested money on the community and on the other hand, development agencies and implementing partners use them to market their capacity and skills. Hence, visibility should be dealt in such manner to make maximum use of a successfully completed project.

3.4.2.5 Post project action

The study had resulted in the need of having a fifth stage to the project life cycle in addition to the four stages of the life cycle of a regular project. The fifth stage can be named as Post Project Action where certain activities are seen as essential and vital to be carried out after official delivery of the project. The essence of such activities is to keep an eye on sustainability of the development effort, any further support required, the impact the development project made on the community and to compose and submission of the project report.

Post project monitoring

Post project monitoring is two folded. Firstly, continuous monitoring should take place to assess the day to life of the community after the project being delivered. This will ensure that the development meant is achieved and sustained. It will also identify any gaps and further guidance and support required by the community. Secondly, an impact assessment should be carried out which gives a snapshot of the overall picture. Impact assessment will assess the impact to the community, culture, opportunities, equality etc.

Post project support

Once the project delivered and the community is raised to a certain level in living standards, it is essential to see what more needs to be done. This is to prevent the community being deprived by not being able to further improve themselves.

Project report

The project report consolidates the full project action discussed above under five stages of the project life cycle. The project report may discuss the concepts, objectives, inputs, challenges, results, impact, future development needs and especially the community involvement, ownership and sustainability. Project report may be made available to all stakeholder of the project.

Issues in common

Even though not many operational issues are met in this stage, it is indeed a challenge to have the development effort sustained without the presence of the development agency. Summarizing the issues faced in this stage, following could be listed.

- Stakeholders lose interest after financial and physical delivery of the project which results in low interest and focus on post project action. Communicating the importance of post project action and also stressing the fact that post project action too is a part of the project process is the best way to handle this.

- The community develops a mindset that development agency to be with the community forever. Building community ownership, held the responsible for development, building confidence, handing over the project to a responsible party etc. helps the community to overcome this norm.

- Post project support will identify further gaps in development where some need to be immediately attended to avid the development effort failing and wasted. In this case, the development agency will have to make a decision on extension of the project, inviting another agency to take care of it or just let go depending on the situation.

Discussed above is the project functions, project process and project issues of a generic donor funded community based sustainable development project. All most all projects in the field will go through this process with some variations in functions, processes and issues depending on the individual situation. The analysis above could be summarized in to a graphical illustration, as given below.

Illustration 02

Graphical presentation of the generic project stages, processes and issues of a development project

Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Evolution	**Formulation**	**Implementation**	**Completion**	**Post project action**
Process				
• Project stages • Macro strategic plan • Abstract • Concept	• Objectives • Inputs / outputs • Work structure • Work / risk / evaluation plan	• Sourcing • Deploy inputs • Project monitoring	• Ensure delivery • Handover • Visibility	• Monitoring • Support • Completion

Outcome				
Project concept	Project proposal	Progress monitoring	Project delivered / Completion report	Project report
Issues				
• Reading ground conditions • Selection of the cause • Selection of the area and sector • Lack of accurate and reliable data • Stakeholder mandates • How to attract, extract and absorb stakeholder interest • Does it worth the risk	• Set objectives / targeted impact • Map resources • Stakeholder mandates • Composition and capacity of stakeholders • Stakeholder participation • Map risk and plan for contingencies • How to monitor and evaluate	• Right implementation modality • Competitive sourcing • Ensure resource retained within the community • Communication • Involving and engaging stakeholders • Disbursement mechanism • Accountability and quality assurance • Progress monitoring	• Financial delivery Vs physical delivery • Ownership and empowerment • Appropriate party for handover • Visibility and marketability	• Project delivery Vs social impact • Sustainability and growth • Lost interest and focus on project after delivery • High dependency on development agency • Future needs and what could be attended

3.5   Selection of certain project management tools

Having identified the generic project functions, process and issues, the next stage of the study was to identify project management tools that could be easily and effectively applied in managing the projects.

The study identified that the projects in the field do practice project management and apply certain management tools in implementing them. Yet, the projects show poor performance or performance below expected levels due to couple of reasons.

• Being reactive than being proactive referred to as fire fighting
• Project management tools, use and benefits not understood properly
• Management decisions without taking into account their effect in a larger picture

In selecting the project management tools, it was decided to give preference to the concepts that were used most frequently and effectively though unintentionally. It was felt that the concepts that are in practice already will be easily conversed and related to the right project management concepts. Therefore, the following seven project management tools were selected.

- Project life cycle
- Stake holder analysis
- SWOT Analysis
- Cost benefit analysis
- Value management
- Time management
- Business process re-engineering

Detailed academic and technical explanation of the analysis of these tools will be presents in annexure.

3.6 Conceptualize the application of project management tools

Having identified

- The industry viewpoint and the baseline for the study
- The generic project functions, project process and project issues
- The most appropriate project management tools

it is now the time to carry out the most critical event of the study, ie: to develop a generic model of project management to be applied in initiating, developing, commissioning , implementing and delivering a donor funded community based sustainable development project.

The model simply is the logical representation of the three factors identified above.

Illustration 03 :

Generic model to facilitate application of project management tools on donor funded community based sustainable development projects (draft)
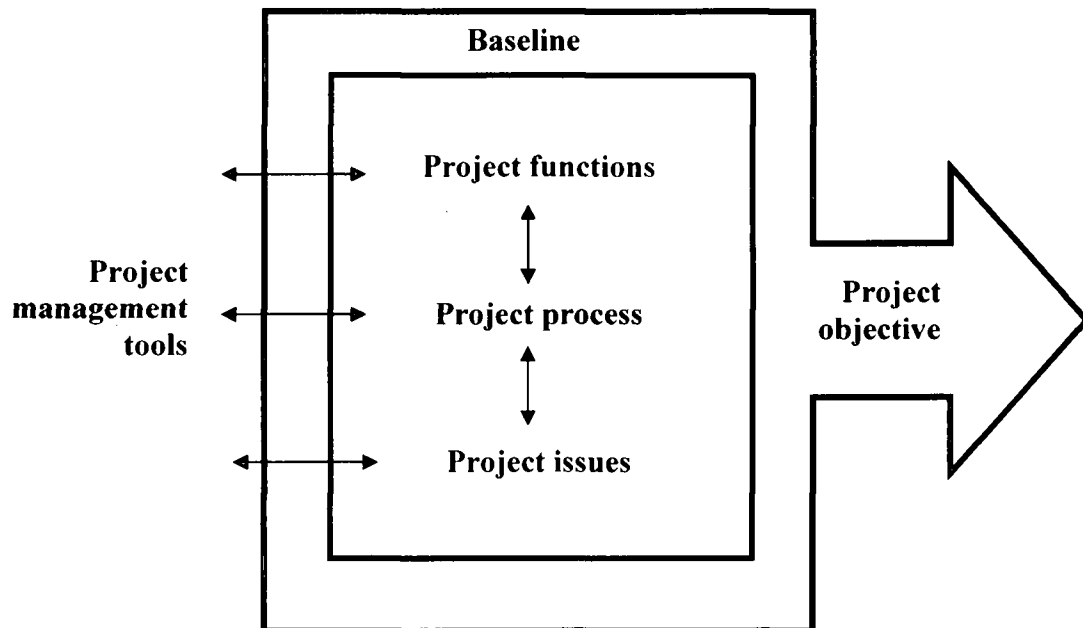
The purpose of the model could be narrated as follows : To facilitate effective application of selected project management tools in order to drive the project process between the indentified baselines through effectively, efficiently and economically executing project functions and managing project issues to achieve project objectives.

Let's now use the model in two real scenarios identified and find out what would have been the best project in the context. Special attentions will be given to circumstances where model need to be improved to meet the practicalities in the field and project aspects which have not been captured by the model.

Chapter FOUR

Case study ONE
Resettlements in Mannar District, funded by European Commission and Implemented by UNDP

4.1   Background

Mannar was one of the popular relocation areas for internally displaced population of northern districts during the ethnic conflict from 1983 to 2002. There were many reasons behind the move.

- Mannar has easy access from Jaffna and Vanni through the ocean.
- Some connectivity was left with Colombo between Mannar and Colombo by roads
- The existing community was Tamil, in majority and culture is somewhat similar
- Mannar was not a congested city where bare lands were not available for resettlements
- Almost all areas of the districts are government controlled and had basic facilities to live on

Unfortunately, the temporary IDP camps and relief / recovery efforts were never turned into developments effort as the ethnic conflict was going on till cease fire in February 2002. The government and the development agencies approached the development gaps of the IDPs in Mannar only in 2002 after 15 years of relocation.

Having identified the gaps in development, many development agencies implemented a series of development projects in Mannar. The projects covered many development sectors such as resettlements, agriculture, fisheries, minor and community infrastructure, micro finance, capacity building etc. and were implemented for the benefit of communities and the local government. The project in concern in the study is the Resettlement project funded by the European Commission and implemented by UNDP.

4.2 Development project implemented by the development agency

- Development gaps were identified by UNDP Office in Mannar and decided that a resettlement projects are badly in need to house the refugees in temporary housing and with very poor livelihoods.

- Five villages were identified based on the preliminary analysis. They were located in both cleared and uncleared areas. The rational behind was that donor did let investments in both areas and both areas were equally damaged and were in need of similar development support. The reason behind selecting similar ground conditions and requirements were to achieve economies of scale.

- It was very well felt that such a massive and vivid operation was not at all practical to carry out from the office in Vavuniya. Therefore, UNDP set up a new office in Mannar immediately. Staff were recruited from Mannar it self who has the best knowledge of the ground conditions. They were trained by the experienced staff in other field offices on project formulation and implementation.

- UNDP staff carried out Participatory Needs Assessment with the communities in the selected five villages. Needs of the community were assessed and prioritized.

- The sectors that could be developed and the areas for development were identified based on the donor agreement and UNDP Mandates. Hereby, certain sectors such as food, health, education, major infrastructure, micro finance etc. had to be excluded from projects as they did not fall within the donor agreements and Agency mandates. Those areas were brought in to the notice of the potential development agencies.

- As the donor contribution was signed for 36 months and for many millions of Dollars, longer and larger projects were designed. The project components mainly were, housing, fisheries, agriculture and minor infrastructure. Within those limits, certain livelihood and capacity building included for the projects to be sustainable.

- Donor was in acceptance of the government certified budget of LKR 250,000/- for a house. As it was quite an old rate and also applicable in cleared areas where resources freely available, the projects were designed with a lot of community participation to reduce the labour cost. It was felt that community participation will build a feeling of ownership among the community.

- Cash for work method was decided to compensate the contribution of the community.

- As it was done in the other offices, a community society was formed to take over the responsibility of minor infrastructure.

- Similar structures were used for other components such as fisheries and agriculture.

- Technical guidance and training was given to the community to carry out their functions in implementing the project.

- Project budgets were produced by UNDP staff. Budgets carried a standard 20% allowance for price escalation of supplies. Community society was given with money to procure supplies and was expected to manage funds with the assistance of finance staff of UNDP.

- Government partners were requested to carry out monitoring and impact assessment as an unbiased party.

- As above, project document was submitted to District Review Board chaired by the Government Agent. Once vetted, the project was implemented in the villages.

- Project was delayed many times due to security situation which restricted the supplies to the project sites.

- Yet, the project was completed and handed over to the community. Donor was reported on project completion. A press release was made on handing over ceremony as a visibility measure.

4.3   Cognitive mapping exercise

The cognitive mapping exercise was carried out as explained the in chapter two. The summary of positive and negative feedback gathered through the cognitive mapping exercise was absorbed in to a generic form under chapter two as well. While the generic project, project process and project issues are integrated in to a generic framework under chapter two the project specific aspects will be captured during the exercise of applying project management tools through the project.

Let's move forward by looking at the project scenario in a project management perspective, how project management could help in designing a development project. It is important to revisit the lessons learnt during this exercise to align the results towards elimination of issues faced already.

4.4   Redevelop the project through project management tools

The write does not intend to complicate the application of project management concepts on the above case, by introducing many and sophisticated tools so that the application is not practical and feasible in a field context where the projects are run by laymen to project

management. As the objective of the study is to decompose project management theory in to more simplified and generalized application models, the research will pitched at that level.

Firstly, lets' segment the project process in to manageable stages according to Project Life Cycle concept.

- Evolution
- Formulation
- Implementation
- Completion

The core advantage of segmenting the project in to stages is that it allows the project personnel focus and organize on different aspects of the projects such as, corporate direction, strategies, implementation modalities etc. while integrating them in to one project framework.

Lets' proceed to evolution stage of the project.

Evolution stage of a project life cycle requires viewing a problem / issue in a wider perspective. In a context of donor funded, community based, sustainable development efforts carried out by development agencies, the aspects that should be considered before the project takes off the ground are,

- Provisions and requirements of the development master plan drawn by the body who coordinates all the development activities in the area
- Operating framework of the organization drawn within the borders of mandates, policies and capacities
- Role expected from and feasible for the organization in the project context
- Develop a strategic plan for macro context or reaffirm the direction set by the strategic plan for macro context

Simply, the organization should not commit for any development work, if it is not feasible and practical for the organization to get involved in such. Let's proceed to the steps of the project evolution stage to form the development framework for the particular project scenario.

Project Life Cycle – Evolution

Step ONE – Strategic plan for macro context

Provisions and requirements of the development master plan drawn by the body who coordinates all the development activities in the area

- District Planning Secretariat draws the development master plan for the district with the assistance of the other relevant departments and expertise from development specialists

- Development required in the sectors of housing / resettlements, community infrastructure, establish and improve livelihoods, sectoral development in fisheries, agriculture and micro enterprise, social development support such as health, education, religion etc. , high scale infrastructure etc.

- Firstly, the very basic needs such as shelter, livelihood and community infrastructure should put in place in order to allow people live a normal life with acceptable living conditions

- Later, the social factors and high scale infrastructure could take place

- It is indeed important to follow a community based approach to cut down costs, retain the money pledged on development activities within the community itself , to held community responsible for progress and sustainability of the community and to achieve economic boom and capacity development among communities by involving them in development activities

Operating framework of the organization drawn within the borders of mandates, policies and capacities

- UNDP being an organization in to development activities, stipulates certain parameters in its mandates on its involvement in development.

- While livelihoods, capacity building, micro enterprise etc. is fully covered by the mandate, the sectoral development in fisheries, agriculture, housing, community infrastructure etc. can be undertaken as long as they follow community approach that directly contributes to community development

- The UNDP programme for development in conflict and tsunami affected areas have been approved by the government for 3 years hence all progressing activities should be concluded in 3 years. Donor funds that have been pledged towards Mannar district and on particular sectors should be strategically used for a total solution for selected communities and with in the stipulated time, cost and quality parameters

- As particular communities are identified for a total solution rather than many

communities with partial solutions, selection of communities should be carried out carefully in agreement with the government. Community centered approach is practiced as it will allow the project to be marketed to donors to attract more funds and also due to the limited capacity of UNDP to carry out district wide development at once

- UN coordination among agencies to achieve economies of scale

Role expected from and feasible for the organization in the project context

- Government wants UNDP to establish resettlements and livelihoods as UNDP has the capacity to coordinated different kinds of activities in all sectors having extensive field based experience in conflict affected areas and staff with diversified skills and district wide development *(to which the case considered herewith falls in)*
- Government also requires UNDP to carry out development efforts in sectors such as fisheries, agriculture etc. to back up sustainability of communities undergo development activities
- UNDP does not intend to implement district wide projects as UNDP does not have the capacity but to strengthen the government capacity to carry out development projects following the model projects implemented by UNDP
- UNDP prefers to concentrate on couple pilot projects of similar nature to earn economies of scale – best value for money and also to make them pilot projects

SWOT analysis

Strengths	Weaknesses
- UNDP carries extensive exposure and experience in implementing community projects in the field - UNDP in SL, is generally known for its genuine support to the development in conflict affected areas - Sister UN agencies have presence in Mannar with relevant field experience - Availability of adequate financial resources to initiate substantive projects and also ability to attract more donor funds - A UNDP office with field presence for	- Tendency of using similar structures and work processes already implemented without looking at each project scenario as a new challenge - Relatively tight operational rules and bureaucracy of UNDP - Not having an office in Mannar and staff with required experience - Need to set up local government structures that fall in line with UNDP policies to start work with

more than 5 years is in close proximity	
Opportunities	**Threats**
- Governments' willingness to support UNDP in to any form of development - Establishing a full fledged office in Mannar to carry out projects	- Development agencies who are present had created mistrust among communities - Development agencies have already captured certain sectors leaving low space to enter - Other development agencies in the field with more flexibility of use of resources - Changes in security situation - Beneficiary accountability towards the project objectives being under risk due to incapacity of the beneficiaries and also due to external forces - Not having a strong government presence and work structures to facilitate the development process

OUTCOME – Strategic plan for micro context

District background

Geographical, demographical and social status of the district

Degree of damage

Other relevant data and mapping to indentify the development gaps

Resources in hand

A detailed analysis on financial resources in terms of the donors, time, sectors etc.

A detailed analysis of non financial resources such as human resource, experience, expertise, logistical capacity, legality etc.

Sectors of development

The match between government requirement and UNDP capacities

Approach to and areas of development

Community based development

Selection of areas / communities

Development of local government capacity to take over the project and implements similar development projects in the future

Partnerships

Local government and central government

UN Agencies coordination

Other development agencies and implementing partners

Beneficiaries

External sources of supplies and services

Gaps and drawing board

Gaps identified and how to bridge

Areas not clear and needs refining while projects progress

Objective and outcomes

To select communities in Mannar district based on the vulnerability of the communities and the capacities of UNDP and then to implement 'total solution' projects as model projects while achieving economies scale, marketability and also increased government capacity

The macro strategic plan for Mannar district established the need of area based development where by selected communities who are the most vulnerable were attended first with total solutions. While such communities develop, the other communities who are less vulnerable were expected to be supported with the donor funds attracted through the projects implemented already. The government and other local partners were expected to build capacity to design and implement project, through the experience obtained in the implementation of the preliminary projects.

Given the fact that the UNDP had to heavily involve in projects in Mannar to compensate the low capacity and support of the government to the communities, UNDP could opt to restrict the project to couple of communities than launching project on mass scale. It helps all stakeholders to be aware and learn project modalities and also to better themselves in the next projects from the lessons learnt through the pilots. Moreover, the projects being 'total solution' projects need enormous resources and time.

Having said above, five most vulnerable communities is both government controlled and LTTE controlled areas were identified and was vetted by the government. The communities selected were to be treated as pilot communities in each electorate. The local government structure established to support the project implementation was intended to support other communities too which were to follow the pilot communities in the future. Moreover, implementation of the pilot project should build the capacity of the all relevant stakeholders involved in similar to implement projects in the future in the absence of UNDP/ a development agency. Also, it is very important to identify the cultures and norms of each community before designing micro strategic plans but not to implement standard projects with all communities.

Also it will be useful to identify the gaps and drawing board issues which need to be attended while the project progress. One of the main issues was that the need of a UNDP office in Mannar to in order to facilitate massive operations proposed by the strategic plan which was other wise would have been a logistical nightmare to operate from Vavuniya. Setting up a new fully operational and independent office in Mannar, and the first of that sort out of all development agencies, helped UNPDP to win the confidence of the people and the government in development efforts.

The other gaps identified were in the areas of sound procurement base, expertise staff for the offices, certain fund gaps etc. that would be attended at much higher and central level rather than at field level.

Having the ground work ready to commence the project process, lets' move on to the second step of the evolution stage. This step can be reflected in couple of sub steps as listed below.

- What is the cause for the project? Why development effort is needed?
- What is the status now?
- The project abstract

This step of the project process is more of a data gathering through observations, preliminary assessments and through previous studies carried on the same subject. Use and application of project management concepts on this area is rather restricted due to above reason.

Project Life Cycle – Evolution

Step TWO – The project abstract

The cause

- It is clearly visible that the District as a whole and the communities had been severely affected by war for last two and half decades. The people have been living under war conditions where not even the basic needs of the people such as shelter, food, water, income, health etc. have been of supply.

- To make the situation worse, there are thousands of refugees moved in to Mannar for the reason that Mannar is the closest and the lowest cost of living city to the border of uncleared areas. Also, the refugees had cultural relationship with the culture in Mannar.

- While carrying its own community affected by war, a refugee community too had to be taken care of by the government bodies with its limited capacity on their day today needs. Hence, development activities were held upon driving the district in to one of the most under developed districts in the country.

Preliminary assessment

- A preliminary assessment of data was carried out on data available with the local government and the agencies that carry out such data mapping to make sure that the communities selected at the strategic plan level are the most vulnerable.

- Preliminary assessment also established the approximate resources availability and the current conditions of the communities in concern.

- It also looked in to the resource availability if the organization to carry out the activities of the intended project.

OUTCOME – The project abstract

Ground condition of the community

- Still under war conditions on and off. Though areal firing is not common cross fires, claymores etc. are quite possible. Above may expose the project activities either at complete of partial risk in terms of poor access and damaging of work already carried out. Certain communities picked up for the project are anyway in very remote – uncleared areas.

- Having the community involved in project will block their daily income and thereby needs

- The no of suppliers who are willing to supply to those areas are minimal

- Community being affected by war for decades, have minimal education and skills

- Community is not the most motivated to get involved in development efforts – they have lost confidence on development activities

- Infrastructure that needs to be in place to ensure smooth running of the project is not met

- Projects do need to be 'total solutions' as the communities have nothing right now and sustainability on project completions should be carefully looked at

- Project periods run for 24 months

Resources in hand

- Communities are at extreme poverty – no saving at all to deploy in development projects

- Any kind of supplies and services are very limited and the ones available are of poor quality

- Organization has well experience staff in field projects and motivated implement projects even in the worst security situations

- A lot of donor money is available for all sectors

- Logistics in accessing remote communities is an issue due to unavailability of appropriate communication equipment and lacks vehicles as well

- Monitoring capacity of the organization and the government needs to be improved

Next step in evolution stage is refine and reform the findings of the macro strategic plan and project abstract through an exercise of

- Real time needs assessments in the community

- Developing resources frameworks considering all stake holders

in order to develop the project concept.

Project Life Cycle – Evolution
Step THREE – Project concept
Real time needs assessment in the community
• Needs assessment is carried out by staff that has experience and expertise in such. A structure for needs assessment is drawn so that all areas in question are covered. It is indeed important to communicate the structure and the process to all relevant parties involved in the needs assessment and their importance of participating in it actively with a positive mind and with logical thinking, at their capacities. It is also important for the assessors to treat all opinions from all parties equally without any preferences

or biasness.

- The structure would be, Firstly a survey carried out by
- A questioner to gather relevant information about the families
- All adults   All adults in the community to prioritize the 10 things that are most wanted in their day today lives
- All adults in the community to prioritize the 10 things that are most wanted for the community
- All adults to make a note of the contributions that could make towards their own needs
- All adults to make a note of the contributions that could make towards the community
- All kids to come up with their needs and wishes
- Observe the strength of the community while survey and also opinion leaders
- Secondly, on summary and analysis of data,
- Present the overall picture to the community for comments and further refining of requirement
- Give the development perspective of the organization why certain things can and cannot be done
- Decide on requirements, design the project, agree on sustainability activities
- Decide on implementation modalities in agreement with the community capacities
- Discuss work structure with the community in terms of responsibilities, authority, people in the structure etc.
- Thirdly, wrap up the whole exercise with project management concepts to establish the feasibility of the project and the project direction towards achieving the objectives of the macro strategic plan

Resources frame work in terms of all stakeholders

- Identify the stakeholders through a stakeholder analysis and their positive or negative contribution towards the project. It will also map out the new ways in which the stakeholders could be made use of for the benefit of the project in terms of resources and capacities. This could be a preliminary exercise to draft the work structures as well. The steps could be,
- Identify all possible stakeholders
- Judge the resources, contributions, opinions, power and interest they have towards the project

- Model them in stakeholder analysis matrix to establish their importance, usage to the project

The above will put together the resource framework for the project which streamlines the project concept.

SWOT analysis

Strengths	Weaknesses
- Collective need for development - Availability of land allocated for resettlements - Determination and devotion of people to have a better life - Individuals willing to help each other in the community - Willingness to prioritize the needs according to a development plan and to achieve goals on their own	- Individuals do not have adequate savings to contribute towards development - Non availability of community establishment and a structure - Lost confidence of development agencies - Community guidance and leadership relies upon seniority rather than management skills - Community not having any experience in working with the government and development agencies
Opportunities	**Threats**
- Community is willing to invest on alternative livelihoods - Competition created by other communities - Willingness to share knowledge among the community and to the other communities	- External sources who had been steeling the profits of individuals - Entry of other development agencies who could spoon feed the communities - Community may loose interest while the community base approach takes a longer time for results

In conclusion, the SWOT analysis established that though the community does not carry adequate and relevant financial, technical and physical capacities towards the project requirement they are in dying need for a better life. Also, they were willing to help each other in a community set up to achieve development objectives in a community based approach. While many of the threats and risks identified here can be eliminated and mitigated, the risks that will arise due to changes in security and political situation will

remain severely affecting the project.

Cost – benefit analysis

Costs	Benefits
• Community needs to be trained on each and every aspect of the project where as private sector involvement would have resulted in more economical, high quality and speedy delivery • A longer project time is required for community approach • UNDP's involvement and administrative requirement is much higher in community approach	• All capacities build will retain within the community • Above will help community sustainability • Confidence building among the community on their capacity to survive on their own • The concept of model community will be well established with procedures and processes

In conclusion, community based approach is expected to bring a net benefit over the costs of not carrying out an open market development in a cost effective competent environment.

Stakeholder analysis

	Low contribution / resource power	High contribution / resource power
Low interest / involvement	• Communities which already had similar development efforts • Revolutionary groups and activists	• Other development projects in existence
High interest / involvement	• Neighboring communities • Private sector • Buyers • Other development agencies • Sister UN agencies • Current fish marketers	• Community / individuals • Local government entities • Development agency (UNDP) • Suppliers

The stake holder analysis identifies all stakeholders that could be of use and of non use and their capacities in positive and negative contributions. It is equally important to identify the stakeholders who could damage project image and disturb project processes as part of risk analysis.

OUTCOME – Project concept

Project concept is a very raw form of project objectives and strategic plan before being vetted by the senior management of the organization and approved by the government. Once the concept is approved, detailed project plans could be developed with the help of project management concepts and field experience in the next stage of the project life cycle ie; formulation.

Project and project location

Resettlements in Mannar

Project locations are five most vulnerable villages / communities of refugees of the war who had settled in Mannar 15 years ago. The five project sites are selected from five electorates, three in cleared areas and two in uncleared areas, each community having 50 – 100 families.

Project background

As discussed above, Mannar district which was severely affected by conflicts for two decades is ranked at high poverty rates. The hot climate in Mannar does not help the farmers in their livelihoods, though its one of the two main source of income of the people. The other source, fisheries have been totally neglected due to volatile security conditions at the sea. On top of that, the largest internally displaced population is settled in Mannar who simply does not even have the basic – essential living conditions.

This project with the full consent of the government and as a part of the development master plan for Mannar district will support five IDP communities with almost all basic, physical needs and with the view of sustainable development. Social needs such as health and education will not be undertaken by UNDP as it is beyond the organization mandate. UNDP office newly set up in Mannar but with diversified and experienced staff in development in conflict affected areas and the positive relationship that UNDP has with the government and LTTE will facilitate smooth implementation of the project.

All sectors in concern in the project could be funded by European Commission with its funding for housing, integration, fisheries and agriculture. Also, the donor funds that have been set a side for administrative cost of the project will take care of the various overheads in running the project.

Present conditions

Presently, the living conditions of the communities could be categorized as very poor. Food, water, income, shelter, sanitation, clothes, education, health, infrastructure etc. or in other words, basic needs of person is also not been provided for the communities. They live on daily income basis and the daily income is not at all sufficient and reliable. The only contribution that the community can make towards the project is to unskilled labour but with some form of reimbursement for the time they allocate.

Project requirement

As per the analysis carried out of prioritizing the need of the Community, the following have been identified. Also the project should be designed in such a way that the project outputs are commonly applicable across the district. The project should involve other sister UN agencies in the areas where UNDP's involvement is restricted by the mandate. Also project should ensure maximum community involvement in order to establish the community ownership of the project which on the other hand contributes to capacity building and skills development of the community while maintaining the least costs. The components that will be covered by the project are,

- A work structure for community rehabilitation activities
- Housing within the government approved budget of LKR 250,000
- Drinking water and minor agricultural water
- A stable income (fisheries, agriculture, skilled labour, micro enterprises etc.)
- Access roads to the village and income sites
- Community centre
- Capacity building of local government and community stakeholders for monitoring sustainability and implementing similar projects with the other communities
- Project accountability measures

Project resources

- Expertise, experience and motivation of staff of the UNDP office
- Sound relationship of UNDP with all stakeholders
- Presence in the field and proven project delivery in other districts
- Adequate funds from EC to fully fund the five project sites
- Overhead costs of the project operation is covered by UNDP funds without burdening the donors
- Possibility of obtaining required supplies and services from nearby districts

- Motivated community through participatory needs assessments and design processes
- Collective effort of UNDP, government and community organizations on monitoring
- Support from sister UN agencies and other development agencies by taking over the components that cannot be undertaken by UNDP, hence a 'total solution' is maintained
- Availability of UNDP global procurement arm to handle heavy procurement activities

Project result

Apart from the outputs given above, sustainability of the community on its own is the critical result expected. In a nutshell, certain physical and social indicators by which the poverty / living conditions are measured are expected to show reduced poverty rates.

The project concept concluded the evolution stage of the project life cycle. Approved project concept will initiate the next stage of the project life cycle, Formulation. Having the project concept compiled and vetted by the relevant parties, the exercise can proceed in to the next stage of the project life cycle, project formulation. Hereby, concept will be developed in to objectives, outcomes and outputs and further in to a strategic plan which consists of various parameters by which project performance should be guided and directed towards achieving project objectives. All steps of this stage will compose the end product – Project Proposal. This is the stage in which almost all project management concepts identified herewith play a major role in drafting various plans to implement the project.

The first step of formulation stage, project objective, is the detailed goal statement derived from the approved project concept. It is very critical to make sure that the project objective falls in line with the organization's strategic plan in macro context which was developed in relation to corporate objectives and development master plan of the district.

| Project Life Cycle – Formulation |
| Step ONE – Project objective |

- Project concept need to be vetted and approved by the senior management of the organizations and importantly by the development coordinator of the area. They would have concerns on the project and it may need to adjust the project activities etc. in order to solve the issues raised.

- The lessons learnt in previous projects helps objective setting itself and appropriateness and effectiveness of an objective in a big way. Therefore, it is advisable to carry out a business process re-engineering process before identifying and wording the objective.

Business process re-engineering

Options available for housing

- UNDP building houses with hired labor
- UNDP hires private contractor
- A family is given the responsibility of building their own house from the full grant made to them
- A family is given with the responsibility of building their own house from the supplied made available by UNDP
- A Community organization is formed and given the responsibility of building houses with the provision of grants or supplies
- A group of families is held responsible for building the houses for the group
- Individuals in the community is hired by the others to assist in building the house
- Grants to the government to subcontract government contractors

Options available for community infrastructure

- UNDP carry out construction with hired labor
- UNDP hires private contractor
- Community organization given the responsibility to carry out community infrastructure with the provision of grants or supplies
- Families / group of families held liable for certain parts of the project
- Grants to the government to subcontract government contractors

Approach towards livelihoods

- Strengthening the sectors through full fledged sectoral development
- Immediate recovery of sectors through rehabilitating existing conditions
- Exploring alternative income methods

- Exploring new markets
- Micro financing and Micro enterprise schemes
- Invest in increasing market scopes

OUTCOME - Project objective

To provide the selected internally displaced population with shelter, infrastructure and immediate livelihoods that would give them better living and also make them self individually and within a community through community responsibility and ownership achieved while project implementation.

The next step in project formulation is to list out Outcomes / Outputs. The project objective will be decomposed in to tangible products and intangible results. Once the final outputs and outcomes are decided upon, specification should be built in to identified outputs and outcomes. Specified outputs and outcomes will be the base for deciding the inputs of the projects.

Project life cycle – Formulation

Step TWO – Outcomes / Outputs

Project requirements that were outline in project concept step in evolution stage should be reviewed at this stage. It may be desirable to add certain other components to the requirements or remove as a result of the concerns raised by the parties who approved the project concept.

OUTCOME – List of outputs

Project requirements identified at the project concept could be detailed in to more tangible and measurable outputs / outcomes as follows.

A work structure for community rehabilitation activities

A structure for coordination of housing and community infrastructure rehabilitation activities in the district. The parties who will be responsible for policy and decision making, implementing, monitoring, carrying out real time construction and livelihood activities etc. will be formalized while reporting and communication channels are laid down. It helps the district wide activities of communities, development agencies, private sector and the government follow and focus on the objectives of the macro strategic plan for the district.

Housing within the government approved budget of LKR 250,000

The government budget for a house is LKR 250,000/= This amount can be only met in a community approach where by the community is heavily contributed for construction of houses and fabrication of materials. Also, It may be needed to decide that certain secondary components of the house to be completed at a later stage through another phase of development or by the individuals with their own efforts. Having said above, a common house plan will be agreed with the community will be designed with essential components added and also with allowance for expanding. A 500 Sq. ft house will be designed with a living area, kitchen and two bed rooms. As mentioned, a toilet will be provided by another development agency.

Drinking water and minor agricultural water

For drinking water and minor agriculture water, tube wells will be provided on the ratio of one for five families. Minor irrigation channels will be laid to supply water for farm lands and sprinkler system will be installed for watering farm lands. Water pumps and generators will be supplied for the community for all required purposes.

A stable income (fisheries, agriculture, skilled labour, micro enterprises etc.)

Before sectoral development is carried out in the district as a whole, initial livelihood measures are introduced for the community to be self sustainable and as preparedness for complex economic activities. Rehabilitating fisheries will include supply of fishing gear and supplies and marketing facilities. Rehabilitating agriculture will include supply of seeds and plants, fertilizers and stocking and marketing facilities. Skills developed through project implementation could be made available for external markets and other community reconstruction work. Vocational training, micro grants and required equipment will be provided for micro enterprises rehabilitation.

Access roads to the village and income sites

Under community reconstruction, access roads to villages, fisheries coast lines, farm lands and marketing facilities will be provided. Roads will be gravel loads with concretes drains and culverts with the extension capacities and for tarring in the future.

Community centre

A community centre for the community with community gathering facilities and with convertibility for clinic, preschool, women's centre, community society administration.

Capacity building of local government and community stakeholders for monitoring sustainability and implementing similar projects with the other communities

This is one of the most important outcomes of the project given the fact that the projects discussed herewith are pilot projects. Pilot projects should build capacity and skills of the local government and the community establishments to implement similar projects district wide resettlement efforts in the district as a whole. The work structure, controlling and monitoring mechanism, handing over and maintaining mechanisms etc. should be decided with the basic idea that those will not be restricted to selected communities but widely applied to the all communities in the district.

Project accountability measures

ccountability of financial and non financial support extended to various parties based on the results achieved and the process followed is vital to make sure that the action planned under the project are directed towards achieving project objectives

Handing over of the project to identified project partner

With the development of a work structure, a suitable partner/s will be identified to tale over the project on project completion. The identified partner/s will be responsible for post project action support, administering operations, monitoring progress, policy decisions, implementing similar projects across the district, coordinating resettlement and initial economic recovery activities of the district etc. The capacities and skills required to carry out he said functions will be built in to the identified partners as an integrated part of the project

The next step, Inputs will detail out the outputs and outcomes in terms of the resources required to arrive at the same. Inputs will be listed as means of Bills of Quantities or Statement of Work.

Project life cycle – Formulation
Step THREE – Inputs
Once the specifications are built for the outputs/outcomes it is easy to develop bill of quantities (for outputs) and statement of work (for outcomes) to identify the various inputs to the project. The expert staff in the UNDP offices can develop these with assistance from external expertise and government when required.

OUTCOME – Bill of quantities / Statement of work

Example : A house

Specification building

Requirement :

- A house that fall within government resettlement housing budget
- A standard house plan that cater all families
- Possibility of upgrading and expanding by the family
- Falls in line with simple, cost efficient and standard construction practices introduced by Sri Lanka State Engineering Corp.
- Facilitates faster construction in 3 months
- Simple technology that could be covered by community labor

Specifications :

Such a house should be designed and specifications should be built for the house.

- 500 Sq. ft
- A living room, two bed rooms, a verandah and a kitchen with chimney (an outside toilet to be provided by another agency)
- Main door and back door
- One louvered openings for each bed room (living room and kitchen windows are to be taken care of by the family)
- Tiled roof on simple roof framework
- Floor concreted
- Internal plastering (external plastering to be taken care of by the family)
- Electricity point, one light point and one plug point (additional electric points to be taken care of by the family)

Specification of a standard house should be further developed to source in bulk for higher operational volume / all houses in the five selected communities.

Raw materials and relevant equipment should be ordered for the building materials that are fabricated on site. (Blocks) This process is expected to build the livelihoods of the community by having block making plant in which community members can work and earn their living. Most of the housing construction activities are designed in similar manner to increase the sustainable livelihood capacities of the community.

> *Bill of quantities / Statement of work / Request for quotation*
> - Civil work should be sourced through a Bill of quantities
> - Services should be sourced through Statement of work
> - Direct procurement should be sourced through Request for quotation
>
> All carrying all terms and conditions of UNDP to ensure transparent and competitive bidding exercise

The next step in formulation stage is the Project Work Structure. The Project Work structure is the overall structure by which project is directed from top to bottom / bottom to top which is different from the roles and responsibilities of the people in different activities at the work plan level. Work structure should be carefully drawn with attention to socio cultural behaviors and the norms in the community.

Project work structure is required for smooth operations of the project. A work structure will stipulate the working relationships, in terms of implementation, monitoring, reporting, communication, decision making etc. Stakeholder analysis carried out in the in the project concept step in evolution stage to identify resources could be detailed herewith to build working relationships. The interest and power matrix on the stakeholders can be used in identifying the work relationships based on their capacities and skills.

Project Life Cycle – Formulation
Step FOUR – Project work structure
The project discussed here aims at resettling refugee communities and economic rehabilitation among pilot communities selected across the districts. Development efforts that will take place in model communities are expected to be spread out to the district as a whole at a secondary stage. Therefore, the work structure for this project has to be designed with a lot of care.
The macro strategic plan for the district states that the resettlement efforts of the district will be under direct purview of the local government and the central government departments in charge of the sector. Therefore, it is indeed very important to have the government intervention and involvement in managing the activities while community based approach is maintained in implementing planned development efforts.

Business process re-engineering

Lessons learnt on previous similar projects

- UNDP should not spoon feed the beneficiaries or community establishments by providing them grants, equipment, training etc. at no cost to them. It had always been a failure since the people in poverty satisfies day today needs from the provisions made as non repayable grants rather than using them for the purpose they meant to be.

- Above could be resolved through capacity building so that the beneficiaries and the community establishments could take action and held responsible for the development efforts.

- In case a community approach is decided upon and community ownership is needs to build, the activities should be implemented through the community establishment rather than individuals to expect to gather at a community level on receipt of grants.

- Projects with higher government involvement should be designed with due consideration on the protocols and nature of government engagement with the people

- Getting involved at beneficiary level imposes administrative burdens on UNDP as UNDP does not have adequate capacity to control and monitor activities of thousands of beneficiaries

- All parties being involved with the project should be held accountable for the provisions they receive and the result achieved. Designing the project work structure should build in authority with appropriate levels to monitor and audit the channels reporting to the particular level

Rather than setting individual targets, beneficiaries, community establishments and government together should set common targets and drive towards achieving them in an integrated framework. Individualizing tasks and targets will not be able to carry the project to its second phase of rehabilitating similar communities in similar conditions.

Guidelines in designing the work structure

- Ideally, there should not be any grants and provisions made available free for the community. But since the communities are very poor and do not carry any savings, the development agency could make free provisions while encouraging the community to contribute as mush as possible.

- Though UNDP designs and implements the project, none of the parties are accountable to UNDP but to the superior parties in the work structure. UNDP follows the recommendations of those parties in processing the next benefits

- The structure should be a linked strongly together between the Government,

Community Establishments and Beneficiaries. UNDP facilitates the process and support financially, technically and physically when required

- Community is empowered while individuals have certain roles to play in achieving empowerment

Flexibility in base structure to adopt to different conditions, communities and cultures while all communities are vetted with equal rights and access to resources

Stakeholder analysis

Could refer to the stake holder analysis carried out at the project concept step and detail the required aspects accordingly

OUTCOME – Project work structure

- Project will be funded by EC and executed by UNDP

- Project designs is UNDP's responsibility as they have the technical expertise but community concerns will always given due consideration

- All project components will be implemented by the community itself. Main resource of the community is unskilled labour.

- UNDP does not have the capacity to maintain the community labour force. Therefore, community society is formed form the community to regulate the activities of the individuals

- Community society will be lead by a board elected through the people in the community. All individuals are members of the society. As all individuals views are equally heard at the society, they are all treated equally in terms of their contributions.

- Funds for the project and the other inputs will be disbursed to the society. The society should disburse the inputs as agreed with the UNDP on the project work plan. The society board is responsible for the community and to UNDP to report the utilization.

- While regular monitoring will be carried out by UNDP, the government technical officers will carry out the random monitoring. Technical support and on site supervision will be done by technical personnel hired by UNDP.

- Two adult members from each family were required to contribute 8 hours unskilled labour daily on the project activities.

- 6 families (12 individuals) were grouped. Foundations of 6 houses should be done in a group at one time and then move on to the next stage of all 6 houses. The 2 family members are held responsible for their own house. While building the houses, group should allocate 3 people in rotation for common community activities.

- The man days utilization at project site will block the daily income of the individuals.

This will be compensated by a 'food for work' programme of World Food Programme.

- Hence, the resettlement committee is made up of UNDP, Government, Community society and WFP.

- Resettlement committee should be communicated with all project concerns and the work plan should be shared.

- Work plan should be conveyed to the individuals by the community society in consultation with UNDP and the resident site supervisor

- The other development agencies who take over the components not covered by UNDP are also invited to share the same structure, if community labour is required.

- Technical support, on site supervision etc. will be done by technical personnel hired by UNDP.

- On completion of the project, following identified parties will be held responsible for post project action namely,

Government partner for monitoring and auditing progress on ongoing projects, policy decisions, implementing similar projects across the district in collaboration with development partners, coordinating resettlement and economic rehabilitation activities of the district etc. focused on a management and auditing role

Community society for post project action, administering and managing community operations, monitoring project and community progress, maintaining project deliverables, coordinating and managing livelihood activities of the community, planning and initiating future development activities for the community etc. focused on operational and representative role. Community society may seek assistance of the families of the community to carry out the functions effectively

- Once the project is completed, UNDP should report to the Donor and the government

The study so far has built up the objectives, output and outcomes, inputs and the work structures within the development parameters of the development agency. The next step in the formulation stage will put all above components together in to one integrated plan of work. The work plan is required to capture the all activities drive the project towards the achieving project objectives within set time, cost and quality parameters.

The work plan is most live document of a project. All project activities in implementation, completion and post project action stages are planned in the work plan in terms of the budgets, quality standards, time frames, responsibilities etc. A plan is plan and it need to

be revisited and reviewed through out the process. The plan should be revised based on the performance monitoring and with justified reasons.

On identification of the outputs/outcomes and the inputs of the project the activities that link the inputs and outputs can be identified. Importantly, the activities should be in line with the work structure designed for the project. The activities identified should be included in the work plan in a sequential and logical order. All activities should be carry the best estimated cost, time frame and quality standard and the responsible personnel. Simply, the work plan will absorb the inputs and process them to the outputs/outcomes that deliver the project objectives.

Project life cycle – Formulation
Step FIVE - Activities, responsibilities, budgets, quality and time frames – work plan
The project consists of many different outputs of which the activities too vary from one to the other. So it may not be practical to develop one work plan for all outputs but a couple based on the nature of the outputs. One work plan could be developed to cater similar type of activities of similar scope and scale. The aspects that could be looked in to in grouping are,   • Nature of the output / outcome – Micro financing, Minor infrastructure, Procurement of equipment etc.   • The people involved in carrying out activities / the placement in work structure   • Common pace / common inputs   Importantly, all work plans should be integrated on a common work plan which tracks the time and cost of all actions of the project.   Hereby, past experience in similar projects can be brought on to the table to categorize outputs for which one work plan could be developed. Out of the outputs and the outcomes of the project, the following logical grouping could be done to simplify the work plan process.
Value management
Value management principles and its application in a general non profit environment are described later in the study. As the cost benefit analysis established the benefit of a community based approach, value of this project will be established as the community

strengthening, capacity and confidence building and economies of scale among simultaneous similar projects. Cost effectiveness and speedy delivery become secondary in achieving the said values. Al work plan activities along with their budget, time and quality should ensure values of the project.

Eg: Speedy, quality and cost effective supply of fishing boats through an established private boat yard is overridden by the value added in setting up, training, fabrication, trail and error experience of a community owned boar yard.

Time management

Interdependencies of the various outputs/outcomes should be identified before applying time management principles described later in the study. Similar activities in different outcomes/outputs could be carried out simultaneously to achieve economies scale. Activities of the work plan should be carefully separated from each other and inter linked to each other based on the time they need to be completed successfully.

Eg: Community society has to allocate limited labor it has to different activities at the same time such as, material fabrication, housing construction, community infrastructure etc. On the other hand, certain activities under one category above should be completed to commence another activity of another category. Therefore, the resources available for allocation should be cross referred to line up of activities in a sequential order. More than mere time management, allocation of resources against the time is should be dealt very carefully.

Business process re-engineering

In unique project concepts such as development projects, business process reengineering plays a critical role. The project management should list out past experience, both good and bad and the lessons learnt, relevant to the particular project and look at them through the ground conditions of the project in concern. This will assist the project management not to invent the project aspects again but follow what had already been there, but the once which are relevant and brought good results and also not to make the same mistakes again but improve. This should be well followed in developing work plans.

Eg: A similar exercise was carried out work structure step of this study.

OUTCOME – Work plan

Outcome / Output	A					
Activity	Qualitative	Team	Monitor	Time	Cost	Adjustments

	description					
A1						
A2						

The next steps in the formulation stage will integrate and incorporate risks associated with the project process and the monitoring and evaluation efforts though out the project process in to the project work plan developed above.

A risk plan is too a very critical document in projects. The project in concern in this study being located in very volatile political and security conditions, an appropriate and updated risk plan is a very essential for project activities. All risks that are foreseeable should be identified with reference to the activities listed in the work plan. The risks identified and their consequences that effect project delivery and also the rectification action should be costed with time frames. There could many other risks that are not foreseeable and such too needed to be provided for in the risk plan.

The risk plan could be an annex to the work plan. As the risks to have been identified against the activities of the work plan, risks, revised action, their cost to the project, time changes and responsibilities also could be connected against the work plan activities. Unforeseeable risk may be provided for as lump sum.

SWOT analysis and Cost benefit analysis carried out in the project concept step of evolution stage will be of help to identify the potential risks of the project at an overall level. It is now required to identify how those risks could affect the work plan activities and the costs of risk fighting efforts. Moreover, business process re-engineering helps the project to apply the lesson learnt and experience of past projects in current activities and also to revise work plans at change conditions.

Project life cycle – Formulation
Step SIX - Assess risk and risk management – Risk plan
Risks of the project are assessed to be the following.   - Community labor force may not contribute to the project as expected due to technical or financial incapacity etc.   - Deterioration of the security situation which will halt all development activities by

restricting movement and poor but costly living conditions
- Trade union risks associated with community organizations
- Tendency of project funds being used for other purposes by the beneficiaries
- Accountability issues
- Conflict of interests between the parties involved
- Suppliers of services and goods not being able to deliver the required inputs in site at the agreed cost, time or quality
- Weather conditions / seasonal changes
- Change in donor concerns

The ways in which identified risks could affect the activities are analyzed in terms of the probability, extent and degree of effect on the project activities. It is then worked out the cost and time that is required to manage the risk. The Risk Plan being prepared against the activities of the work plan both plans could be integrated together. The risk of deterioration of security situation and its implication to the project cannot be fully avoided but minimal survival action could be taken.

OUTCOME – Risk plan					
Outcome / Output	A				
Activity	Risks	Monitor	Time	Cost	Adjustments
A1					
A2					

Evaluation Plan, which is the next step of the formulation stage, could also be integrated to the work plan provided that it is also built against the work plan activities. This would allow the project personnel to carry out evaluation process as an inbuilt part of the work plan which will ensure continuous emphasis on project focus and direction. It will also ensure the regular and systematic evaluation process that covers the all aspects of the project.

Outputs and the outcomes are the result of a project. They should be measured in terms of the cost, time and quality to compare with the strategic plan and objectives to establish whether the project has achieved its objectives economically, efficiently and effectively. Hereby it is equally important to monitor the project progress in terms of its focus and direction in achieving project objective and also to monitor the project process by which project is driven towards its objectives.

Monitoring should be carried out through out the project regular basis and randomly too. For the purpose of monitoring it is critical that indicators are set which integrate outputs/outcomes and objectives. As the progress monitoring is carried through out the project, indicators too need to be set along project milestones.

As physical and financial delivery can be seen and measured, indicators should always touch a third perspective, qualitative aspect of delivery. It could be the quality of the product or the skill that the community had developed, the indicators should be developed to measure the non physical and financial aspects of the project objective.

Project life cycle – Formulation
Step SEVEN - Performance indicators and monitoring mechanism – Evaluation plan
While the indicators are related to the activities of the work plan, they should also monitor project progress and project process. The following are the indicators that need to be measured at the end of each activity. - The stage in construction/other work in comparison with the work plan in terms of the cost, time and quality - The contribution made by the community in terms of labour - The confidence and hope of the community of a better future - Skills developed in the process and excess capacities gained than planned - Community ownership developed towards the activities through customization of activities by individuals, housing groups etc. - Involvement of children and women in the development process - Initiatives taken and suggestions made by the community to enhance the quality of the project - Delivery of inputs – timeliness, quality, returns etc. - Idling or short fall of resources – Labour, Finances, Raw materials, Technical capacities - Disputes and conflicts raised by the beneficiaries - Bottlenecks and gray areas in the work structure - Risks faced and managed within the risk plan and beyond the risk plan - Aspects that felt need to be monitored but not included in the evaluation plan - Changes and adjustments in work structure

The above indicators should be modeled with the activities to integrate evaluation plan in to the work plan.

OUTCOME – Evaluation plan

Outcome / Output	A		
Activity	Indicator	Monitor	Adjustments
A1			
A2			

Post Project Action is the next step in the project formulation. Post project action in a sustainable development project is a very critical in making the project sustainable. As most of these projects are carried out in the field where the beneficiaries have very limited capacity to absorb development efforts rapidly, they should be supported during the post project period as well.

Though the post project action can be categorized as a separate project life cycle stage, an action plan has to be incorporated in to the strategic plan. This is not an attempt to identify the exact activities that need to be carried out during the post project action phase as such could be only figured out at the end of the project. The effort here is to identify the probable conditions of the community on completion of the project so that a provision of time, cost and resources could be made available to support post project action phase.

Project life cycle – Formulation
Step EIGHT - Post project action to ensure sustainability
Based on the outcomes and outputs of the project, probable gaps in self sustainability of the community and project ownership of the community in the post project period are identified as follows. - Technical and resource capacity of the taking over partner to manage the project forward - Community not being able to or not taking an effort to market its products and skills - Other services and infrastructure that are not covered by the project affecting the sustainability of the project - The project not being adequately visible to the stakeholders for add on development effort

- Other development agencies approaching the community with different development concepts

- Necessity to have alternative income generation methods

- Deterioration of overall security, economic and living conditions which would drag down the community to vulnerability

- Potential well performing beneficiaries being restricted to the work structure or project limits

Outcome – Post project action
- Analyzing the project status in terms of above indicators
- Leaving a provisional resources and time period to attend to the issues, if required
-   Action and results could be designed at the post project action stage if any is required

Moving forward to the final step, all eight steps of the formulation stage will be summarized in the project proposal. This should be he live document of the project in which objectives, plans and performance measures are given. The document should be reviewed and revised on continuous basis to direct the focus of the project towards the objectives in changing conditions.

Project life cycle – Formulation
Step NINE - Project proposal / project document
The project tends to carry an extensive project document as it covers many different components of a resettlement. Being a pilot project of this nature, the project document opens a door for more resources to be mobilized. It is important that the project document is followed and the project report is prepared to warrant the successful achievement of project objectives.
OUTCOME – Project document
The project document which is considered to be the live document of a project will carry following components which too are maintained to be live in project implementation.
- Project objective
- Outputs / outcomes that achieve project objectives
- Inputs required to achieve outputs / outcomes
- Work structure in which the stakeholder will be positioned for project operations
- Work plan/s developed based on outputs/ outcomes in reference to budgets, timelines, quality lines, roles and responsibilities

- Risk plan in line with the activities above
- Evaluation plan in line with the activities above
- Provision for post project action

Once the project document is complied with due attention to all necessary details, the project proceed to the third stage of the project life cycle, Implementation.

All what is required at the implementation stage is to stick to plans carefully prepared at the formulation stage. A plan, as it is only a set of guide lines worked within a hypothesis framework could be subjected many changes due to the changes in conditions. This aspect is taken in to consideration in developing the risk plan. Therefore a comprehensive project document would not face many challenges in implementation but the project personnel have to be alert on all changing conditions and revise the plans accordingly.

There could be instances where the project document needs to be changed at the level of objectives or it could be simply at the work plan level. Depending on the level at which revision is expected, a similar project management process be carried out as this study had carried out on original project objectives.

Lets move in to implementation stage of the project life cycle with its first step, sourcing.

Project Life Cycle – Implementation
Step ONE – Sourcing
Sourcing and selecting implementing partners
The success of a project totally depends on the effectiveness, efficiency and economy of the project implementation by the implementing partner. Therefore, the selection of an implementing partner has to be carried out with extreme care.
Firstly a statement of work (SOW) should be prepared with reference to the project document. SOW stipulates all required functions of the implementing partner to deliver the project. Secondly, contract terms and conditions of the development agency should be spelled out so that the potential partners can make their quotes in line with the terms of the agency. Thirdly, the selection criterion and evaluation point schemes should be designed and stipulated to carry out an objective driven and transparent sourcing

process. Finally, based on above an appropriate method of sourcing and a scope should be selected.

A cost benefit analysis and a value management exercise could help in developing selection criterion which covers the required capacity and skills of the implementing partner to implement the project successfully.

Sourcing and selecting supplies and suppliers

Firstly a bill of quantities (BOQ) should be prepared with reference to the project document and also at the level the supplies need to be sources from different suppliers. BOQ stipulates all required supplies along with the required quality, quantities and timeliness of delivery. Importantly, the BOQ should be costed to arrive at market rates to arrive at the estimated cost of procurement which draws the base line for evaluation. Secondly, contract terms and conditions of the development agency should be spelled out so that the potential partners can make their quotes in line with the terms of the agency. Thirdly, the selection criterion and evaluation point schemes should be designed and stipulated to carry out an objective driven and transparent sourcing process. Finally, based on above an appropriate method of sourcing and a scope should be selected.

A cost benefit analysis and a value management exercise could help in developing selection criterion which covers the required capacity and skills of the implementing partner to implement the project successfully.

Value management

The value in community development projects is measured based on the amount of resources retained in the community, skills and capacities added to the community etc. The sourcing selection need not essentially be the least cost quote but which adds the highest value to the community and its sustainability.

Values of a community based resettlement project

- Amount of resources retained in the community
- Community ownership developed
- Capacity and skills enhanced and newly added
- Empowerment of the beneficiaries and the community
- Investment opportunities developed within and outside the community

Above being the values that could be added in a sourcing exercise in a sustainable community development project, the sourcing exercise must ensure that values are

achieved rather than costs are minimized
Cost benefit analysis
While developing selection criterion and actual selection of partners and suppliers, a cost benefit analysis could be carried out measure the net benefit of each option available. Costs and benefits are not only the quantitative aspects that carry a price but qualitative aspects such as opportunity costs, impacts and images, political views etc, which could matter in the long run of the business of the parties involved and also the of the development agency itself.
OUTCOME – Sourcing
• The sourcing documentation consists of,   - Statement of work / Bill of quantities   - Contract terms and conditions   - Selection criterion and evaluation point schemes   • The selection criterion for implementing partners would be,   - Access to the project site   - Financial and administrative capacity of the partners   - Prior relevant experience in similar conditions   - The amount of resources could be retained in the community itself, through the operations   • The selection criteria for suppliers and supplies would be,   - Experience in supplying for similar projects in the same area   - Financial and administrative capacity of the supplier to manage complex procurement requirements   - The amount of resources that could be retained within the community   - Reference from past clients   In this case, the government and UNDP had formulated a work structure in which community societies have been established as implementing partners together with the support and the monitoring of the unions and the government. Therefore, sourcing exercise is required only to source suppliers.

The next two steps of the implementation stage, deploying project inputs and progress could be carried according to the project document / strategic plan.

Project Life Cycle – Implementation

Step TWO – Deploying project inputs – Financial, physical, technical etc.
To be carried out with reference to the work plan. Any additional functions required to drive the project towards the objectives should be included in the work plan and the time and budget factors should be revised accordingly. In overall context, provision for contingencies is expected to cover the add-ons. The risk should me monitored. The risks identified in the risk plan could be managed as planned. Other risks should be identified and managed strategically.

Project Life Cycle – Implementation
Step THREE - Monitoring progress against work plan and risk plan
To be carried out with reference to the evaluation plan build up on work plan and risk plan activities. As the indicators are linked to activities of the work plan and the risk plan, measuring performance through indicators could be linked to routines of the project. In the case of the measures being lower or higher than expected, it is vital to analyze the change and the cause of the change and also to rectify and adjust the work plan and risk plan accordingly. Changes in performance in terms of cost, quality and time should be documented to as organizational learning.

General project life cycle will come to an end with the completion stage. But here with the study, a fifth phase too will be added to the project to take care of the post project period which is also a very critical stage in terms of ensuring the sustainability of the community.

The project completion will mark the official closure of the project establishing that the outputs and outcomes have been achieved. The first step in the completion stage will ensure project delivery. Hereby, the project delivery will be measured and also will be compared with the strategic plan to establish the delivery matched what was planned.

Project Life Cycle – Completion
Step ONE – Ensure project delivery
Measure outcomes and output through indicators
This the final evaluation process as the last activity of the evaluation plan carried out at the completion of the project. Since the project was subjected to continuous monitoring

process coupled with rectification efforts, it is not expected see a variation at the end of the project.

Delivery compared against strategic plan

Delivery measured through the indicators will be then compared with the strategic plan in terms of objectives etc. The comparison should not only be restricted to financial and physical performance but to social aspects. There could be certain additional criterion that could be accomplished along the project process which could add value to the project. Those should be identified and incorporated in to the project reports.

OUTCOME – Project delivered

Project objectives achieved

- All supplies/procurement agreed upon have been delivered with required quality and commissioned
- Technical capacities transferred to the community
- Capacity building and skills development expected at community society and government level are in place to take over the already implemented projects and to implement the second phase of the project
- All construction undertaken is completed
- Community infrastructure project are completed and maintenance undertaken
- Work structure is revised and adjusted to suit the real time mechanisms and processes
- Individuals and societies empowered to explore and make use of new opportunities
- New markets have been explored for livelihood products
- Beneficiaries are saving their income for future investment
- Community ownership is developed by involving community in the project extensively

Once the delivery is completed, the community should be aware of the project completion and that they should take over the project. This fact is built in to the project process in the formulation stage itself so that the project process itself will reflect the project ownership of the community rather than being made it known to the community at the project completion.

Sustainability of the project totally based on the owner of the project of the post project period as he should initiate, coordinate and implement post project activities. As described in the strategic plan, the responsible project owner is identified at the work structure and

his/ their capacity is build to take over the project, as a part of the project. As he had been an active member of the project team in decision making and implementation, the taking over partners is intended to have the knowledge and know how on project activities, objectives and also the future of the project.

Project Life Cycle – Completion
Step TWO –   Handing over the project

The government partner and the community societies were identified as the taking over partners, with society members to assist societies as and when required. While government partner was held responsible for managing, auditing and coordinating role societies were held responsible for operating and community representative role. .

- Selection of the ***government as the management partner*** was based on the fact that, Political and bureaucratic authority to manage development activities in the district
- Planning secretariat develop plans and policies for development efforts
- Approves and coordinates the entrance and activities of donors and development agencies while directing them towards various development sectors

- Held responsible for all activities taken place in the district by the central government
- Selection of the ***societies as the operating partner*** was based on the fact that,
- Manages, leads and guides the community in operational and administrative matters
- The desk at which the communities are represented, issues are voiced and solutions found with equal preference to all communities
- Ability and well positioned to obtain support from both government and beneficiaries
- Chaired by the community representatives
- Receives consultations by the other stakeholders who are part and parcel of the current and future development efforts
- In a position to manage the community on the contributions they make towards the project progress
- In a position to meet personal negotiations at conflicts and disputes
- In a position to absorb the technical capacities built in to the project and drive the community through them to utilize the capacities in a collective effort
- In the ideal position to build community ownership among the community
- Could be responsible and held responsible for the sustainability of the development

efforts

Having communicated the above aspects on which the decision was made to appoint the above partners as taking over partners, the handing over of the project could take place.

OUTCOME – Handing over

Awareness

- Selection of the particular communities to receive the development project before other communities
- All parties to the project are made aware of the project completion
- What should be the responsibility of all parties towards rehabilitating the fisheries sector in the district
- Parties made aware of the future development opportunities within and outside communities
- Partners being recognized for their valuable inputs to the project
- Community ownership of the project and that the prime responsibility of community sustainability lies with the individuals and the community societies
- Capacity and the confidence of the community society to take over and carry forward the responsibilities of the community
- The role of the government and the society in the future as the management and operations partner and the support that could be expected by them
- The effort of the development agency and the other stakeholders in delivering the project

Handing over

- Handing over of physical project deliverables such as houses, tube wells etc. to the beneficiaries and the community society
- Handing over minor infrastructure such as access roads, irrigation channels etc. to the local government
- Handing over equipment and tools to community society to utilize in future income generation activities
- Relevant property papers etc.

A completion report is a mandatory requirement for any project. A completion report will carry the financial delivery and physical delivery accomplishments in support of achieving the project quantitative objectives. A completion report will not support the qualitative

objectives which need to be monitored over a period after project completion, especially the sustainability of the project.

Project life cycle - Completion
Step THREE -   Completion report to stakeholders
Completion report puts together all findings and functions of the completion stage. As the project document states the project objectives, outcomes and outputs, plans and processes, the completion report could cover only the delivery.
OUTCOME – Completion report
- Physical and financial delivery - Delivery compared with the strategic plan - Variances in delivery with justifications - Handing over of the project - Visibility measures - Status of sustainability / where the community lacks capacity for sustainability - Further development required by the community / a brief on Post Project Action

A completed project should be made visible to the stakeholders in the market. Visibility helps the development agency to market its capacity to attract more funds. It helps the community to attract more development agencies for further development as the community will be considered as a 'capable community' to absorb development efforts. Also the project will set an example for other agencies and communities. The donors would be happy to see their money invested. Visibility helps the planning coordinator to make a stock of different communities with different needs. Therefore, it is important to have a strategic decision on how the project will made visible too all stakeholders in concern.

Project life cycle – Completion
Step FOUR – Visibility
The project being the first resettlement project in Mannar district and there are many of similar project are needed to take care of thousand of refugee families living in the district, the project should be made visible as much as possible mainly to donors. As UNDP had incorporated inter agency activities too in the project, highlighting such could attract UN attention and funds as well. Moreover, the community is in need of

many secondary requirements such as health, education etc. in which visibility efforts could seek attention of development agencies that could provide such services. The community had been the owners of the project through out and they too need to be recognized for their efforts. Therefore, community ownership and contribution made towards the project should be given due recognition to booze their morale in post project activities to ensure sustainability.

A simple cost benefit analysis could be carried out different visibility options available. The options are,
- A handing over ceremony at community level
- A paper article
- A press conference
- A visibility board
- A notice on planning coordination office
- A report to be published
- A fact sheet for stakeholders
- An article on global development sites

While all above has different resource requirements, a grand handing over ceremony in the presence of the UN officials, Donors, Government, Press and vulnerable communities will achieve all objectives above. While press will take the project and event to the market, a fact sheet could be developed with vital points to be incorporated in to future proposals, web sites etc. A cost benefit analysis stipulates that the cost of such event would be well worth with the market it opens up for UNDP and for the community.

OUTCOME – Visibility
- A handing over ceremony - A fact sheet

A regular project life cycle would come to an end with the Completion stage.

Project life Cycle – Post project action
Step ONE – Post project monitoring
Impact assessment
An impact assessment is carried out after a considerable time on completion of the

project. An impact assessment would measure the achievement of qualitative objectives of the project such as participation of women in development activities, increase in income levels and proportion of income utilized for better life conditions, involvement of families in community development etc.

While the impact assessment exercise will establish the community impact of the development effort it will also establish the qualitative areas in which community need further guidance in being sustainable.

Post project monitoring on sustainability

While impact assessment will carry out a snap shot evaluation on achievement of qualitative objectives of the project, post project monitoring will be carried out continuously on the community by community representatives with the guidance of the development agency. This exercise will make sure that the operational capacities developed within the community are put in practice and in optimum use. Also the monitoring will measure the new capacities developed, markets approached and development efforts initiated by the community itself.

OUTCOME – Post project monitoring

- Findings of Impact assessment
- Findings of post project monitoring

Project life Cycle – Post project action

Step TWO – Post project support for sustainability

The findings above will identify the gaps between the current situation of the community and their ultimate destiny. Based on that gap analysis, certain essential support in which the community needs the support of a development agency will be identified. This post project needs assessment will either lead to smaller work plan or budget that could be implemented during the post project period or will be the base document in developing a substantive project. Based on the sectors the project needs to take care of, the development agency can decide whether to implement by on it own as post project action, second phase of the same project, a new project or should invite another development agency to take care of the issues.

The SWOT analysis carried out in the project implementation stage can be further developed in identifying the action under above three categories.

OUTCOME – Post project support
- Post project action
- Second phase of the project
- Aspects that needs to be attended by another agency

Project life cycle – Post project action
Step THREE - Project report
Once the post project action too is implemented and the result achieved, final project evaluation could be carried out to support the project report. In the final evaluation, achievement of quantitative and qualitative project objectives, sustainability measures and impact assessment should be carried out.
OUTCOME – Project report
The project report would carry information on the following.
- A summary of the completion report in terms of financial delivery, physical delivery and variances
- Impact created within the community
- Sustainability factor
- Post project action identified and carried out
- Objectives achieved
- Project hand over
- Recommendations for the future
Visibility measures for the benefit of the project and the donor

Chapter FIVE

Case study TWO

Rehabilitation of fisheries sector in Jaffna District, Funded by multiple donors and Implemented by UNDP

5.1 Background

The coast line in Jaffna was severely affected by the conflict and tsunami in last few decades. The well known catchment areas in northern part of the island have been terribly under utilized during the conflict period and deep sea and shore fishing were carried out at a very low scale due to security reasons. On one hand, fishermen were under enormous threat of life in the sea and shore due to continuous cross fire and avoided the areas and restricted fishing only in very small area which was under the guard of the military. On the other hand, the fishermen were not able to market their products to the other parts of the island as the road toward the south was closed. Simply, fisheries in Jaffna coast were restricted to a volume to feed the mouths in Jaffna only.

Just after the cease fire agreement in February 2002, many recovery and development activities were proposed for fisheries sector as it was one of the most potential economic rehabilitation effort which could be the main income generation activity of a large population along the coast. Also it was possible to find a market for the catchment in the southern part of the island, as it was used to be many years ago, since the road to south (A9) were opened for all purposes.

5.2 Development project implemented by the development agency

- Development gaps in livelihoods of people were identified by the team in UNDP Jaffna office.
- Fisheries sector was the best to start with as it anyway was the main income and the skill of the people. Moreover, the north seas were untouched for decades due to war and catchment was very high.

- Donors were happy to invest as the cost of overheads and proportion of fixed assets were comparatively low.

- Needs assessments were carried out in selected villages to identify the needs. Most vulnerable communities were selected for pilot projects.

- Needs assessment results stated that on top of the investments in fisheries sector, fishermen needs financial support for fishing gear and to market fish harvest.

- UNDP identified that it was not feasible and also impossible to monitor if grants were directly given to beneficiaries. Instead, a work structure and monitoring mechanism was developed.

- Beneficiaries who are eligible for grants were recommended by the community fishermen societies. Community societies were consisted of people of the community and lead by representatives. Couple of societies formed a Union and certain project aspects were dealt at union level.

- All bodies and functions of the work structure were monitored by the government departments.

- The utilization of the grant should be reported to the society by the beneficiary.

- A market place was created for fishermen to sell fish. Certain other facilities such as ice factories were established at union level for the benefit of many.

- Based on the lessons learned in first round of grants, the next set of beneficiaries was identified for grants.

- Project fund utilization was measured through no of loans and impact was assessed through repayment rates and increased economic activities.

5.3   Cognitive mapping exercise

The cognitive mapping exercise was carried out as explained the in chapter two. The summary of positive and negative feedback gathered through the cognitive mapping exercise was absorbed in to a generic form under chapter two as well. While the generic project, project process and project issues are integrated in to a generic framework under chapter two the project specific aspects will be captured during the exercise of applying project management tools through the project.

Let's move forward by looking at the project scenario in a project management perspective, how project management could help in designing a development project. It is

important to revisit the lessons learnt during this exercise to align the results towards elimination of issues faced already.

5.4   Redevelop the project through project management tools

A similar study as per the previous case study, in which detailed analysis of the case and the conditions and then developing a strategic plan for the project through application of project management tools will be carried out at this study as well. As explained before, the writer does not intend to introduce sophisticated project management techniques because application of the same by layman will not be viable and feasible given the project content and context. Hence, the study will be backed up by simplified – generalized project management tools.

Evolution, Formulation, Implementation and Completions as four stages of the Project Life Cycle, lets' proceed to evolution stage of the project.

Evolution stage of a project life cycle requires viewing a problem / issue in a wider perspective. In a context of donor funded, community based, sustainable development efforts carried out by development agencies, the aspects that should be considered before the project takes off the ground are,

- Provisions and requirements of the development master plan drawn by the body who coordinates all the development activities in the area
- Operating framework of the organization drawn within the borders of mandates, policies and capacities
- Role expected from and feasible for the organization in the project context
- Develop a strategic plan for macro context or reaffirm the direction set by the strategic plan for macro context

Simply, the organization should not commit for any development work, if it is not feasible and practical for the organization to get involved in such. Having said above, lets form the development framework for the given project scenario as follows.

Project Life Cycle – Evolution
Step ONE – Strategic plan for macro context

Provisions and requirements of the development master plan drawn by the body who coordinates all the development activities in the area

- District Planning Secretariat draws the development master plan for the district with the assistance of the other relevant departments and expertise from development specialists

- Development is required in the sectors of housing / resettlements, community infrastructure, establish and improve livelihoods, sectoral development in fisheries, agriculture and micro enterprise, social development support such as health, education, religion etc. , high scale infrastructure etc.

- Firstly, the very basic needs such as shelter, livelihood and community infrastructure should put in place in order to allow people live a normal life with acceptable living conditions

- Later, the social factors and high scale infrastructure could take place

- It is indeed important to follow a community based approach to cut down costs, retain the money pledged on development activities within the community itself , to held community responsible for progress and sustainability of the community and to achieve economic boom and capacity development among communities by involving them in development activities

Operating framework of the organization drawn within the borders of mandates, policies and capacities

- UNDP being an organization in to development activities, stipulates certain parameters in its mandates on its involvement in development.

- While livelihoods, capacity building, micro enterprise etc. is fully covered by the mandate, the sectoral development in fisheries, agriculture, housing, community infrastructure etc. can be undertaken as long as they follow community approach that directly contributes to community development

- The UNDP programme for development in conflict and tsunami affected areas have been approved by the government for 3 years hence all progressing activities should be concluded in 3 years. Donor funds that have been pledged towards Jaffna district and on particular sectors should be strategically used for a total solution for selected communities and with in the stipulated time, cost and quality parameters

- As particular communities are identified for a total solution rather than many communities with partial solutions, selection of communities should be carried out carefully in agreement with the government. Community centered approach is

practiced as it will allow the project to be marketed to donors to attract more funds and also due to the limited capacity of UNDP to carry out district wide development at once

- UN coordination among agencies to achieve economies of scale

Role expected from and feasible for the organization in the project context

- Government wants UNDP Jaffna to involve in resettlements and livelihoods as UNDP has the capacity to coordinated different kinds of activities in all sectors having extensive field based experience in conflict affected areas and staff with diversified skills and district wide development

- Government also requires UNDP to carry out development efforts in sectors such as fisheries, agriculture etc. to back up sustainability of communities undergo development activities *(to which the case considered herewith falls in)*

- UNDP does not intend to implement district wide projects as UNDP does not have the capacity but to strengthen the government capacity to carry out development projects following the model projects implemented by UNDP

- UNDP prefers to concentrate on couple pilot projects of similar nature to earn economies of scale – best value for money and also to make them pilot projects

SWOT analysis

Strengths	Weaknesses
• UNDP is having a well established office in Jaffna with trained staff and structures • Local stakeholders have trust over UNDPs involvement in development activities • Experience and lessons learnt on already implemented micro finance projects • Sister UN agencies too have presence in Jaffna with relevant field experience • Availability of adequate financial resources to initiate substantive projects and also ability to attract more donor funds	• Tendency of using similar structures and work processes already implemented without looking at each project scenario as a new challenge • Relatively tight operational rules and bureaucracy of UNDP • Cultural norms on authority and seniority may affect operational structures
Opportunities	Threats

• Governments' willingness to support UNDP in any form of development • New markets opened	• Entry of new development agencies in the field with more flexibility in use of resources • Changes in security situation • Beneficiary accountability towards the project objectives being under risk due to incapacity of the beneficiaries and also due to external forces • Having strong government presence and strong work structures (than any other district in SL), UNDP is development activities are closely controlled and monitored by the government • Markets may be closed or non accessible due to security and political situation

OUTCOME - Strategic plan for macro context

District background

Geographical, demographical and social status of the district

Degree of damage

Other relevant data and mapping to indentify the development gaps

Resources in hand

A detailed analysis on financial resources in terms of the donors, time, sectors etc.

A detailed analysis of non financial resources such as human resource, experience, expertise, logistical capacity, legality etc.

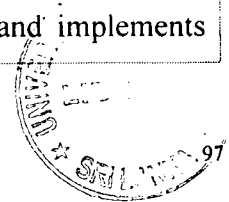***Sectors of development***

The match between government requirement and UNDP capacities

Approach to and areas of development

Community based development

Selection of areas / communities

Development of local government capacity to take over the project and implements

similar development projects in the future

Partnerships

Local government and central government

UN Agencies coordination

Other development agencies and implementing partners

Beneficiaries

External sources of supplies and services

Gaps and drawing board

Gaps identified and how to bridge

Areas not clear and needs refining while projects progress

Objective and outcomes

A community based approach on selected model communities to achieve sustainability of individuals and community through income generation / livelihoods through sectoral rehabilitation while ensuring economies scale, accountability and marketability and also increasing government capacity to support the communities in the long run

The macro strategic plan for Jaffna district established the need of community based development where by selected communities who are the most vulnerable were attended first with solutions. While such communities develop, the other communities who are less vulnerable were expected to be supported with the donor funds attracted through the projects implemented already. The government and other local partners were expected to build capacity to design and implement project, through the experience obtained in the implementation of the preliminary projects.

Having said above, most vulnerable communities in both the government controlled and LTTE controlled areas were identified and were vetted by the government. The communities selected were to be treated as model communities in each electorate. The local government structure established to support the project implementation was intended to support other communities too which were to follow the model community in the future. Moreover, implementation of the model project should build the capacity of the all relevant stakeholders involved in implementation of similar projects in the future in the

absence of UNDP/ a development agency. Also, it is very important to identify the cultures and norms of each community before designing micro strategic plans but not to implement standard projects with all communities.

UNDP Jaffna office being a very competent office with a lot of experience in the field on similar projects and also having adequate resources to implement projects, there were no gaps found in particular to be fixed before implementation of the projects.

Having the ground work ready to commence the project process, lets' move on to the second step of the evolution stage. Answering the basic questions such as,

- What is the cause for the project? Why development effort is needed?
- What is the status now?
- The project abstract

This step is an exercise more of a data gathering through observations, preliminary assessments and through previous studies carried on the same subject.

Project Life Cycle – Evolution
Step TWO – The project abstract
The cause

- Jaffna district though being a land surrounded by a lagoon which is very rich in marine resources, especially fish, had been facing a economic recession due to war for decades. Though the people in Jaffna somehow managed to fish for their day to day needs of the community, the resources that are adequate to feed a wider market have not been utilized due to poor security conditions and other barriers.

- Development efforts that are in place currently to upgrade the living conditions of the people in terms of housing, community infrastructure, livelihoods etc. do need to sustain in communities even after the development agencies hand over the projects to communities. The critical factor in sustainability of the newly developed communities and the individuals is the income they generate and the portion of income that they could invest upon sustainability.

- Fisheries is the most viable sector for income generation activities in Jaffna due to following reasons,

- It had been the trade and the skill of the people anyway

- Enormous catchment in north seas

- Fish is widely available

- Very low investment is required

- Less overheads

- Instant harvest

- Even though fish varieties are seasonal there is some catchment all the time during the year

- A potential market in south is opened and available

- Majority of the population in Jaffna live along coast sets the fact that resources could be accessed freely and easily

- The local government and certain private parties have been of support and there are systems in existence which sets the fact that development efforts do not need start from scratch

- A development agency would like to invest in a sector in which it can achieve economies of scale and fisheries being the trade that is widely spread in Jaffna such could be easily achieved

- The above stipulates the cause and justifies the approach in a project management perspective opening the way to proceed further

Preliminary assessment

- A preliminary assessment of data was carried out on data available with the local government and the agencies that carry out such data mapping to make sure that the communities selected at the strategic plan level are the most vulnerable.

- Preliminary assessment also established the approximate resources availability and the current conditions of the communities in concern.

- It also looked in to the resource availability if the organization to carry out the activities of the intended project.

OUTCOME – The project abstract

Ground condition of the community

- Still under war conditions on and off. Though areal firing is not common cross fires, claymores etc. are quite possible. Above may expose the project activities either at complete of partial risk in terms of poor access and damaging of work already carried out. Certain communities picked up for the project are anyway in very remote – uncleared areas.

- The no of suppliers who are willing to supply to those areas are minimal.

- Unlike many other Northern and Eastern districts of SL, Jaffna District had been under control and close supervision by the local government even through out the war. Therefore, communities have been in trade in all most all sectors though in a low profile. To support the sectors, government bodies have developed certain work structures and processes which have been of utmost help to sustain the trade at the current level. Therefore, UNDP has to be careful in designing the projects and processes to implement projects in Jaffna as there could be resistance to change of current structures. The changes may affect the other stakeholders too who are currently involved in the process and therefore should be considered in developing strategic plans.

- The project is not directed towards providing a total solution to the community but towards rehabilitating fisheries sector district wide through a community approach. Though certain communities will be selected to implement the model projects the development efforts eventually should rehabilitate the sector as whole. Therefore it is important to consider general climate of the trade while micro strategic plans are prepared for the selected communities.

- Project period is 12 months

Resources in hand

- Communities are at extreme poverty – no saving at all to deploy in development projects

- Though the community is not resourceful financially, they do carry considerable technical knowledge on the trade and conditions applicable. New technologies have to be introduced and people in Jaffna, by nature, are the most determined and dedicated towards betterment

- A structure though not the most effective and the efficient and not he most suitable for a development agency to operate, is available currently and could be made use of with changes

- Any kind of supplies and services are very limited and the ones available are of poor quality

- Organization has well experienced staff in field projects and motivated to implement projects even in the worst security situations

- A lot of donor money is available for the sector and there is potential to attract more money on successful implementation of model projects

- Logistics in accessing remote communities is an issue due to unavailability of appropriate communication equipment, lack of vehicles and poor road conditions
- Monitoring capacity of the organization and the government needs is limited

Next step in evolution stage is refine and reform the findings of the macro strategic plan and project abstract through an exercise of

- Real time needs assessments in the community
- Developing resources frameworks considering all stake holders

in order to develop the project concept.

Project Life Cycle – Evolution
Step THREE – Project concept
Real time needs assessment in the community

- As mentioned in the previous case, needs assessment is carried out by staff that has experience and expertise in such. A structure for needs assessment is drawn so that all areas in question are covered. All relevant parties are communicated with the structure of the needs assessment and their importance of participation in it actively. Also all the views will be treated with equal preference and importance
- The structure would be, firstly a survey carried out by
- A questioner to gather relevant information about the families and the extent of involvement in fisheries sector
- All families in the community to provide on financial and non financial resources they have in hand which could be utilized towards income generation
- All families in the community to come up with the contribution they receive from and contributions made towards the community in dealing with business
- All families in the community come up with the advantages and disadvantage of a community establishment of business over individual establishment of business
- Structures in place for fisheries support (Govt., Pvt. Sector, NGO etc.)
- Issues faced by the individuals who are already in business
- All families to come up with the alternative income generation options if they were not to do fisheries or of they think another option will make more profits
- Observe the strength of the community and opinion leaders while survey

Secondly, on summary and analysis of data,

- Present the overall picture to the community in terms of strengths, weaknesses,

opportunities and threats, for comments and further refining of requirement

- Give the development perspective of the organization why certain things can and cannot be done

- Decide on requirements, design the project, agree on sustainability activities

- Decide on implementation modalities in agreement with the community capacities

- Discuss work structure with the community in terms of responsibilities, authority, people in the structure etc.

Thirdly, wrap up the whole exercise with project management concepts to establish the feasibility of the project and the project direction towards achieving the objectives of the macro strategic plan

Resources frame work in terms of all stakeholders

As discussed in the previous case study, similar exercise will be carried out to map the stakeholders and the availability of resources with them. The steps could be,

- Identify all possible stakeholders

- Judge the resources, contributions, opinions, power and interest they have towards the project

- Model them in stakeholder analysis matrix to establish their importance, usage to the project

The above will put together the resource framework for the project which streamlines the project concept.

SWOT analysis

Strengths	Weaknesses
- Collective need for development • A community establishment is in place • Government and relevant parties have maintained a structure to support the trade • Individuals carry substantive technical skills and knowledge on ground conditions • Determination and devotion of people	• Individuals do not have adequate savings to contribute towards development • Over dependency and confidence of traditional fishing methods • Lost confidence of development agencies • Community guidance and leadership relies upon seniority rather than management skills
Opportunities	Threats
• Community is willing to invest on	• External sources who had been

alternative income • Willingness to take up production challenge of by products • Competition created by other communities • Willingness to share knowledge among the community and to the other communities	steeling the profits of individuals • Entry of other development agencies who could spoon feed the communities • Community may loose interest while the community base approach takes a longer time for results

In conclusion, the SWOT analysis established that the community has a lot of potential and base structure to absorb a complex development effort in fisheries sector and to be a model community among the other communities. While many of the threats and risks identified here can be eliminated and mitigated, the risks that will arise due to changes in security and political situation will remain severely affecting the project.

Cost – benefit analysis

Costs	Benefits
• Community needs to be trained on each and every aspect of the project where as private sector involvement would have resulted in more economical, high quality and speedy delivery • A longer project time is required for community approach • UNDP's involvement and administrative requirement is much higher in community approach	• All capacities build will retain within the community • Above will help community sustainability • Confidence building among the community on their capacity to survive on their own • The concept of model community will be well established with procedures and processes

In conclusion, community based approach is expected to bring a net benefit over the costs of not carrying out an open market development in a cost effective competent environment.

Stakeholder analysis

Low interest / involvement	• Communities which already had similar development efforts • Revolutionary groups and activists	• Other development projects in existence

High interest / involvement	• Neighboring communities • Private sector • Buyers • Other development agencies • Sister UN agencies	• Community / individuals • Local government entities • Development agency (UNDP) • Suppliers
	Low contribution / resource power	High contribution / resource power

The stake holder analysis identifies all stakeholders that could be of use and of non use and their capacities in positive and negative contributions. It is equally important to identify the stakeholders who could damage project image and disturb project processes as part of risk analysis.

OUTCOME – Project concept

Project and project location

Rehabilitation of fisheries sector in Jaffna

Project locations are 20 most vulnerable villages / communities along the coast across all administrative divisions of Jaffna. Each community has 50 – 100 families and fisheries have been the traditional and the main source of income. Communities and the trade have been severely affected by war lately though the communities have taken all their effort to keep it alive.

Project background

As discussed above, Jaffna peninsula is very rich with marine resources, especially fish but had been out of trade due to the war. While the communities suffer from restricted access and activity of income generation the catchment is retained rich due to under utilization. Although there are community and government structures in place to support the trade, external forces have taken the upper hand and retain the major fraction of profits.

There are many development activities ongoing in the district in the areas of resettlements, housing, community infrastructure, community services etc. and the demand right now is to develop sectors of trade ensuring livelihoods and income generation activities for the rehabilitated communities to sustain the development carried out already. In the essence of sectoral development, fisheries is considered to be the best trade to invest immediately due to resourcefulness, instant harvest, skills of

people, low investment required and potential new markets etc.

Present conditions

Despite the fact that the area had been severely affected by the war, the communities have somehow maintained the basic trading activities. Hence, they have developed skills in the trade while communities and the local governments maintain structures to support the trade. Since the northern part of the country has now been opened to the southern areas and to international markets as well, there is a new and wider market available for harvest. The communities could contribute in labor towards fisheries rehabilitation project with no opportunity cost as fisheries have been their main source of income generation anyway. Also, the community is looking for assistance of retaining profits for themselves which is the result of their efforts.

Project requirement

As per the analysis carried out of prioritizing the need of the Community, the following have been identified. All aspects of the fisheries sector should be covered by the project. Also the project should be designed in such a way that the project outputs are commonly applicable across the district. The project should involve other sister UN agencies in the areas where UNDP's involvement is restricted by the mandate. Also project should ensure maximum community involvement in order to establish the community ownership of the project which on the other hand contributes to capacity building and skills development of the community while maintaining the least costs. The components that will be covered by the project are,

- A work structure for fisheries rehabilitation activities
- Financial support to fishermen for fishing gear
- Availability of fishing gear in the area at easy access of the community and at easy payment schemes
- Infrastructure for fisheries such as ice factories, ice stores, freezer trucks, fish markets, boat yards, access roads etc.
- A market for fish
- Terms of fish marketing to retain fair profits with the fishermen
- Community strengthening through profits and further investment opportunities
- New technology and techniques for fishermen
- Capacity building of local government and community stakeholders for monitoring

sustainability and implementing similar projects with the other communities

- Project accountability measures

Project resources

- Expertise, experience and motivation of staff of the UNDP office
- Skills, techniques and technologies developed by the communities over a period and knowledge on ground conditions
- Sound relationship of UNDP with all stakeholders
- Presence in the field and proven project delivery in other districts
- Adequate funds from many donors to cover different requirements of the project
- Overhead costs of the project operation is covered by UNDP funds without burdening the donors
- Possibility of obtaining required supplies and services from nearby districts
- Availability of UNDP global procurement arm to handle heavy procurement activities
- Motivated community through participatory needs assessments and design processes
- Local government and community structures already in place to support the sector
- Collective effort of UNDP, government and community organizations on monitoring
- Support from sister UN agencies and other development agencies by taking over the components that cannot be undertaken by UNDP
- New market for fish opened up

Project result

Apart from the outputs given above, sustainability of the community on its own is the critical result expected. In a nutshell, certain physical and social indicators by which the poverty / living conditions are measured are expected to show reduced poverty rates.

Having the project concept compiled and vetted by the relevant parties, the exercise can proceed in to the next stage of the project life cycle, project formulation. Hereby, concept will be developed in to objectives, outcomes and outputs and further in to a strategic plan which consists of various parameters by which project performance should be guided and directed towards achieving project objectives. All steps of this stage will compose the end product – Project Proposal. This is the stage in which almost all project management concepts identified herewith play a major role in drafting various plans to implement the project.

The first step of formulation stage, project objective, is the detailed goal statement derived from the approved project concept. It is very critical to make sure that the project objective falls in line with the organization's strategic plan in macro context which was developed in relation to corporate objectives and development master plan of the district.

Project Life Cycle – Formulation
Step ONE – Project objective
- Project concept need to be vetted and approved by the senior management of the organizations and importantly by the development coordinator of the area. They would have concerns on the project and it may need to adjust the project activities etc. in order to solve the issues raised.   - The lessons learnt in previous projects helps objective setting itself and appropriateness and effectiveness of an objective in a big way. Therefore, it is advisable to carry out a business process re-engineering process before identifying and wording the objective.
Business process re-engineering
Options available to support beneficiaries - UNDP buying fishing gear for beneficiaries - UNDP giving money to beneficiaries to buy in the open market - UNDP giving money to beneficiaries and make the supplies available at discounted rates / easy payment schemes - UNDP subsidies the supplies - Community establishment subsidies the supplies - UNDP giving money to beneficiaries through community establishment - A revolving loan fund established with government /community establishment - Pooling supplies at community level for common use of the community - Supporting a community establishment and get the community work for the establishment on daily wages - Polling of resources and utilization decided and implemented by agents of the local government or by the government itself - Groups of families formed to pool individual resources and use above methods *Options available to market fish*

- Individuals selling fish in open market

- Individuals selling fish to a community establishment

- Community establishment set targets to individuals based on prevailing market demands

- Government buys the total harvest at standard rates

- UNDP buys the total harvest / or direct buyers towards the communities

Investment opportunities for beneficiaries / community establishments

- Profits earned by the beneficiaries are invested in day today needs

- A certain proportion of profits invested on advancing the fishing activities by the beneficiaries

- Pay back the loans

- Community establishment developing a loan capital to be spread out to more individuals or for a subsequent round of loans

- Community establishment investing on fixed assets / diversification

- Invest in increasing market scopes

All above options have been developed based on the experience gained and lessons learnt in implementing similar projects. Options worked out systematically will assist project development through business process reengineering rather than inventing a new process.

OUTCOME - Project objective

Rehabilitate fisheries sector in selected communities by providing basic support through fishing gear, infrastructure, skills and marketability through a community based approach by which community ownership is established for sustainability and also to build the capacity of the stakeholders to implement similar development activities across the district under government supervision and systems.

The next step in project formulation is to list out Outcomes / Outputs. The project objective will be decomposed in to tangible products and intangible results. Once the final outputs and outcomes are decided upon, specification should be built in to identified outputs and outcomes. Specified outputs and outcomes will be the base for deciding the inputs of the projects.

Project life cycle – Formulation
Step TWO – Outcomes / Outputs
Project requirements that were outline in project concept step in evolution stage should be reviewed at this stage. It may be desirable to add certain other components to the requirements or remove as a result of the concerns raised by the parties who approved the project concept.
OUTCOME – List of outputs
Project requirements identified at the project concept could be detailed in to more tangible and measurable outputs / outcomes as follows.

A work structure for fisheries rehabilitation activities

A structure for coordination of fisheries rehabilitation activities in the district. The parties who will be responsible for policy and decision making, implementing, monitoring, carrying out real time fishing activities etc. will be formalized while reporting and communication channels are laid down. It helps the district wide activities of communities, development agencies, private sector and the government follow and focus on the objectives of the macro strategic plan for the district.

Financial support to fishermen for fishing gear

Financial support provided could be two fold, firstly through direct financial support and by making fishing gear and related supplies available at discounted prices in the area at easy access of the community

Infrastructure for fisheries

Ice factories which could produce ice requirement for the harvest at peak

Mini fisheries harbors with breakwater, dock, ice storage, etc.

Access roads from harbors to main roads

Freezer trucks to transport fish to new markets

Facilities to produce by products as dried fish, tinned fish etc.

Boat yards to fabricate boats and repair boats and engines

Supply stores in which fishing gear, boat equipment etc. could be bought

A market for fish

The southern market that is already opened for northern fish, should be made accessible

to fisheries sector in Jaffna district. As the country situation will not move the buyers in south to north, northern fish products should be brought in to southern markets. Also northern catchment should be marketed in South and internationally to create awareness among the buyers. In short, making the products available in south and creating awareness about the products in south should be done.

At grass root level, fishermen too should be provided with a market to sell the fish harvest where success of the project is vested.

Terms of fish marketing to retain fair profits with the fishermen
In the immediate development activities, the project could consider to reduce the cost of the fishermen so that higher profit margin is earned. It will help increased investment in the trade itself which could make them self sustainable.

Moreover, the harvest buying and selling mechanism should distribute fair profits among the parties involved to make it viable for them to remain in the trade.

Community strengthening through profits and further investment opportunities
An adequate portion of the profits earned by all the parties should be reinvested in the trade to ensure growth and thereby, sustainability. Individual reinvestment could be directed towards paying back loans or for alternative income generation activities, filling up gaps or upgrading of fishing gear etc. Community reinvestment could be directed towards additional freezer trucks, improve facilities for by products, loan capital for more loans, fabrication of fishing gear, etc. by which more income generation and growth.

New technology and techniques for fishermen
Expertise could be brought in through professionals in the particular field. Moreover, on the job learning and lessons learnt within communities should be arranged.

Capacity building of local government and community stakeholders for monitoring sustainability and implementing similar projects with the other communities
This is one of the most important outcomes of the project given the fact that the projects discussed herewith are model projects. Model projects should build capacity and skills of the local government and the community establishments to implement similar

projects district wide to rehabilitate fisheries sector in the district as a whole. The work structure, controlling and monitoring mechanism, sales policy etc. should be decided with the basic idea that those will not be restricted to selected communities but widely applied to the all communities in the district

Project accountability measures

Accountability of financial and non financial support extended to various parties based on the results achieved and the process followed is vital to make sure that the action planned under the project are directed towards achieving project objectives

Handing over of the project to identified project partner

With the development of a work structure, a suitable partner/s will be identified to tale over the project on project completion. The identified partner/s will be responsible for post project action support, administering operations, monitoring progress, policy decisions, implementing similar projects across the district, coordinating fisheries rehabilitation activities of the district etc. The capacities and skills required to carry out he said functions will be built in to the identified partners as an integrated part of the project

The next step, Inputs will detail out the outputs and outcomes in terms of the resources required to arrive at the same. Inputs will be listed as means of Bills of Quantities or Statement of Work.

Project life cycle – Formulation
Step THREE – Inputs
Once the specifications are built for the outputs/outcomes it is easy to develop bill of quantities (for outputs) and statement of work (for outcomes) to identify the various inputs to the project. The expert staff in the UNDP offices can develop these with assistance from external expertise and government when required.
OUTCOME – Bill of quantities / Statement of work
Example : Ice Plant
Specification building *Requirement :*

- A flake ice plant which produces sufficient stock of ice to keep a two days harvest of all communities in the division

- A cold room to store a days ice production

- A building to house the ice plant and cold room with required facilities for inputs and 5 service staff

Specifications :

Specification for each above to be designed by the expertise based on the operational volumes

Bill of quantities / Statement of work / Request for quotation

- Civil work should be sourced through a Bill of quantities

- Services should be sourced through Statement of work

- Direct procurement should be sourced through Request for quotation

All carrying all terms and conditions of UNDP to ensure transparent and competitive bidding exercise

The next step in formulation stage is the Project Work Structure. As explained in the previous case, the Project Work structure is the overall structure by which the project is directed from top to bottom / bottom to top ensuring smooth operations of the project. A work structure will stipulate the working relationships, in terms of implementation, monitoring, reporting, communication, decision making etc. Stakeholder analysis carried out in the in the project concept step in evolution stage to identify resources could be detailed herewith to build working relationships. The interest and power matrix on the stakeholders can be used in identifying the work relationships based on their capacities and skills.

Project Life Cycle – Formulation
Step FOUR – Project work structure
The project discussed here aims at rehabilitating fisheries sector in model communities selected across the districts. Development efforts that will take place in model communities are expected to be spread out to the district as a whole at a secondary stage. Therefore, the work structure for this project has to be designed with a lot of care. The macro strategic plan for the district states that the policy, control and monitoring of

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the sectoral development in the district will be under direct purview of the local government and the central government departments in charge of the sector. Therefore, it is indeed very important to have the government intervention and involvement in managing the activities while community based approach is maintained in implementing planned development efforts.

Business process re-engineering

Lessons learnt on previous similar projects

- UNDP should not spoon feed the beneficiaries or community establishments by providing them grants, equipment, training etc. at no cost to them. It had always been a failure since the people in poverty satisfies day today needs from the provisions made as non repayable grants rather than using them for the purpose they meant to be.

- Above could be resolved through capacity building so that the beneficiaries and the community establishments could take action and held responsible for the development efforts.

- In case a community approach is decided upon and community ownership is needs to build, the activities should be implemented through the community establishment rather than individuals, expect to gather at a community level on receipt of grants.

- Projects with higher government involvement should be designed with due consideration on the protocols and nature of government engagement with the people

- Getting involved at beneficiary level imposes administrative burdens on UNDP as UNDP does not have adequate capacity to control and monitor activities of thousands of beneficiaries

- All parties being involved with the project should be held accountable for the provisions they receive and the result achieved. Designing the project work structure should build in authority with appropriate levels to monitor and audit the channels reporting to the particular level

- Rather than setting individual targets, beneficiaries, community establishments and government together should set common targets and drive towards achieving them in an integrated framework. Individualizing tasks and targets will not be able to carry the project to its second phase of rehabilitating similar communities in similar conditions.

Guidelines in designing the work structure

- No grants / free provisions to beneficiaries

- Though UNDP designs and implements the project, none of the parties are accountable to UNDP but to the superior parties in the work structure. UNDP follows the

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recommendations of those parties in processing the next benefits

- The structure should be a linked strongly together between the Government, Community Establishments and Beneficiaries. UNDP facilitates the process and support financially, technically and physically when required

- Community is empowered while individuals have certain roles to play in achieving empowerment

- Flexibility in base structure to adopt to different conditions, communities and cultures while all communities are vetted with equal rights and access to resources

Stakeholder analysis

Could refer to the stake holder analysis carried out at the project concept step and detail the required aspects accordingly

OUTCOME – Project work structure

- Project will be funded by a portfolio of donor funds covering provisions for micro financing, procurement, capacity building, skills development etc. Main resource of the community is labour and technical know how in fisheries sector.

- Project designs is UNDP's responsibility as they have the technical expertise but community concerns will always be given due consideration. But, all project components will be implemented by the community itself and will held responsible and accountable.

- UNDP does not have the capacity implement, administer and monitor operations at beneficiary level as there will be thousands of them facing complex but unique situations. Therefore, community society is formed form the community to regulate the activities of the individuals.

- Community society will be lead by a board elected through the people in the community. All individuals are members of the society. As all individuals views are equally heard at the society, they are all treated equally in terms of their contributions.

- Community societies in one administrative division will form a union with elected representatives from the communities under the body.

- The unions will the focal point for the government to consult on policies and terms of trade and the union should represent the common interests of the communities under the union. Once the basic structure is set, it is of the responsibility of the government to adjust and adopt the system to changing conditions in consultation with the unions and the UNDP.

- Resources provided by UNDP will be pooled at community society level. The

Community Society will make collective decisions with the beneficiaries how the resources will be allocated among them. Resources allocation will be more or less standardized among all communities leaving certain flexibilities to cater special circumstances in each community.

- **The mechanism of revolving loan fund**

The societies will identify the beneficiaries in the community and will take a stock of their issues in carrying out fisheries activities on daily basis. Community society will design a criterion to decide different levels of loans to beneficiaries. The total loan amount will be granted to the society by UNDP in two installments and similarly each beneficiary will receive their loan in two installments. Loans received by the beneficiaries should be utilized for the planned activities along with the personal contributions agreed upon. Income generated should be used as planned on repaying the loan, further investing on trade and for other requirements.

As mentioned above, UNDP grants funds to the society but the society loans out funds to the beneficiaries at a low interest. As the society does not have to pay back to UNDP and also, beneficiaries pay back with an interest, a capital is developed at the community level. A certain % of repayment and an accumulated capital is needed to be matched against the first installment for the community to receive the second installment of funds by which the beneficiary and society performance is tracked. The capital developed at the society could be used for further loans/investments as planned.

- Supplies such as fishing gear, fuel etc. will be made available at the society by UNDP at no cost to the society. Society will pool the resources that need to be shared or otherwise will distribute to the beneficiaries. In case certain activities require Pooled resources will be rented out at a discounted price so that beneficiaries are held liable for the usage. Income at the society will be added to the capital.

- Ice plants, freezer trucks, by product plants etc. will be made available at the society or union level based on the volume of operations. Fixed asset investment of this type will need society contribution as the project proceeds and the contributions should be made out of the capital developed. Mini fishing harbors and access roads will be the responsibility of the community society under union supervision. Labor required should be sourced among the community while expertise is provided by UNDP.

- Fish harvest of the beneficiaries will be bought by the society at set rates. A percentage of the harvest will be collected at union level to be marketed to different parts of the

island while the remaining % will be marketed locally by the society. Cost of the society and the union could be covered by adding a margin on products. Importantly, beneficiaries are guaranteed with a market for their harvest while the harvest is marketed beyond boundaries using the strength of unions.

- Monitoring and auditing will be carried out by the party above each level. Performance of the beneficiaries will be monitored and audited by the community society and the societies will be overlooked by the respective union. Parallely, while overall monitoring at all levels will be carried out by the government technical officers, UNDP will carry out random monitoring. Monitoring reports and audits of societies and unions once vetted by the government officers could be submitted to UNDP along with the request to proceed to next steps.

- All parties will be provided with skills and capacities to perform all the roles and responsibilities assigned to them. The increased and enhanced capacities are expected to help them in catering more beneficiaries and communities. Further capacity needed is expected to build on own funds earned while UNDP will support the balance.

- Technical support, on site supervision etc. will be done by technical personnel hired by UNDP.

- On completion of the project, following identified parties will be held responsible for post project action namely,

Government partner for monitoring progress, policy decisions, implementing similar projects across the district, coordinating fisheries rehabilitation activities of the district etc. focused on a management and auditing role

Fisheries union for post project action support, administering operations, monitoring progress, policy decisions, implementing similar projects across the district, coordinating fisheries rehabilitation activities of the district etc. focused on operational and representative role. They may seek assistance of the societies as required, to carry out the functions effectively

- Once the project is completed, UNDP should report to the Donor and the government.

The study so far has built up the objectives, output and outcomes, inputs and the work structures within the development parameters of the development agency. The next step in the formulation stage will put all above components together in to one integrated plan of work. The work plan is required to capture the all activities drive the project towards the achieving project objectives within set time, cost and quality parameters. The work plan will be the live document of the project direction and focus.

Project life cycle – Formulation

Step FIVE - Activities, responsibilities, budgets, quality and time frames – work plan

The project consists of many different outputs of which the activities too vary from one to the other. So it may not be practical to develop one work plan for all outputs but a couple based on the nature of the outputs. One work plan could be developed to cater similar type of activities of similar scope and scale. The aspects that could be looked in to in grouping are,

- Nature of the output / outcome – Micro financing, Minor infrastructure, Procurement of equipment etc.
- The people involved in carrying out activities / the placement in work structure
- Common pace / common inputs

Importantly, all work plans should be integrated on a common work plan which tracks the time and cost of all actions of the project.

Hereby, past experience in similar projects can be brought on to the table to categorize outputs for which one work plan could be developed. Out of the outputs and the outcomes of the project, the following logical grouping could be done to simplify the work plan process.

Value management

Value management principles and its application in a general non profit environment are described later in the study. As the cost benefit analysis established the benefit of a community based approach, value of this project will be established as the community strengthening, capacity and confidence building and economies of scale among simultaneous similar projects. Cost effectiveness and speedy delivery become secondary in achieving the said values. Al work plan activities along with their budget, time and quality should ensure values of the project.

Eg: Speedy, quality and cost effective supply of fishing boats through an established private boat yard is overridden by the value added in setting up, training, fabrication, trail and error experience of a community owned boar yard.

Time management

Interdependencies of the various outputs/outcomes should be identified before applying time management principles described later in the study. Similar activities in different outcomes/outputs could be carried out simultaneously to achieve economies scale.

Activities of the work plan should be carefully separated from each other and inter linked to each other based on the time they need to be completed successfully.

Eg: Procurement activities for all outcomes/outputs could be carried out at the same time and in consolidated bulk orders to arrive at economies of scale. Delivery of supplies could be scheduled as and when needed on sites to avoid stocking costs and risk of misuse of resources.

Business process re-engineering

In unique project concepts such as development projects, business process reengineering plays a critical role. The project management should list out past experience, both good and bad and the lessons learnt, relevant to the particular project and look at them through the ground conditions of the project in concern. This will assist the project management not to invent the project aspects again but follow what had already been there, but the once which are relevant and brought good results and also not to make the same mistakes again but improve. This should be well followed in developing work plans.

Eg: A similar exercise was carried out work structure step of this study.

OUTCOME – Work plan

Outcome / Output						
Activity	Qualitative description	Team	Monitor	Time	Cost	Adjustments
A1						
A2						

A risk plan is a very critical document in projects. The project in concern in this study being located in very volatile political and security conditions, an appropriate and updated risk plan is a very essential for project activities. All risks that are foreseeable should be identified with reference to the activities listed in the work plan. The risks, their consequences that effect project delivery and also the rectification action should be costed with time frames. Unforeseeable risk may be provided for as lump sum. Overall project risks identified through SWOT analysis and Cost benefit analysis carried out in the project concept step could be now detailed to link to activities of the work plans.

Project life cycle – Formulation

Step SIX - Assess risk and risk management – Risk plan

Risks of the project are assessed to be the following.

- Deterioration of the security situation which will halt all development activities by restricting movement and poor but costly living conditions
- Transporting fish harvest to southern areas will be held if the government decides to close the land links. Also, it is not practical and feasible to use air and sea travel for this purposes
- Trade union risks associated with community organizations
- Tendency of project funds being used for other purposes by the beneficiaries
- Accountability issues
- Conflict of interests between the parties involved
- Changes in the market for fish
- Suppliers of services and goods not being able to deliver the required inputs in site at the agreed cost, time or quality
- Burdens on profit by external forces
- Weather conditions / seasonal changes
- Change in donor concerns

The ways in which identified risks could affect the activities are analyzed in terms of the probability, extent and degree of effect on the project activities. It is then worked out the cost and time that is required to manage the risk. The Risk Plan being prepared against the activities of the work plan both plans could be integrated together.

The risk of deterioration of security situation and its implication to the project cannot be fully avoided but minimal survival action could be taken.

OUTCOME – Risk plan

Outcome / Output	A				
Activity	Risks	Monitor	Time	Cost	Adjustments
A1					
A2					

Evaluation Plan, which is the next step of the formulation stage, could also be integrated to the work plan provided that it is also built against the work plan activities. This would allow the project personnel to carry out evaluation process as an inbuilt part of the work

plan which will ensure continuous emphasis on project focus and direction. It will also ensure the regular and systematic evaluation process that covers the all aspects of the project.

For the purpose of monitoring it is critical that indicators are set which integrate outputs/outcomes and objectives. As physical and financial delivery can be seen and measured, indicators should always touch a third perspective, qualitative aspect of delivery. As the progress monitoring is carried through out the project, indicators too need to be set along project milestones.

Project life cycle – Formulation
Step SEVEN - Performance indicators and monitoring mechanism – Evaluation plan
While the indicators are related to the activities of the work plan, they should also monitor project progress and project process. The following are the indicators that need to be measured at the end of each activity. - Financial contributions made by the beneficiaries towards investments in trade and day to day life - Capital developed at community societies and unions - Capital deployed by societies and unions for investments and enhancement of projects - The confidence and hope of the community of a better future - Skills developed in the process and excess capacities gained than planned - Community ownership developed towards the activities through customization of activities by individuals, societies etc. - Involvement of children and women in the development process - Initiatives taken and suggestions made by the community to enhance the quality of the project - Delivery of inputs – timeliness, quality, returns etc. - Idling or short fall of resources – Labour, Finances, Raw materials, Technical capacities - Loan repayments rates - Possibility of increasing interests or reducing loan amounts - Production of by products and markets reached - Changes and adjustments in work structure

- Disputes and conflicts raised by the beneficiaries
- Bottlenecks and gray areas in the work structure
- Risks faced and managed within the risk plan and beyond the risk plan

The above indicators should be modeled with the activities to integrate evaluation plan in to the work plan.

OUTCOME – Evaluation plan			
Outcome / Output	A		
Activity	Indicator	Monitor	Adjustments
A1			
A2			

Post Project Action is the next step in the project formulation. Post project action in a sustainable development project is a very critical in making the project sustainable. As most of these projects are carried out in the field where the beneficiaries have very limited capacity to absorb development efforts rapidly, they should be supported during the post project period as well.

Though the post project action can be categorized as a separate project life cycle stage, an action plan has to be incorporated in to the strategic plan. This is not an attempt to identify the exact activities that need to be carried out during the post project action phase as such could be only figured out at the end of the project. The effort here is to identify the probable conditions of the community on completion of the project so that a provision of time, cost and resources could be made available to support post project action phase.

Project life cycle – Formulation
Step EIGHT - Post project action to ensure sustainability
Based on the outcomes and outputs of the project, probable gaps in self sustainability of the community and project ownership of the community in the post project period are identified as follows.   - Technical and resource capacity of the taking over partner to manage the project forward   - Community not being able to or not taking an effort to market its products and skills   - Other services and infrastructure that are not covered by the project affecting the

sustainability of the project

- The project not being adequately visible to the stakeholders for add on development effort

- Other development agencies approaching the community with different development concepts

- Necessity to have alternative income generation methods

- Incapacity or little investment opportunities faced by the beneficiaries, societies and unions to redeploy capital

- Deterioration of overall security, economic and living conditions which would drag down the community to vulnerability

- Potential well performing beneficiaries being restricted to the work structure or project limits

Outcome – Post project action
- Analyzing the project status in terms of above indicators
- Leaving a provisional resources and time period to attend to the issues, if required
Action and results could be designed at the post project action stage if any is required

Moving forward to the final step, all eight steps of the formulation stage will be summarized in the project proposal. This should be he live document of the project in which objectives, plans and performance measures are given. The document should be reviewed and revised on continuous basis to direct the focus of the project towards the objectives in changing conditions.

Project life cycle – Formulation
Step NINE - Project proposal / project document
The project tends to carry an extensive project document as it covers many different components of fisheries sector rehabilitation. Being model projects of this nature, the project document opens a door for more resources to be mobilized across the district. It is important that the project document is followed and the project report is prepared to warrant the successful achievement of project objectives.
OUTCOME – Project document
The project document which is considered to be the live document of a project will carry following components which too are maintained to be live in project implementation. - Project objective

- Outputs / outcomes that achieve project objectives

- Inputs required to achieve outputs / outcomes

- Work structure in which the stakeholder will be positioned for project operations

- Work plan/s developed based on outputs/ outcomes in reference to budgets, timelines, quality lines, roles and responsibilities

- Risk plan in line with the activities above

- Evaluation plan in line with the activities above

- Provision for post project action

Once the project document is complied with due attention to all necessary details, the project proceeds to the third stage of the project life cycle, Implementation. A comprehensive project document would not face many challenges in implementation but the project personnel have to be alert on all changing conditions and revise the plans accordingly.

Lets move in to implementation stage of the project life cycle with its first step, sourcing.

Project Life Cycle – Implementation
Step ONE – Sourcing
Sourcing and selecting implementing partners
Sourcing and selecting supplies and suppliers
Basic principles on above remain as same as per the previous case.
Value management
Values of a community based fisheries project   - Amount of resources retained in the community   - Community ownership developed   - Capacity and skills enhanced and newly added   - Empowerment of the beneficiaries and the community   - Investment opportunities developed within and outside the community   Above being the values that could be added in a sourcing exercise in a sustainable community development project, the sourcing exercise must ensure that values are achieved rather than costs are minimized
Cost benefit analysis
While developing selection criterion and actual selection of partners and suppliers, a

cost benefit analysis could be carried out measure the net benefit of each option available. Costs and benefits are not only the quantitative aspects that carry a price but qualitative aspects such as opportunity costs, impacts and images, political views etc, which could matter in the long run of the business of the parties involved and also the of the development agency itself.

OUTCOME – Sourcing

- The sourcing documentation consists of,
- Statement of work / Bill of quantities
- Contract terms and conditions
- Selection criterion and evaluation point schemes
- The selection criterion for implementing partners would be,
- Access to the project site
- Financial and administrative capacity of the partners
- Prior relevant experience in similar conditions
- The amount of resources could be retained in the community itself, through the operations
- The selection criteria for suppliers and supplies would be,
- Experience in supplying for similar projects in the same area
- Financial and administrative capacity of the supplier to manage complex procurement requirements
- The amount of resources that could be retained within the community
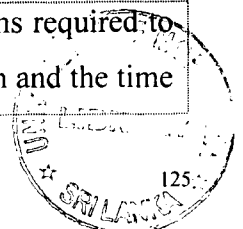- Reference from past clients

In this case, the government and UNDP had formulated a work structure in which community societies have been established as implementing partners together with the support and the monitoring of the unions and the government. Therefore, sourcing exercise is required only to source suppliers.

The next two steps of the implementation stage, deploying project inputs and progress could be carried according to the project document / strategic plan.

Project Life Cycle – Implementation

Step TWO – Deploying project inputs – Financial, physical, technical etc.

To be carried out with reference to the work plan. Any additional functions required to drive the project towards the objectives should be included in the work plan and the time

and budget factors should be revised accordingly. In overall context, provision for contingencies is expected to cover the add-ons. The risk should me monitored. The risks identified in the risk plan could be managed as planned. Other risks should be identified and managed strategically.

Project Life Cycle – Implementation
Step THREE - Monitoring progress against work plan and risk plan
To be carried out with reference to the evaluation plan build up on work plan and risk plan activities. As the indicators are linked to activities of the work plan and the risk plan, measuring performance through indicators could be linked to routines of the project.   In the case of the indications / measures being lower or higher than expected, it is vital to analyze the change and the cause of the change and also to rectify and adjust the work plan and risk plan accordingly. Changes in performance in terms of cost, quality and time should be documented to as organizational learning.

The project completion will mark the official closure of the project establishing that the outputs and outcomes have been achieved. The first step in the completion stage will ensure project delivery. Hereby, the project delivery will be measured and also will be compared with the strategic plan to establish the delivery matches with what was planned.

Project Life Cycle – Completion
Step ONE – Ensure project delivery
Measure outcomes and output through indicators
This the final evaluation process as the last activity of the evaluation plan carried out at the completion of the project. Since the project was subjected to continuous monitoring process coupled with rectification efforts, it is not expected see a variation at the end of the project.
Delivery compared against strategic plan
Delivery measured through the indicators will be then compared with the objectives set in the strategic plan. The comparison should not only be restricted to financial and physical performance but to social aspects. There could be certain additional criterion that could be accomplished along the project process which could add value to the

project. Those should be identified and incorporated in to the project reports.

OUTCOME – Project delivered

Project objectives achieved would be,

- Micro financing schemes have been granted and repayments completed and society levels

- All supplies/procurement agreed upon have been delivered with required quality and commissioned

- Technical capacities transferred to the community

- Capacity building and skills development expected at union and government level are in place to take over the already implemented projects and to implement the second phase of the project

- Construction undertaken is completed

- Capital is grown at society and union levels and reinvested as expected

- Work structure is revised and adjusted to suit the real time mechanisms and processes

- Individuals and societies empowered to explore and make use of new opportunities

- New markets have been explored for fish and by products and used

- Profits earned are retained with beneficiaries

- Community ownership is developed by involving community in the project extensively

Once the delivery is completed, the community should be aware of the project completion and that they should take over the project. This fact is built in to the project process in the formulation stage itself so that the project process itself will reflect the project ownership of the community rather than being made it known to the community at the project completion.

Sustainability of the project totally based on the owner of the project of the post project period as he should initiate, coordinate and implement post project activities. As described in the strategic plan, the responsible project owner is identified at the work structure and his/ their capacity is build to take over the project, as a part of the project. As he had been an active member of the project team in decision making and implementation, the taking over partners is intended to have the knowledge and know how on project activities, objectives and also the future of the project.

Project Life Cycle – Completion

Step TWO – Handing over the project

The government partner and the unions were identified as the taking over partners, with societies to assist as and when required. While government partner was held responsible for managing, auditing and coordinating role Unions were held responsible for operating and monitoring role.

Selection of the *government as the management partner* was based on the fact that,

- Political and bureaucratic authority to manage development activities in the district
- Planning secretariat develop plans and policies for development efforts
- Approves and coordinates the entrance and activities of donors and development agencies while directing them towards various development sectors
- Held responsible for all activities taken place in the district by the central government

Selection of the *unions as the operating partner* was based on the fact that,

- Leads and guides the societies in operational and administrative matters
- The desk at which the communities are represented, issues are voiced and solutions found with equal preference to all communities
- Less burdened with high level and grass root level operations but links both
- Ability to carry out standard processes in terms of general support, monitoring etc. being the coordinator and the central focal point for all communities of the administrative district
- Consists of community representatives who are well informed about the field
- Ability and well positioned to obtain support from both government and communities/ beneficiaries

Having communicated the above aspects on which the decision was made to appoint the above partners as taking over partners, the handing over of the project could take place.

OUTCOME – Handing over

Awareness

- Selection of the particular communities to receive the development project before other communities
- All parties to the project are made aware of the project completion
- What should be the responsibility of all parties towards rehabilitating the fisheries

sector in the district

- Parties made aware of the future development opportunities within and outside communities

- Partners being recognized for their valuable inputs to the project

- Community ownership of the project and that the prime responsibility of community sustainability lies with the individuals and the community societies

- Capacity and the confidence of the community society to take over and carry forward the responsibilities of the community

- The role of the government and the unions in the future as the management and operations partner and the support that could be expected by them

- The effort of the development agency and the other stakeholders in delivering the project

Handing over

- Handing over of physical project deliverables such as supplies, equipments and tools, vehicles etc. to the beneficiaries, community societies and unions as appropriate

- Relevant property papers etc.

- Handing over minor infrastructure such as mini harbors, access roads, fish markets etc. to the government

A completion report is a mandatory requirement for any project. A completion report will carry the financial delivery and physical delivery accomplishments in support of achieving the project quantitative objectives. A completion report will not support the qualitative objectives which need to be monitored over a period after project completion, especially the sustainability of the project.

Project life cycle – Completion
Step THREE - Completion report to stakeholders
Completion report puts together all findings and functions of the completion stage. As the project document states the project objectives, outcomes and outputs, plans and processes, the completion report could cover only the delivery.
OUTCOME – Completion report
• Physical and financial delivery   • Delivery compared with the strategic plan

- Variances in delivery with justifications
- Handing over of the project
- Visibility measures
- Status of sustainability / where the community lacks capacity for sustainability
- Further development required by the community / a brief on Post Project Action

A completed project should be made visible to the stakeholders in the market. Visibility helps the development agency to market its capacity to attract more funds. It helps the community to attract more development agencies for further development as the community will be considered as a 'capable community' to absorb development efforts. Also the project will set an example for other agencies and communities. The donors would be happy to see their money invested. Visibility helps the planning coordinator to make a stock of different communities with different needs. Therefore, it is important to have a strategic decision on how the project will made visible too all stakeholders in concern.

Project life cycle – Completion

Step FOUR – Visibility

The project being focused on district wise sectoral development implemented through model communities with the intention to apply the same principles on the other communities as well, the project should be made visible as much as possible mainly to donors. UNDP too could invite the sister agencies to integrate in to sectoral development activities within their mandates. In the case where initial rehabilitation is in place with communities generating income to sustain, advanced technologies and tools for larger scale fishing and alternative income activities could be promoted. The community had been the owners of the project through out and they too need to be recognized for their efforts. Therefore, community ownership and contribution made towards the project should be given due recognition to booze their morale in post project activities to ensure sustainability.

A simple cost benefit analysis could be carried out different visibility options available. The options are,

- A handing over ceremony at community level
- A paper article

- A press conference

- A visibility board

- A notice on planning coordination office

- A report to be published

- A fact sheet for stakeholders

- An article on global development sites

While all above has different resource requirements, a grand handing over ceremony in the presence of the UN officials, Donors, Government, Press and vulnerable communities will achieve all objectives above. While press will take the project and event to the market, a fact sheet could be developed with vital points to be incorporated in to future proposals, web sites etc. A cost benefit analysis stipulates that the cost of such event would be well worth with the market it opens up for UNDP and for the community.

OUTCOME – Visibility
- A handing over ceremony   - A fact sheet

General project life cycle will come to an end with the completion stage. But here with the study, a fifth phase too will be added to the project to take care of the post project period which is also a very critical stage in terms of ensuring the sustainability of the community.
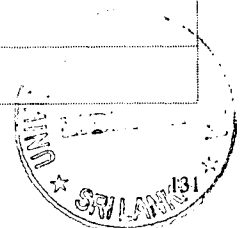
Project life Cycle – Post project action
Step ONE – Post project monitoring
Impact assessment
An impact assessment is carried out after a considerable time on completion of the project. An impact assessment would measure the achievement of qualitative objectives of the project such as participation of women in development activities, increase in income levels and proportion of income utilized for better life conditions, involvement of families in community development etc.   While the impact assessment exercise will establish the community impact of the development effort it will also establish the qualitative areas in which community need further guidance in being sustainable.
Post project monitoring on sustainability

While impact assessment will carry out a snap shot evaluation on achievement of qualitative objectives of the project, post project monitoring will be carried out continuously on the communities by community representatives with the guidance of the development agency. This exercise will make sure that the operational capacities developed within the community are put in practice and in optimum use. Also the monitoring will measure the new capacities developed, markets approached and development efforts initiated by the community itself.

OUTCOME – Post project monitoring

- Findings of Impact assessment
- Finding of post project monitoring

Project life Cycle – Post project action

Step TWO – Post project support for sustainability

The findings above will identify the gaps between the current situation of the community and their ultimate destiny. Based on that gap analysis, certain essential support in which the community needs the support of a development agency will be identified. This post project needs assessment will either lead to smaller work plan or budget that could be implemented during the post project period or will be the base document in developing a substantive project. Based on the sectors the project needs to take care of, the development agency can decide whether to implement by on it own as post project action, second phase of the same project, a new project or should invite another development agency to take care of the issues.

The SWOT analysis carried out in the project implementation stage can be further developed in identifying the action under above three categories.

OUTCOME – Post project support

- Post project action
- Second phase of the project
- Aspects that needs to be attended by another agency

Project life cycle – Post project action

Step THREE - Project report

Once the post project action too is implemented and the result achieved, final project evaluation could be carried out to support the project report. In the final evaluation,

achievement of quantitative and qualitative project objectives, sustainability measures and impact assessment should be carried out.

OUTCOME – Project report

The project report would carry information on the following.

- A summary of the completion report in terms of financial delivery, physical delivery and variances
- Impact created within the community
- Sustainability factor
- Post project action identified and carried out
- Objectives achieved
- Project hand over
- Recommendations for the future
- Visibility measures for the benefit of the project and the donor

Chapter SIX

Recap of research findings

The two case studies carried out established the applicability of project management tools in designing and implementing donor funded, community based, sustainable development efforts, in real life situations.

The case studies identified the background of the projects, the actual implementation efforts of the development agency, the feed back of the project success from the project staff, beneficiaries and development coordinator. It convinced the writer on the issues, lack of planning and loopholes of the project already implemented. Having the ground work in place, the study was carried out applying the project management concepts on the same case scenario, emphasizing and establishing the ways that the project could have been improved in all its stages.

Though it is evident that a procedural change in development efforts too is an essential at this point, such will not take place in near future as it requires a lot of thinking and contribution from all players in the development sector, especially the government. Therefore, it was assumed that the procedural flow will remain the same for a substantial period of time.

Recapturing the exercise, let's summarize the process flow of a project and the application of project management tools in each process. Importantly, the process will be drawn in line with the procedural flow in practice in the current development industry / context.

6.1   Process flow aligned with procedural flow

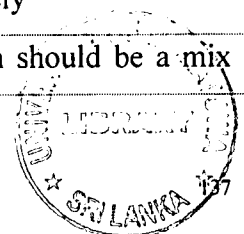| Evolution		
Step	Activities	Project management concepts
ONE	Development master plan A strong and approved master plan for development efforts in a particular area / community to ensure	• Stakeholder analysis will identify all stakeholders, their interest and inbuilt resources • Project life cycle will segment the

	all development activities are geared towards one direction, focused and not repeated.	development process in to manageable stages and regularize and harmonize the activities
	Agency's role in development A discussed agreement on the contribution that is expected by each agency in particular area / community towards achieving the objectives of the master plan	• SWOT analysis will look in the areas where the agency can make a strong contribution while expanding its scope of activities and also in line with corporate objectives • Cost benefit analysis will stipulate how best the capacities of the agency can be utilized for community's and own benefit
	Macro strategic plan Agency's objectives and plans in ensuring the contribution stated above in the individual framework of mandates, polices and resources	• More operational concepts such as time management and value management could be of help in detailing the strategic plan
TWO	The cause Why a development effort is required Preliminary assessment What is the current condition and status of the resource availability	• This area of the project is more of a data gathering of the existing situation. Unless it is required to make decisions on accessing, retrieving and processing data in to information, project management concepts do not play a major role
	The project abstract A justification to initiate a project and the current potentials	
THREE	Needs assessment What are the needs of the community	• Stakeholder analysis will identify all stakeholders, their interest and inbuilt resources
	The resources framework What are the resources that are currently available and used and also, what more resources can be allocated. Resources could be financial, physical, social, technical, political	• SWOT analysis will look in the areas where the agency can make a strong contribution while expanding its scope of activities. It will also restrict the agency in the areas that it cannot be operational.

	etc.	• Cost benefit analysis will stipulate how best the capacities of the agency can be utilized for community's and own benefit • Stakeholder analysis will identify the parties that would contribute positively or negatively to the project
	The project concept What will be done by the project out of what is needed and through which resources	• A project life cycle will help the project to be logically and sequentially presented

Formulation		
Step	**Activities**	**Project management concepts**
ONE	Project objectives Based on the project concepts, project objectives could be built which are the ultimate purpose and focus of the project activities and the resources	• Project life cycle should be looked at this stage to ensure the project period in reaching objectives fits in to donor agreements etc. • Business process re-engineering concepts helps make use of past experience in similar projects in creating objectives
TWO	Project outcomes/outputs Measurable or tangible results by which the project objectives are materialized	• As outcomes and outputs are measures through indicators, it is important have these identified with different stages of the project.
THREE	Inputs Are the schedule of payments, supplies, technical competencies, man hours, institutional knowledge etc. that are directly deployed for the project and which have a cost impact towards the project. It is important to	• Value management and time management play the key role in sourcing inputs to make sure the most effective, efficient and economical mix of inputs

	be ready with the inputs or sourcing of inputs at the commencement of the project or in accordance to the work plan.	
FOUR	Project work structure The working relationships, communication and reporting channels and the hierarchical responsibilities established in order to ensure smooth work flows	• Stakeholder analysis that drills in to capacities of stakeholders, Value and Time management which fix the operational framework and also business process re-engineering which strategically brings in past experience and functional efficiencies equally helps in setting up work structure
FIVE	Activities, responsibilities, budgets, quality and time frames – work plan Details out the activities in sequential order, which is responsible, how much would it cost, what is the quality expected and how long it will take will be the basics of the work plan. A work plan is the framework in which the project progresses, directs and redirects the project towards the end results.	• While the concepts and analysis above will develop the activities and the responsibilities, Value Management and Time Management concepts will develop the budgets and time frames of the work plan • Business process re-engineering helps the project to achieve economies of scale through internal benchmarks by emphasizing the fact that it is not required to re-invent the wheel
SIX	Assess risk and risk management – risk plan An assessment of risks, threats and contingencies, their cost to the project, effect on timelines and quality of the project are identified and listed with possible action to mitigate the damage to project delivery.	• Internal and external risks of the project could be identified through a SWOT analysis and the cost of the risks could be quantified through cost benefit analysis. The most important aspect that is both analysis are carried out and the risk plan is updated continuously
SEVEN	Performance indicators and	• An evaluation plan should be a mix

	monitoring mechanism – evaluation plan Importantly, performance indicators should be measurable and/or tangible. They should link the objectives and outcomes/outputs. Indicators that could be monitored through out the process at the end of stages / steps serve the purpose better and ease the monitoring process.	and match of the thinking process and conclusions arrived at in developing the work plan
EIGHT	Post project action to ensure sustainability A close monitoring exercise carried out through the project period and after, to stipulate the ability of the community sustain on its own. Though a provision for activities, cost and time could be included in the strategic plan, details could be developed in a separate stage.	• This is more of an assessment carried out on social indictors and should be carried out by experts. But if an extension is required, that has to be treated as a separate project process and dealt in a full process flow
NINE	Project proposal / project document The formal document which carries project background, justification, resources framework, project concept, objective, strategic plan, inputs and post project action.	

Implementation		
Step	Activities	Project management concepts
ONE	Sourcing and selecting implementing partners Identifying the implementing partner who is the best to implement the project and the selection is made	• Deciding on method of sourcing and evaluating the partners / suppliers / supplies is heavily dependable on value management, time management and cost benefit

	based on the procurement rules of the agency. It is a must to follow the same to emphasize on the transparency and accountability of the project, to it donors.	analysis concepts. These concepts will ensure the accountability and transparency requirements of the organizations
	Sourcing and selecting supplies and suppliers Procuring selected supplies through selected vendors on a complete procurement process carried out with accountability and transparency as per procurement rules of the agency.	
TWO	Deploying project inputs – Financial, physical, technical etc. Inputs identified in the strategic plan is made available to the parties in need at the given cost, quality and time.	• As per the work plan
THREE	Monitoring progress against work plan and risk plan Continuous assessment of work and risks as per the indicators outlined. Assessments should be regular and random as well.	• As per the evaluation plan

Completion		
Step	Activities	Project management concepts
ONE	Measure outcomes and output through indicators As laid out in the evaluation plan, indicators should be measured and delivery rates should be calculated.	
	Delivery compared against strategic plan	

	Delivery rates should be compared with the strategic plan and any variance should be justified or completed, before concluding the project completion.	
TWO	Handing over the project As laid in the strategic plan, a completed project which is ready to be handed over to the party identified should be handed over with vetted responsibilities.	• Even though the handing over mechanism is worked out and included in the strategic plan itself, it is advisable to carry out a cost benefit analysis and a stakeholder analysis at the completion of the project as the conditions would have been changed
THREE	Completion report to stakeholders A completion report should be prepared based on delivery and handover but not a project report where post project aspects also can be raised	
FOUR	Visibility Project visibility efforts should be decided to promote the project, the agency and the donor. This is very strategic as all stakeholders are benefitted by the appropriate visibility methods.	• Business process re-engineering that make sue of past experience and benchmarks would help in visibility decisions

Post project action		
Step	Activities	Project management concepts
ONE	Impact assessment An intangible aspect measures through a survey and through certain indicators. Achievement of objectives of agency strategic plan and	• Is an expertise

	development master plan are established through this.	
	Post project monitoring on sustainability This is a continuation of the evaluation plan extended to post project stage. It will look in to needs of the post project period.	• As per the evaluation plan
TWO	Post project support for sustainability If the impact assessment and the evaluation plan activities stipulate the need of extra support to the community on post project stage, such should be planned and carried out.	• As per the strategic plan or in case an extensive development efforts are required, anew project process should be initiated
THREE	Project report Compiles project completion and post project aspects of the project. It also outlines any agreeable support / extension of project required by the stakeholders.	

Having the project management concepts aligned with process and procedural flows, lets' recap and summarize the core links between project management aspects and a non profit development project.

6.2   Linkage between project management tools & development projects

Project life cycle

The most important aspect identified and introduced herewith is the FIFTH stage of life cycle of a project. Profit making projects do tend complete the project with four stages while development efforts, especially sustainable development efforts, tends to proceed to a fifth stage of "Post Project Action". Development efforts that are completed and concluded at the end of physical and financial delivery have shown a total failure in the long run. The very reason for post project failure is that the very vulnerable communities in concern were just left behind with the outcomes and outputs of the project without

unattended in the time to come. They do need the support to take few more steps forward in the livelihoods to make sue of the project outcomes / outputs in a useful manner. So it was very evident that a fifth stage should be introduced to monitor sustainability of development efforts.

Other than the above fact, typical project life cycle concepts could be easily applied to segment projects in to meaningful and manageable stages, which smoothens process and make it user friendly.

Stake holder analysis

Most profit making projects are targeted at an able clientele in which the individuals are more or less the same in social, financial etc. status. The stakeholders of a profit making project is relatively limited and easy to handle. On top of that, there is a price to the product which creates a give and take transaction or in other words, bargaining power of both parties established the transaction.

The development projects have a clientele who lives in very poor living conditions and has no bargaining power. The no of stakeholders are very high and their expectations and interests too are very vivid. Moreover, product has a cost but no price and also of immense value for the client.

Given the situation, it is very important that all players in a development projects are heard, responded and also the maximum contribution is absorbed to the project. It will help the project to deliver the most valuable product.

SWOT Analysis

SWOT analysis in both project types, profit making and non profit making, are equally based on internal and external aspects. The differences would be that the no of times a SWOT is required in a profit making projects is much less than the in a non profit making projects. The reason for this difference is that unlike the profit making projects that take place in more controlled environments, non profit projects take place in very volatile environments.

Also, a SWOT of a non profit making project would carry more socio cultural parameters while a profit making project would carry more financial parameters. But the importance of a SWOT and the application is very similar in both project types.

Cost benefit analysis

As of SWOT, the application of cost benefit analysis is the same in both profit making and non profit making projects. But as non profit making projects work with the end product not having price but a cost and a value and also the projects are targeted at social development, the sole challenge is to identify and quantify the costs and benefits of a project.

Every development project is very unique unlike the profit making projects that do carry repetitive processes or same or similar processes that of another project. Therefore, it had proven that past experience, lessons learnt, technical know how in the field and benchmarks etc. are very valuable in a non profit projects.

Value management

As discussed, deliverables, outputs and impacts of a development projects could not be easily quantifiable and measurable as in a construction, manufacturing or a commercial project due to very reason that the development projects do not drive towards output of that nature. Outputs, deliverables and impacts of the development projects are geared towards uplifting economy, upgrading the quality of life of people / community or improving livelihoods etc. and also across a period of time. Simply, the unit based instant outputs of commercial projects are replaced by entity based long spanning impacts of development projects.

In such projects, value management concept could be enormously utilized as it stipulates a value of the output rather than the cost of making it. Value based decisions are the most suitable in development projects as they are by nature do not fall in the basket of 'least cost – most profitable' but in the basket of 'value for money and most sustainable'.

The value of development outputs should be measures across the life of the output until it reaches the stage of sustainability. The most sustainable projects will be the most valuable project in development sector and the cost and the time will not be constraints in arriving at the most valuable output.

It could be considered that value management concept is originated for non profit making projects rather than for profit making projects.

Time management

The application of time management concepts in non profit making projects is as same as in profit making projects. The only difference that could be seen between the two is that even though a non profit making project stipulates a time frame for delivery of project objectives to attain economies of scale, it is always considered as flexible within certain limits if it is proven that the time adjustment adds more value and sustainability to the project.

Also, the occurrence of time adjustments are more frequent in a non profit making project than of profit making project as it does not operate in a controlled environment. A change in weather, change in security status, change in local government etc. all could add up to time adjustments in a nonprofit making project. But, importantly, all adjustments should be well justified and accounted for while the new time plan should be strictly followed.

Business process re-engineering

This is the concept by which the past experience is strategically and creatively used in new projects.

While it helps the profit making projects to attain economies of scale through functional efficiencies it helps the non profit making projects to utilize the knowledge gained in similar situations.

On the other hand, it prevents project being repeated in the field with the understanding that the ground conditions and project requirements are same as of another project. This is one of the reasons for the projects failed in the field. It is important to identify even the minute difference in ground condition and cater to that. Business process re-engineering will help in realigning the process for new conditions rather than reinventing the wheel.

Chapter SEVEN

Conclusions and recommendations

As discussed under recap of research findings, while suggesting that the procedural flow & the process flow of the donor funded community based sustainable development projects should be aligned on an harmonized operational platform & also to be innovative in finding linkage between project management tools & development projects, the conclusions & the recommendations will capture & summarize the application of project management in said environments.

Conclusions will establish the core of a community development project & the generic model for application of project management tools on the same.

Recommendations will establish relevant theoretical & behavioral management aspects on top of the techniques discussed, which will ensure a sound, ethical & growing management practice.

7.1   Conclusions

In a nutshell, the following critical factors are identified in a donor funded, community based, sustainable development projects to straighten and streamline the application of project management concepts.

- **The scope**

  What can be undertaken by the project from a basket full of requirements?

- **Work structure**

  How to ensure accountability and authority while building work links

- **Operations**

  The balance between cost, quality and time

- **Community ownership**

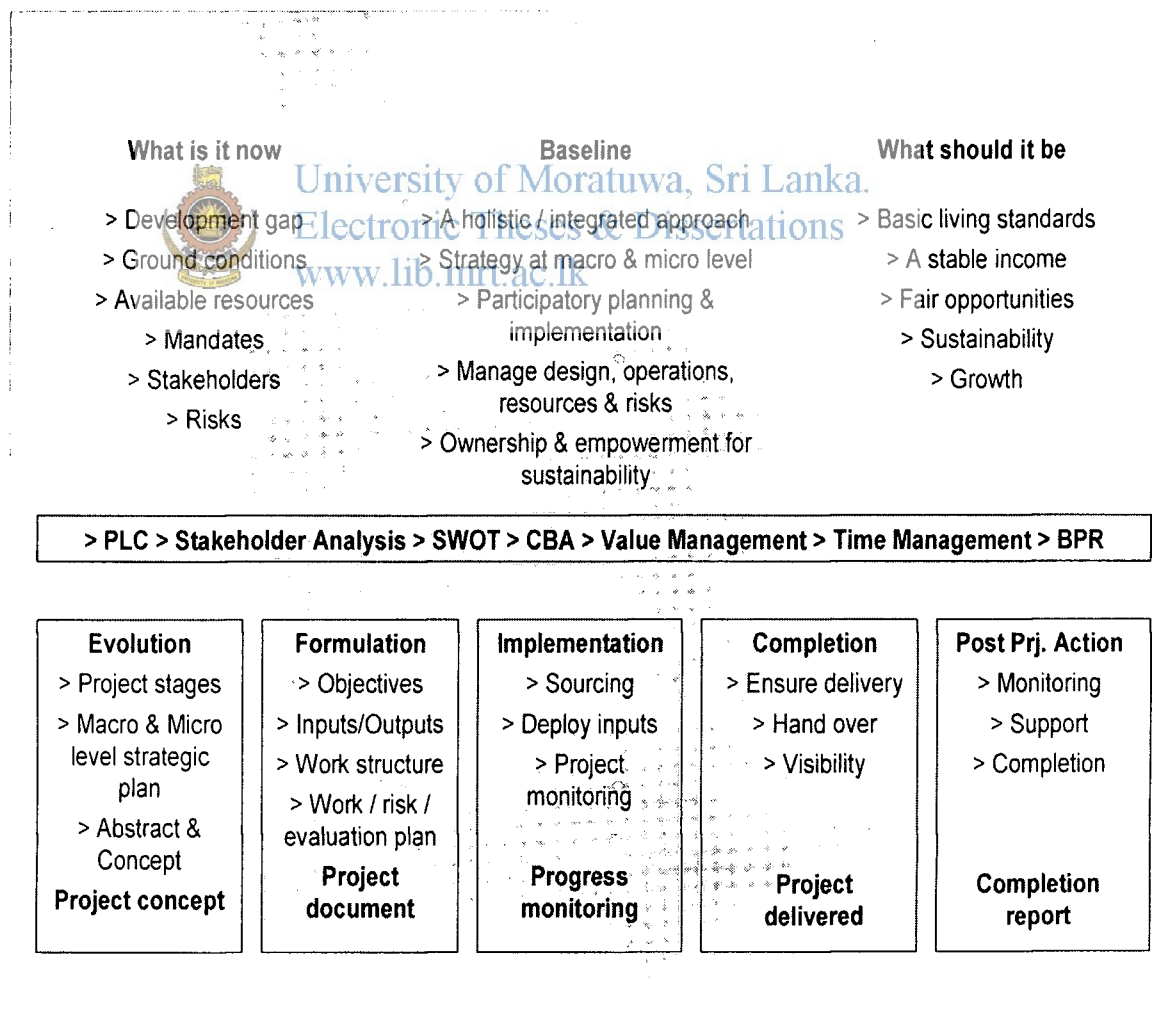How to make the community the owners and responsible party of the project

- **Sustainability**

  A step up in the development ladder

Moreover, while applying the model on the two case studies, the need of addressing 'What is now' and 'What should it be' was identified to make the model more meaningful. Therefore the model was revised to incorporate the same. Finalized form of the model could be graphically presented as follows.

Illustration 04:
Generic model to facilitate application of project management tools on donor funded community based sustainable development projects

What is it now	Baseline	What should it be
> Development gap	> A holistic / integrated approach	> Basic living standards
> Ground conditions	> Strategy at macro & micro level	> A stable income
> Available resources	> Participatory planning & implementation	> Fair opportunities
> Mandates	> Manage design, operations, resources & risks	> Sustainability
> Stakeholders	> Ownership & empowerment for sustainability	> Growth
> Risks		

> PLC > Stakeholder Analysis > SWOT > CBA > Value Management > Time Management > BPR

Evolution	Formulation	Implementation	Completion	Post Prj. Action
> Project stages	> Objectives	> Sourcing	> Ensure delivery	> Monitoring
> Macro & Micro level strategic plan	> Inputs/Outputs	> Deploy inputs	> Hand over	> Support
> Abstract & Concept	> Work structure	> Project monitoring	> Visibility	> Completion
Project concept	> Work / risk / evaluation plan			
	Project document	**Progress monitoring**	**Project delivered**	**Completion report**

6.3   Recommendations

It had come to the final stage of the study where by writer intend to conclude the study with the recommendations.

The study identified and introduced a generic model of project process and procedures and also the project management tools that could be adopted in each stage. While the generic model generalized the application and the benefits of application of project management concepts it also looked in to the differences of application of the concepts in a non profit environment than in a for profit environment. It was felt that there are other perspectives or rather behavioral aspects in project formulation and implementation other than mere processes and procedures and the theories applied, which will be helpful in a project management exercise. Those will be recommended by the study to ensure a successful project management exercise in the field.

In terms of theoretical management aspects, following is recommended.

- Carrying out a project management exercise that falls in line with the process and procedural flows of a donor funded, community based sustainable development projects
- Strong strategic plan in place and project driven toward its objectives guided through the strategic plan
- A live risk strategy to challenge the extremely volatile ground conditions, which otherwise would have affected project delivery
- Continuous monitoring and evaluation to have the project on right direction and at right pace

In terms of behavioral management aspects, following could be recommended.

- Effective communication tools and efforts to communicate the project to all relevant stakeholders
- Regular and planned brainstorming sessions with all stakeholder groups
- Respect views of all and but make decisions collectively
- Stress conceptual learning of project management
- Hand on learning, knowledge building and sharing among the work groups
- Have your own benchmarks through experience

- Develop your own management style which best suits the context
- Be alert on risks and contingencies rather than wait until they damage project delivery
- Willingness to accept extra efforts to face difficult situations
- More than anything, has a piece of mind that someone in need of you is waiting out there for your immediate assistance.

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Annexure

A1   Questioner to identified stakeholders

Since the study analyzes a process than one single variable, it was critical that detailed and descriptive answers with facts and examples are gathered. Therefore, rather than hundreds of YES and NO questions, lesser no of questions were raised requiring a lot of explanations and examples.

A	Objectives
1	Did you understand the objectives? Precise or Vague?
2	In your opinion, is that what is in need?
3	Do you know the corporate objectives? Were the project objectives in line with corporate objectives?
B	Communication and awareness
1	What didn't you know about the project?
2	In your opinion, who else was not well informed on what areas?
3	What extra strength did effective communication brought in to the project?
C	Risk management
1	Was there a risk plan? Who updated it?
2	What risks that you foresee were not considered in the plan?
3	Were the risks tackled in advance or waited until occurrence?
D	Physical compliance and delivery
1	What constraints were faced in reality than planned?
2	What additions made to the project than planned?
3	Was the supplies received on time?
E	Financial compliance and delivery
1	Was the money spent worth the project?
2	Where did the budget and actual vary?
3	Was the cash received on time?
F	Time management
1	What areas were slowed down / paced up than planned?
2	Have you seen the time plan? Who maintained the time plan? What contribution did

|	
	it make towards the project?
3	Who idled, when and why?
G	**Quality of the product**
1	In your opinion, which input was over / under than required quality?
2	If there is a quality variation, what was the cause?
3	Who, how and when the product quality was monitored?
H	**Sustainability**
1	Was the community confident to stand on their on project completion?
2	What had project in its plan for post project period?
3	What do you think will be the living conditions of the community in next 6 moths, 2 years, 5 years and 10 years?
I	**Impact on the society and the people**
1	What was the immediate change you noticed in the community?
2	What are the opinions / efforts of the community towards developing the community than own self?
3	Who and when the detail impact assessment carried out on social indicators?
J	**Self satisfaction on the role played**
1	Was your view heard and respected in the work structure?
2	In you opinion, you would have contributed more or you exploited as a resource?
3	Did you learn anything new and did you share what you learnt?
K	**Lessons learnt**
1	What was planned well but went wrong? What was not planned yet went well?
2	Were the lessons learnt in similar projects helpful in this? How?
3	Are you stronger with the ideas than when the project started?
L	**What's next**
1	What would you do next?
2	What would the project do next?
3	Did anyone / you brought in ideas on future steps while project in progress?

A2   Project management concepts applied in the study, in brief

The following are the project management concepts identified and applied in the study and are discussed in brief herewith. The purpose is just to facilitate some theoretical reference for the reader.

- Project life cycle
- Stakeholder analysis
- SWOT Analysis
- Cost benefit analysis
- Value management
- Time management
- Business process re-engineering

1   Project life cycle

***Illustration   : Project Management Life Cycle comprises four phases.***
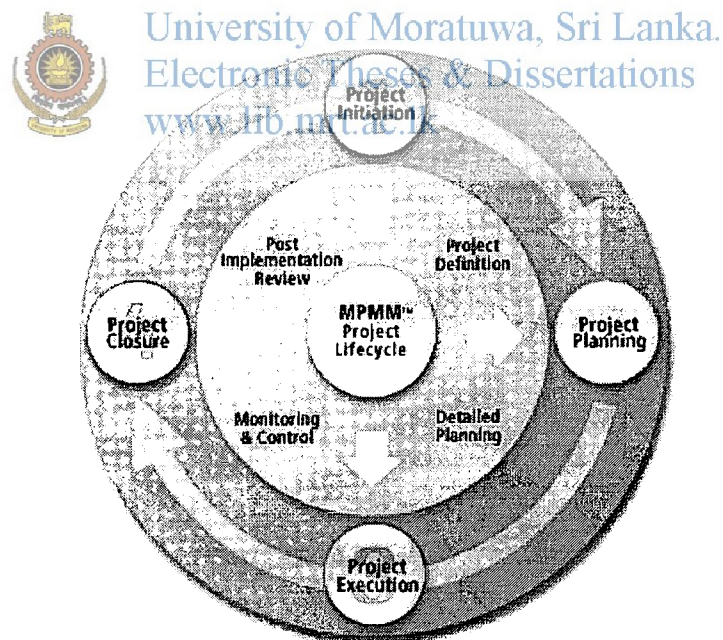
Project Initiation

Project Initiation is the first phase in the Project Life Cycle and essentially involves starting up the project. You initiate a project by defining a business case through its purpose and scope, the justification for initiating it and the solution to be implemented. A

feasibility study should be carried out as well to establish the scenario that the project is just worthwhile to be implemented. You will also need to recruit a suitably skilled project team on agreed terms of reference, set up a Project Office and perform an end of Phase Review.

Illustration *: **The Project Initiation phase involves the following six key steps.***
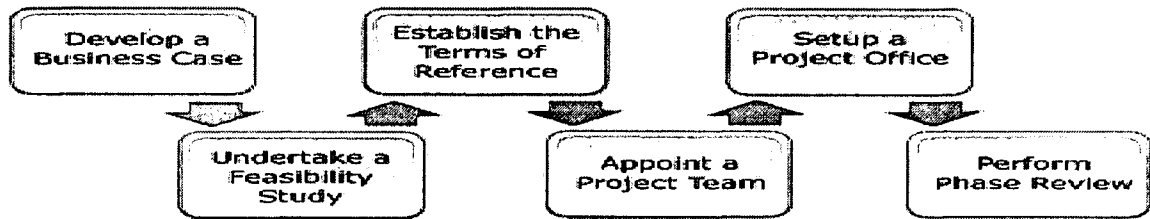
Project Planning

After defining the project and appointing the project team, you're ready to enter the detailed Project Planning phase. This involves creating a suite of planning documents to help guide the team throughout the project delivery. In this stage the project team will be involved in setting out the road map for the project by creating the following plans.

Illustration *: **The Planning Phase involves completing the following 10 key steps***
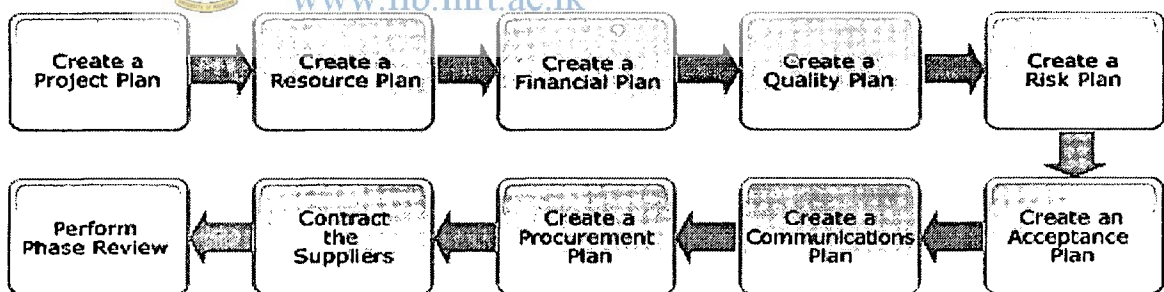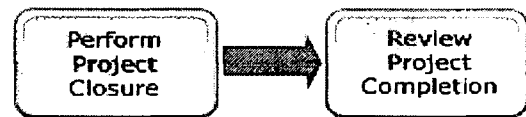

Project Execution

With a clear definition of the project and a suite of detailed project plans, you are now ready to enter the Execution phase of the project. This is the phase in which the deliverables are physically built and presented to the customer for acceptance. While each deliverable is being constructed, a suite of management processes are undertaken to monitor and control the deliverables being output by the project. These processes include managing time, cost, quality, change, risks, issues, suppliers, customers and

communication. Once all the deliverables have been produced and the customer has accepted the final solution, the project is ready for closure.

Project Closure

Project Closure involves releasing the final deliverables to the customer, handing over project documentation to the business, terminating supplier contracts, releasing project resources and communicating project closure to all stakeholders. The last remaining step is to undertake a Post Implementation Review to identify the level of project success and note any lessons learned for future projects.

Illustration   : Project closure process

Illustration   : Project execution process
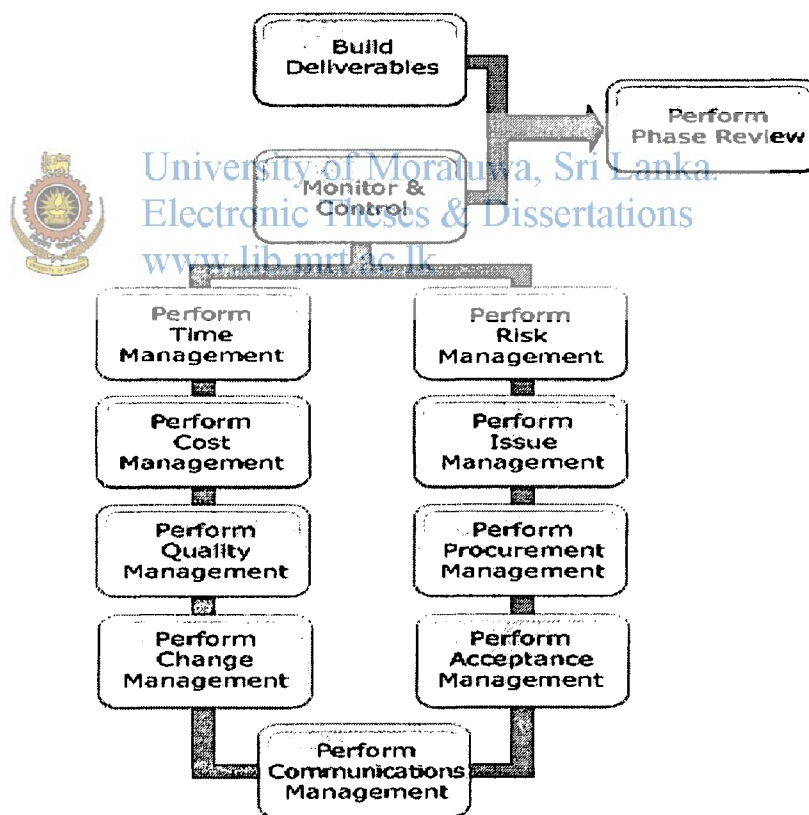
2   Stakeholder analysis

Stakeholder analysis is one of the recent developments in project management concepts but is very vital, especially in development projects. It's not only about how best to deal with the stakeholders but how best they could be utilized in the project activities to have

their maximum contribution made towards the project. Therefore, it is said that the stakeholder analysis is the 'Winning support for your projects'.

- Using of the opinions of the most powerful stakeholders to shape the project at an early stage. Not only does this make it more likely that they will support the project but their input can also improve the quality of your project

- Gaining support from powerful stakeholders can help the project to win more resources - this makes it more likely that your projects will be successful

- By communicating with stakeholders early and frequently, the project can ensure that they fully understand what the project is about, its functions and understand the benefits of the project - this means they can support you actively when necessary

- You can anticipate what people's reaction to the project may be, and build into the plan the actions that will win

Stakeholder Mapping

The first step in Stakeholder Analysis is to draw up the stakeholder map. Here by, the stakeholders of the project should be identified. As part of this, all the people who are affected by the acts of the project, who have influence or power over it, or have an interest in project success or failure should be counted in. Further, it should be noted that he correct individual stakeholders within a stakeholder organization is identified since it will be people that a project will deal with even in an organizational capacity. The long list of people and organizations that are identified as the stakeholders should be categorized on a power / interest template classifying them by their power over your work and by their interest in your work. This analysis is recorded on a stakeholder map.
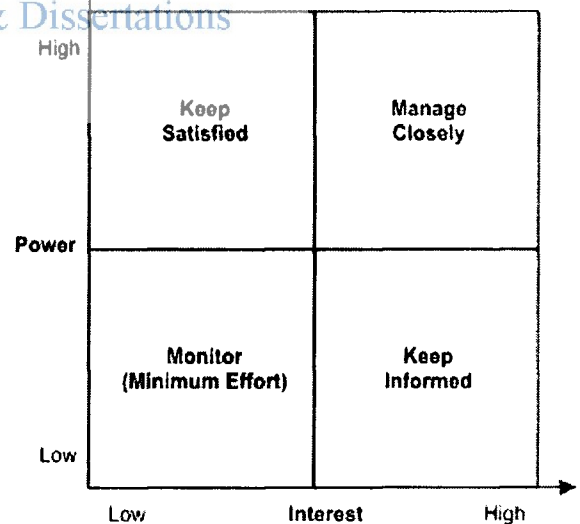
Illustration : Stakeholder mapping matrix – Power / Interest Grid

Stakeholder planning

Once the different stakeholders have been identified as per the power and interest they have on the project, it should be learnt how the different stakeholders should be approached in different circumstances. The project should develop a good understanding

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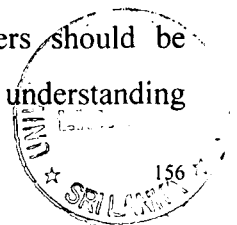
of the most important stakeholders so that their likely responses and how to win the support could be established. This concept is developed to plan how you should be communicating with or responding to the acts of the stakeholder. Communication / responsiveness here by mean all negotiations with the stakeholders such as reporting, contract negotiation, participatory assignments, meetings, etc.

High power, interested people: these are the people you must fully engage and make the greatest efforts to satisfy.

High power, less interested people: put enough work in with these people to keep them satisfied, but not so much that they become bored with your message.

Low power, interested people: keep these people adequately informed, and talk to them to ensure that no major issues are arising. These people can often be very helpful with the detail of your project.

Low power, less interested people: monitor these people, but do not bore them with excessive communication.

3 SWOT Analysis

SWOT Analysis is a strategic planning tool used to evaluate the Strengths, Weaknesses, Opportunities, and Threats involved in a project or in a business venture. It involves specifying the objective of the business venture or project and identifying the internal and external factors that are favorable and unfavorable to achieving that objective.

Definitions of SWOTs

	Helpful to achieving the objective	Harmful to achieving the objective
Internal (attributes of the organization)	Strengths	Weaknesses
External (attributes of the environment)	Opportunities	Threats

As part of the development of strategies and plans to enable the organization to achieve its objectives, SWOT can be used as a basis for the analysis of business and environmental factors. This needs to include an assessment of the present situation as well as a portfolio of products/services and an analysis of the product/service life cycle.

4 Cost benefit analysis

Cost benefit analysis is a formal discipline used to help appraise, or assess, the case for a project. The process of cost benefit analysis involves weighing the total expected costs against the total expected benefits of one or more actions in order to choose the best or most profitable option.

Simply, a cost benefit analysis finds, quantifies, and adds all the positive factors. These are the benefits. Then it identifies, quantifies, and subtracts all the negatives, the costs. The difference between the two indicates whether the planned action is advisable.

The costs and benefits of the impacts of an intervention are evaluated in terms of the public's willingness to pay for them (benefits) or willingness to pay to avoid them (costs). Inputs are typically measured in terms of opportunity costs - the value in their best alternative use. The guiding principle is to list all of the parties affected by an intervention, and place a monetary value of the effect it has on their welfare as it would be valued by them.

During cost-benefit analysis, monetary values may also be assigned to less tangible effects such as the various risks which could contribute to partial or total project failure; loss of reputation, market penetration, long-term enterprise strategy alignments, etc. This is especially true when governments use the technique, for instance to decide whether to introduce business regulation, build a new road or offer a new drug on the state healthcare. In this case, a value must be put on human life or the environment, often causing great controversy. Cost-benefit calculations typically involve using time value of money formula. This is usually done by converting the future expected streams of costs and benefits to a present value amount.

5 Value management

Value Management is a style of management particularly dedicated to motivating people, developing skills and promoting synergies and innovation, with the aim of maximizing the overall performance of an organization. The Value Management Approach involves three root principles:

- A continuous awareness of value for the organization, establishing measures or estimates of value, monitoring and controlling them
- A focus on the objectives and targets before seeking solutions
- A focus on function, providing the key to maximize innovative and practical outcomes

Concept of Value

The concept of Value relies on the relationship between the satisfaction of many differing needs and the resources used in doing so. The fewer the resources used or the greater the satisfaction of needs, the greater the value. Stakeholders, internal and external customers may all hold differing views of what represents value. The aim of Value Management is to reconcile these differences and enable an organization to achieve the greatest progress towards its stated goals with the use of minimum resources.

Illustration *: What is value?*

$$Value = \frac{Satisfaction\ of\ Needs}{Use\ of\ Resources}$$

What is necessary for a desired user

Everything that is required to satisfy needs

It is important to realize that Value may be improved by increasing the satisfaction of need even if the resources used in doing so increase, provided that the satisfaction of need to increases more than the increase in use of resources.

Value Management is distinct from other management approaches in that it simultaneously included attributes which are not normally found together. It brings together within a single management system:

- Management style
- Emphasis on teamwork and communication,
- A focus on what things do, rather than what they are (functional approach);

- An atmosphere that encourages creativity and innovation;
- A focus on customer's requirements and
- A requirement to evaluate options qualitatively to enable robust comparisons of options
- Positive human dynamics
- Teamwork - encouraging people to work together towards a common solution;
- Satisfaction - recognizing and giving credit;
- Communication - bringing people together by improving communication between them;
- Fostering better common understanding and providing better group decision support;
- Encouraging change - challenging the status quo and bring about beneficial change;
- Ownership - the assumption of ownership of the outcomes of Value Management activities by those responsible for implementing them;
- Consideration of external and internal environment
- External conditions - taking account of pre-existing conditions external to the organization over which managers may have little influence;
- Internal conditions - within the organization there will be existing conditions which managers may or may not be able to influence;
- Degrees of freedom - the external and internal conditions will dictate the limits of potential outcomes and should be quantified.
- Effective use of methods and tools.
- Means of achieving outcomes.

The most visible benefits arising out of the application of Value Management include:

- Better business decisions by providing decision makers a sounds basis for their choice;
- Improved products and services to external customers by clearly understanding, and giving due priority to their real needs;
- Enhanced competitiveness by facilitating technical and organizational innovation;
- A common value culture, thus enhancing every member's understanding of the organization's goals;
- Improved internal communication and common knowledge of the main success factors for the organization;
- Simultaneously enhanced communication and efficiency by developing multidisciplinary and multitask teamwork;
- Decisions which can be supported by the stakeholders.

As given above, it is very clear that the organizations and projects that practice value management is geared towards the value of people, functions, outputs etc. in an overall picture rather than budgeting for the least cost budget.

6   Time management

A Time Diagram is a systematic and programmatic progression of the activities that should take place in a project to deliver the project in the planned time frame, budget frame and the quality frame. It's a graphical representation of the duration of tasks against the progression of time which is a very useful concept for planning, scheduling projects, implementing and monitoring a project progress.

The concept of Time Diagram is a very operational than the other concepts in which a project would require more practical and technical knowledge to draw up and monitor. There are many techniques of drawing a Time Diagram such as Gantt Charts, Critical Path Analysis etc. and also very specific concepts such as procurement plans etc. Let's discuss the primary characteristics of a Time Diagram and how it could be used in assisting a development projects for smooth operations.

- Planning and scheduling complex projects

- Useful tools for analyzing and planning complex projects

- Help you to plan out the tasks that need to be completed

- Give you a basis for scheduling when these tasks will be carried out

- Manage the dependencies between tasks

- Allow you to plan the allocation of resources needed to complete the project, and

- Help you to work out the critical path for a project where you must complete it by a particular date.

- When a project is under way, help you to monitor whether the project is on schedule. If it is not, it allows you to pinpoint the remedial action necessary to put it back on schedule

A typical project would consist of sequential and parallel activities. An essential concept behind project planning is that some activities are dependent on other activities being completed first. These dependent activities need to be completed in a sequence, with each stage being more-or-less completed before the next activity can begin. We can call dependent activities 'sequential' or 'linear'. Other activities are not dependent on

completion of any other tasks. These may be done at any time before or after a particular stage is reached. These are nondependent or 'parallel' tasks.

7   Business process re-engineering

"The fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical contemporary measures of performance, such as cost, quality, service, and speed."
Hammer and Champy (1993)

Business process reengineering transforms an organization in ways that directly affect performance. The two cornerstones of any organization are the people and the processes. If individuals are motivated and working hard, yet the business processes are cumbersome and non-essential activities remain, organizational performance will be poor. Business Process Reengineering is the key to transforming how people work. What appear to be minor changes in processes can have dramatic effects on cash flow, service delivery and customer satisfaction. Even the act of documenting business processes alone will typically improve organizational efficiency by 10%.

A typical Business Process Re-engineering exercise can be stipulated as follows in few steps. But it is important to note that actual application of the process step given below can be very different and varying extent than the generic since the BPR, particularly, is applied on organizations, resources, deliverables, functions, people, and cultures which are different from each other.

- Envision new processes
- Secure management support
- Identify reengineering opportunities
- Identify enabling technologies
- Align with corporate strategy
- Initiating change
- Set up reengineering team
- Outline performance goals
- Process diagnosis
- Describe existing processes

- Uncover pathologies in existing processes

- Process redesign

- Develop alternative process scenarios

- Develop new process design

- Design HR architecture

- Select IT platform

- Develop overall blueprint and gather feedback

- Reconstruction

- Develop/install IT solution

- Establish process changes

- Process monitoring

- Performance measurement, including time, quality, cost, IT performance

- Link to continuous improvement

Total quality management is also could be brought in here as another useful technique to ensure continuous improvement in the quality of work done in the project. This is a concept that can help to refine the processes identified in the BPR exercise in their implementation stages so that the efficiency, effectiveness and economy expected by BPR is well maintained through out the project.

In a TQM effort, all members of an organization participate in improving processes, products, services and the culture in which they work. A core concept in implementing TQM is Deming's 14 points, a set of management practices to help companies increase their quality and productivity:

- Create constancy of purpose for improving products and services.

- Adopt the new philosophy.

- Cease dependence on inspection to achieve quality.

- End the practice of awarding business on price alone; instead, minimize total cost by working with a single supplier.

- Improve constantly and forever every process for planning, production and service.

- Institute training on the job.

- Adopt and institute leadership.

- Drive out fear.

- Break down barriers between staff areas.

- Eliminate slogans, exhortations and targets for the workforce.
- Eliminate numerical quotas for the workforce and numerical goals for management.
- Remove barriers that rob people of pride of workmanship, and eliminate the annual rating or merit system.
- Institute a vigorous program of education and self-improvement for everyone.
- Put everybody in the company to work accomplishing the transformation.

As given above, this TQM too could be an integral part of BPR to make sure that the process is made right the first time and also there is continuous improvement in the way the project is handled.