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Participatory Project Management

Principles and Practices

INTEGRATED FOOD SECURITY PROGRAMME
TRINCOMALEE

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introduction

This manual illustrates the principles and practices IFSP Trincomalee has developed to promote participatory project management. Participatory project management promotes capacities of village communities and community based organisations (CBO) in particular. They are supported through an organised process of addressing needs and demands, potential and resources for planning, implementation and management of projects. Dialogue in the form of open communication, participation at all levels of the project cycle, transparency and accountability of the flow of funds and finally, efficient management and operation by the local communities themselves are key principles for ownership. Ownership expresses responsibility for the good use of the assets created with the support of IFSP. Ownership of community assets also aims at the higher objective of generating additional benefits.

The manual describes and documents the approach and the strategies how village communities can be actively involved in project planning and management. The experience and know-how in supporting local development through efficient project planning, implementation and management is laid down in a large number of formatted procedures which are annexed to this manual. They include methods and forms for data collection and analysis, formatted project planning, criteria for

decision making, project management, administration and programming. All forms have been applied in the day-to-day work of IFSP. They follow to a certain extent well established government procedures. All forms are ready for use. These forms could be easily adapted to the specific requirements of government institutions, non-government organisations, agencies and development projects.

The manual is presented in two different editions. i) Manual with comprehensive annex, which is supported by the 'list of methods and forms' and includes all forms referred to in the text; ii) Manual with 'list of methods and forms' only. The forms could be downloaded from the internet, www.ifsp-srilanka.org. The 'list of methods and forms' makes reference to various data collection and survey formats, project planning matrix, manuals for community mobilisation, design and construction directory, planning documents such as annual work plan and budget, consolidated final accounts, progress reports and results of surveys.

IFSP Trincomalee encourages development agencies, government institutions, non-government organisations and development projects to follow a transparent and participatory approach in their work. The manual aims at contributing to the application of simple but effective systems for planning at village, divisional and district level.



project management means dialogue

Since its inception in August 1998, the Integrated Food Security Programme Trincomalee (IFSP) has encouraged and promoted community development that involves people in decisions and actions taken at village level: Passive recipients become active partners in development.

A new atmosphere is implanted in the community: Projects respond to needs that are real, felt and expressed. Projects are implemented to solve real problems. A community will be wise to think about how to spend limited money allocated for village development so that it makes a difference to their lives.

Why is this important? Community development in times of political instability aims at confidence building for investment and development. It supports the involvement of people to stabilise their livelihood strategies and to promote their self-help capacities, as individuals and as a community.

Projects are means of community development and not the goals. The key

of development is that local partners take over responsibility for village development in a process of strengthening their functional capacities.

This includes day-to-day support in project management, training and advice. The strategy of community development is thus two-pronged:

- Support needy people fulfil their needs, and
- Strengthen local organisations and their capacities through these projects,

with the final aim to reduce the service's gap.

When planning and managing community-based projects, it is essential to involve all stakeholders. Stakeholders are all those who contribute to or benefit from a project. Participatory project management means that all stakeholders are involved in a dialogue and jointly develop the way forward during all stages that a project goes through and subsequently, ensure sustainability.

traditional approach	participatory approach
top-down responsibility	dialogue – shared responsibilities
supply driven by instructions and formal procedures	demand driven (expressed needs for mobilisation of potential)
clientele based	criteria based
hidden – closed	transparent
contracting	local contribution
spending the budget	sensible to budget
instruction and work in compartmental manner	dialogue for integration and cooperation

principles

Participatory project management aims at promoting local development. Projects address real needs with the support of local partners. This is reflected in four basic principles:

Needs oriented: Projects reflect felt needs and expressed demands from communities.

Local contribution: Local implementing partners contribute actively in time, labour and funds to the project.

Balanced output and process: Projects support people fulfil their needs (output) and strengthen their self-help-capacities (process).

Networking: Projects encourage the establishment of links to other projects and institutions.

Participatory project management ascribes roles and responsibilities to all who are involved: Local implementing partners (CBOs, action groups), service providers (NGOs, departments) and the IFSP as facilitator.

Participatory project management demands following positive attitudes. Everyone in his or her role and responsibility in project management should commit him or herself to four essential attitudes:

Shared responsibility: I am willing to hand over responsibilities to others, also those who are lower in rank or hierarchy.

Accountability: I am responsible for what I am doing.

Transparency: I am transparent to others in what I am doing.

Integration: I am willing to work with other organisations.

These principles apply to the relationship between villagers and engineers and community mobilisers of IFSP as much as within the hierarchy of an institution itself. Sharing responsibility can take place between officers and representatives of village communities, and at different levels of the hierarchy in an organisation.



The project cycle

participatory planning, implementation and management

Each project goes through a cycle of steps:

- Assessment of needs - potential, identification of project priorities and proposals,
- Screening of project proposals according to technical and socio-economic criteria – feasibility,
- Planning the social, economic and technical details of the project, assessing the sustainability,
- Implementation, including monitoring,
- Evaluation of project achievements and impacts.

This manual focuses on the planning, management, implementation and monitoring of village development projects.

identification: assessing needs and potentials

The request for a project can arise in three different manners:

(1) **Participatory needs assessment** (PNA) is the standard approach in villages where the IFSP wants to establish a broader cooperation and commitment over a longer period of time. PNA follows certain procedures that are documented in the PNA Manual (**Form 2.5**: criteria for selection of villages for PNA; **Form 2.7**: PNA village summary report).

(2) **Project requests** can come from local and institutional partners of IFSP (CBOs, NGOs, government departments, divisional secretariat).

(3) **Rapid appraisals** (substituting PNA) could be suitable for focused projects where needs are quite apparent, local organisations are weak or not yet fully established.

Application for Project Agreement and Opening of Project Book

Project: PNA or non-PNA

Service provider: Agreement No:

Implementing partner:

Beneficiaries (list to be enclosed)

DS Division: Village:

GS Division: Poverty code:

Poverty level:

CBO: Bank account

President: Bank:

Secretary: Branch:

Treasurer: Account No:

Duration of agreement:

Summary budget contributions (specified in detail in the project agreement, bill of quantities and work plan):

IFSP-GTZ:
 Up to Rs. for material, transport of material, skilled labour, food-for-work (FFW) and equipment, of which FFW is estimated up to person days, equivalent up to Rs. and material and skilled labourer are estimated up to Rs.

screening

All project proposals are submitted to the Technical Project Committee (TPC) of IFSP. The TPC consists of the programme managers (one technical, one social), one representative of the District Planning Secretariat (DPS), one programme officer (community mobiliser) and one civil engineer. If necessary, the TPC consults the officers working in the specific area (engineer, programme officer).

The TPC screens the project requests according to relevance criteria. These criteria indicate whether or not a project fits into the objectives of IFSP.

For promising project requests, the TPC can ask programme officers, partner institutions and the requesting organisation to collect and provide more information about the feasibility and technical viability of a proposed project. With this information at hand, the TPC then asks IFSP field staff to finalise the proposal in closest cooperation with partner staff and the village community. The final proposal is forwarded to IFSP management for approval (**Form 2.8, 2.9**: project proposal; **Form 4.1**: Application to TPC for conducting project agreement and opening of Project Book). Enclosed are technical designs, drawings, bill of quantity and schedule for works for all construction activities (reference: Design and Construction Directory, **2.14**).

Relevance criteria for selection of projects - targeting:

- Food insecurity: Does the project request address issues of food and nutrition insecurity?
- Village vulnerability (village data sheet): What is the degree of conflict affectedness, social deprivation, and food deficit?
- Does the project fall within the geographical working area:
 - (i) PNA villages,
 - (ii) 'Crucial and / or complementary projects' elsewhere (cluster villages), subject to approval by project management?
 Necessity for support?
- Responsibility assured: Do local partners and communities contribute?

The IFSP management team takes the principal decision of approval or disapproval. If necessary, the management team can ask the TPC to provide more information and to resubmit a proposal. Decisions are recorded in minutes.

planning

The planning stage begins with the approval of a project by the management team. Participatory planning serves two purposes: First, it provides a sound basis for the technical implementation of the project. Second, it starts a process of local capacity building, thereby involving all stakeholders.

In the planning stage, the community mobilisers and engineers of IFSP conduct a feasibility assessment, check technical criteria and negotiate the terms of implementation. They clarify roles and responsibilities with all stakeholders: Local implementing partners, service providers and IFSP.

Feasibility assessment

The feasibility assessment is the next step after the project proposal. It specifies all social and technical aspects of project implementation:

- Target group (who will benefit from the project),
- Food and nutrition security (availability, access, utilisation),
- Selection criteria for beneficiaries (**Form 3.3**: application for participation in resettlement programme; **Form 3.4**: eligibility criteria for families for resettlement programme),
- Technical viability (reference: Design and Construction Directory, **2.14**),
- Livelihood aspects (social and economic benefits, sustainability),
- Cost efficiency (how can costs be minimised).



Local contribution

The active contribution of local implementing partners is essential. The contribution depends upon the poverty – vulnerability level of the respective village. Comparatively better-off villages are expected to contribute more. In a second round of projects, IFSP expects local partners to provide a higher contribution than in the first projects. Programme officers have to negotiate the terms of the local contribution with the local partners.

Local pricing

The IFSP engineers prepare financial and technical estimates with the local partners (mostly CBOs). Estimates are based on real prices, not assumed prices. The engineers discuss with villagers where material is available and what the local prices are. Quotations are called for, preferably from local contractors or traders for material and services. It is the process that matters: Village communities and local partners gain an awareness and sensitivity for the value of money and the budget available for development.

Service providers' involvement

Service providers take over responsibilities in providing services. In the planning stage, IFSP programme officers and local implementing partners consult service providers and discuss about the services required. A critical question is: Will service providers assure the delivery of services beyond the project duration?

implementation

Facilitating the implementation of a village project does not follow a simple procedure, but is a constant process of dialogue and community mobilisation. Important modules in this process are:

Awareness and consensus building

A common meeting involving the community actively is essential at the beginning of implementation: Information exchange, negotiation of roles and responsibilities, gaining the formal commitment from local implementing partner and service providers.

How long this process takes depends on the capacities of local implementing partners. Sometimes, one common meeting is enough, sometimes one will need several ones to gain the commitment of local partners and beneficiaries.

Learning by doing

Leaders of CBOs and action groups gradually acquire knowledge and skills on organising the community. They communicate with villages and service providers. They practice the setting of priorities for projects based on technical and economic criteria (which confronts individual interests) and they learn to manage the implementation and the operation of projects.

Project agreement

The project agreement (**Form 4.2**) is the written contract between the local implementing partner, the IFSP and the service provider. It contains all-important technical and organisational details of the project and provides a legal background for the responsibilities of all partners. This written contract documents the responsibilities and

commitments of each of the stakeholders and makes these transparent. The project agreement is kept at village level. It is accessible by the public.

The agreement is signed by the Project Director IFSP, the Team Leader IFSP-GTZ, the respective Divisional Secretary, involved service providers, representatives of the implementing partners, the responsible IFSP programme officer (community mobiliser) and engineer. The Government Agent Trincomalee and the GTZ country director usually witness the document.

Local commitment

Before IFSP or service providers start delivering their services or works, the local partner and beneficiaries commence their work first, e.g. digging pits for toilet, excavation works for foundations of culverts or clearing the jungle for road construction. Local commitment often needs constant feedback and encouragement. One should, on the other hand, avoid a 'spoon-feeding' approach: Programme officers encourage, advise local partners, but do not instruct them around or do everything for them.

Continuous dialogue

Depending on local capacities, the programme officers and staff from service providers call for regular community meetings and discuss matters regarding all ongoing projects in a village. Urgent matters are taken up directly with contact persons of the local partners. Community leaders and villages gradually develop their skills to resolve internal conflict and continue working together.

accountability and transparency I

good practices

Why accountability?

The handling of funds is crucial for participatory project planning. The traditional way of local 'contracting' encourages malpractice: Only few people are involved and may only look at their personal benefits, since the procedures are often not transparent and clear to local people. Estimates are not openly accessible. Technical layout is not understandable to local people. Planning is carried out without the local communities. This opens space for mishandling of funds. Often, completed projects are of low quality or even remain uncompleted, because fund allocations are wasted or mishandled.

Since funds are limited, it is essential to carefully allocate resources in order to achieve results that significantly improve the life of people.

Example

Consider you have ten proposals for village development, but you can only implement five. How are you selecting?

Or: You have to select participants for specific projects that shall benefit the poorest families in a community, say 30 out of 100. For this decision to be accountable and fair, you need clear, transparent criteria and an open decision making process.

The joint team of community mobilisers and engineers does monthly progress review. The progress of all community projects and poverty projects is presented, success and shortcomings are

discussed and solutions are identified (**Form 4.6**: project review form). The IFSP field staff conveys possible solutions to the implementing partners for consent and implementation.

Good practices

Accountability and transparency must be practised in the day-to-day work. This concerns the work within IFSP (and should apply to any development organisation), between IFSP and its local implementing partners (CBOs) and between IFSP and its institutional partners (service providers). It is also essential in the work of the local implementing partners and amongst communities themselves.

Good practices in project management reduce mistrust and suspicion and allow that all stakeholders understand decision-making and cash flow. Three fundamental mechanisms support good practices:

- **Agreement and consensus:** Open discussions of approaches, priorities, selection of beneficiaries and budgets ensure that people are informed and involved.
- **Written documents (Forms):** Every decision, technical and financial detail must be accessible to the local beneficiaries and to partner organisations. This is why IFSP has introduced the Project Book.
- **Shared responsibility:** Financial handling should not be ascribed to one individual, but to a group of people that can control each other.



accountability and transparency II fund management

Community selection

Selection of beneficiaries for individual projects, such as toilet construction, income-generating activities, always takes place in groups. This procedure is transparent and follows clear criteria. The village selection committee together as well as the whole village are accountable for decision-making.

Beneficiary selection for toilets

- In a common meeting, the IFSP programme officer explains the general procedures of beneficiaries' selection to all villagers.
- A team, consisting of the Public Health Inspector (PHI), two representatives from the implementing partner of the local community, the Grama Sevaka (G.S.), Samurdhi Development Officer and the IFSP community mobiliser carry out a pre-selection according to predefined criteria (**Form 3.2**: selection criteria for toilet construction).
- This pre-selection is counter-checked through house-by-house visits. The list of selected beneficiaries is then discussed in a common meeting and crosschecked. The community can decide to add or remove beneficiaries from the list. The final list is to be approved by the community meeting.

Local fund management

Local implementing partners need to learn about the new responsibility attributed to them. How practically they have to handle funds in an accountable manner, dealing with bank officers, handing in cheques, keeping records, using formats, collecting documents (vouchers, bills, expenditure reports) and writing reports. According to the available capacities of the local partners, this requires care, support and training.

Traditionally, funds allocated to CBOs were often managed as a one-man show, which resulted in misallocation and mishandling of funds. The IFSP demands a system where the cash flow has to be witnessed by several persons of a CBO. IFSP engineers and community mobilisers, in closest cooperation with officers from departments and Divisional Secretariats, crosscheck expenditure reports and accounts of local implementing partners. The cash flow is transparent to all, the budget estimate for the project is known to the whole community.

Local partners are encouraged to entrust specific tasks to small groups and committees to spread responsibility amongst community members. This aims at removing some of the burden of responsibility of the office bearers and allows others to build management capacities as well.

accountability and transparency III

project book

Forms for management of cash flow

Forms help to control the flow of cash and material. This makes the handling of money transparent. Local implementing partners, service providers and IFSP staff who handle funds can be held accountable and responsible.

Payments by cheque and in exceptional cases also by cash are done in stages, depending on the project progress and the former expenditure pattern of local implementing partners. This ensures a continuous control of cash flows.

After the first advance is paid to the local partner, subsequent payments are only released after local partners submit a payment request through IFSP staff (**Form 5.4**: payment request; **Form 5.3**: payment receipt) that is witnessed by local office bearers, government officers.

All original vouchers have to be submitted. Local partners also have to forward requests and receipts for material (**Form 5.1**: request for material; **Form 5.2**: material issuing form; **Form 5.3**: receipt for payment or material).

Prior to each fund release, the IFSP community mobiliser or civil engineer has to submit a written request to the IFSP management. The purpose of the release of funds or material, the estimated amount of services, material, food baskets and labour as well as the progress have to be stated. This procedure ensures efficient fund management within IFSP.

Project book

The project book (**Form 4.3**: cover page) contains:

- The project agreement between IFSP, the local implementing partner and service provider in Tamil or Sinhala, including a summary of the budget estimate,
- The design plan and the full budget estimate in English, Tamil or Sinhala and the contribution from IFSP, CBO or action group and other partners,
- A socio-economic summary sheet from the village data sheet or the PNA summary report,
- White pages for any notes from IFSP staff and officers from partner institutions that visit the project.

The project book documents all important features of a project and allows any visitor and all villagers to know the technical and financial details. This is essential for transparency and accountability. The local implementing partners maintain the project book.

IFSP is applying a number of formatted procedures for e.g. monitoring of attendance at work sites (**Form 5.5**: attendance form for unskilled labour), for large scale procurement through local competitive bidding, LCB (**Forms 5.6 to 5.9**: tender invitation, technical specification, bid bond, performance bond) and for contracting local consultants for surveys, moderation of workshops and coaching of staff (**Form 5.10**: agreement for consultant).



integration

Link to the service system

Beyond the projects and services that IFSP and its service partners can offer to local CBOs, the IFSP community mobilisers and engineers also seek to facilitate cooperation with other institutions, e.g. government agencies, non-governmental organisations and private companies that offer services. Local partners are thereby encouraged to establish links and communication with several service providers, aiming at reducing the dependence on IFSP support and learning to demand services that are needed for community development and get ready to pay for such services.

Complementary programmes

These are programmes that complement the community and poverty group projects of IFSP, for example, the programmes in the field of health and awareness (mid-day meal for school children, awareness campaigns on personal and public hygiene, deworming, drawing competition on health, drama performance on health and hygiene). Complementary programmes address the whole village community and are carried out by service partners in collaboration with the local implementing partners.

Final handing over

Once a project is successfully implemented, the local implementing partner or the competent local authority takes over the responsibility for operation and maintenance. The handing over – taking over is officially documented (**Form**

4.7: handing over; **Form 4.8:** project completion report). IFSP and local partners develop an operation and maintenance plan beyond the project duration (**Form 4.9:** maintenance plan).

Handing over: new responsibilities

Successful handing over of responsibilities depends on the success of capacity building: Local partners take over long-term responsibility of community assets and service providers show firm commitment and ownership in particular beyond the point of project completion. In reality, the commitment often vanishes steadily with project completion, since capacities are limited.

There are no simple recipes. Successful handing over of responsibilities remains a prime challenge in participatory project management.

Opportunities for cooperation

IFSP addresses cross cutting subjects such as environment, gender, good governance, reconciliation and peace building. This brings different stakeholders together: Government institutions, non-government organisations, agencies are encouraged to share common subjects (IFSP health team with EHED and PHIs and mid wives from DOHS; DOA and DOE). This is quite a rare practice since most institutions work within their self-defined boundaries. In many cases, 'hedging' against other institutions, projects or agencies is observed.



handing over the stick I - capacity building

Village development fund

Local partners for the village development fund (VDF) are selected from those CBOs that have successfully cooperated with IFSP before. A village development fund provides financial resources to local partners that they can make use of for community development (**Form 4.4:** VDF description; **Form 4.5:** Agreement for VDF project).

Local partner organisations develop self-defined rules, organise and conduct meetings on their own, are fully in charge of problem solving, criteria forming and other aspects of participatory project management. Programme officers of IFSP have a final say in releasing the funds through their signatures, but should not interfere in the internal management of the local partner. The signature is only the last control step to ensure the proper use of funds.

Accountability is the key amongst the selection criteria for local partners:

- Accountability and responsibility of office bearers,
- Account maintenance,
- Timely management,
- Unity within CBO: They manage internal conflicts themselves.

CBO leader workshop

Local office bearers from different villages can learn from each other. IFSP therefore facilitates meetings and

workshops for exchange of ideas and experiences. One such forum is the CBO leader's workshop at the level of the DS Division. Staff from service providers are also invited, e.g. the Rural Development Officer (RDO), Samurdhi Manager and departmental officers.

Such workshops can focus on any issue that comes up. Common topics include:

- Accounting,
- Sharing responsibilities within projects,
- Sharing good practices and problems (learning from each other),
- Develop shared rules for good management
- Encouraging inter-communal cooperation, and
- Addressing economic interests of the local communities as the common denominator for peace and stability.

These topics can be discussed in a plenary and in small working groups. Small groups are good for effective learning. In one workshop, for example, the RDO explained how to establish an account for rural development funds. The CBO leaders then practised this in-group work and presented their results in the plenary. Such exercises train their knowledge and capacities, while they exchange ideas with colleagues from other locations.

handing over the stick II

coordinated planning and management

Divisional planning workshop

Project identification and screening should involve service providers and the Divisional Secretary as coordinator of development activities. From 2000 to 2003, IFSP facilitated joint planning workshops, where project proposals from various organisations were presented and discussed:

- CBOs, NGOs and departments submitted project proposals.
- Basic information about each project was documented on charts,
- Local leaders participated in the meeting to explain their concerns, needs and the background of the requested support.

These meetings were also essential to keep the Divisional Secretary aware of the development activities in his area that were facilitated by IFSP. The dialogue process also made clear what IFSP could facilitate and what it cannot. All participants could contribute to a revision and improvement of project plans at later stages.

Initially, project requests need to follow the screening process within IFSP. In the long run, this screening process should be done on divisional level and should involve all organisations that support development activities in the area. The Divisional Development Committee would be the appropriate forum to discuss priority setting and framework planning.

Team management

Participatory project management addresses all management levels.

Sharing responsibilities is essential within IFSP as much as it is on the village level. The IFSP management is delegating decision-making power and management steps to field staff and CBOs:

- Programme officers on the spot can take routine decisions.
- Technical preparation for decisions is delegated to IFSP committees without involvement of the IFSP management.
- IFSP management is only consulted for key decisions: Approval of project proposals, signing of project agreement, decisions over village development funds.
- Responsibilities are shared in groups of officers to make management and decision making transparent: The Technical Project Committee (TPC) screens project proposals. Quotations for services and works are only opened and discussed by sub-teams.
- Programme officers and programme managers (senior IFSP engineer and community mobiliser) take responsibilities in preparing and moderating internal and external meetings, in making presentations at partner institutions and advising the IFSP management.

All these steps are part of a strategy to encourage capacity development of IFSP staff and partner staff. Capacity is built through training and practice, combined with regular coaching by outside consultants.



reflections from the field perceptions of IFSP field staff

Practising genuine participatory project management poses a lot of challenges. Some of the anecdotal evidence of IFSP staff is compiled here:

- When villagers see vehicles with big flags or 'white people', they think that these people will give everything free. This can reduce the willingness to contribute.
- Many local partners still have a 'contract mentality'. Sometimes, they feel that IFSP staff would fool them when they demand local contributions and that the balance from the allocated funds would be appropriated in the pockets of IFSP staff. It takes a lot of explanation and transparency in estimates, procedures to convince villagers that the 'gap' is real and that it is their contribution that has to fill this.
- Selection of beneficiaries is always a troublesome procedure, regardless of how transparent and 'fair' the process is. Some villagers think: "If I do not get any benefit, I will trouble those that receive this benefit". This mentality can make selection processes very difficult and demands a lot of negotiation abilities from programme officers.
- The functioning of a CBO or local group often depends a lot on one or two key persons. If these persons slow down their commitment or leave the area, the workability of the CBO is often affected. Or, if a key person resigns from its post, and new committee members are elected, there is often no transfer of knowledge from the old to the new committee members.
- Often, very poor and remote villages that would need support most urgently are also those where the involvement of local implementing partners is difficult and tiresome, since the capacities of CBOs are meagre. On the other hand, more developed villages often have better functioning CBOs. There is an inherent danger that projects with a focus on vulnerability and poverty, such as IFSP, continue working with the success cases more than would be justified according to poverty criteria.

It is predominantly here that responsibilities can be handed over full heartedly and the success stories take place in the capacity building of local partners.

**CONSTRUCTION OF AGRO-WELL
AT
MALAIKULAWEWA-NOCHCHIKULAM
IN MORAWEWA
DS DIVISION**

PROJECT BOOK

Implementing Partner	Samarathilaka Perera (SIP), Nochchikulam
President	D. B. Jayathilaka
Secretary	J.P.M. Thambathilaka
Treasurer	M. Chandana

list of methods and forms

Data Collection and Analysis – Project Planning – Criteria for Participation – Management – Administration – Programming and Monitoring

1. **Base Line Data:** Collection – Analysis – Presentation
2. **Project Planning:** Log Frame – Participatory Needs Assessment (PNA) – Livelihoods – Project Proposals – Packages – Manuals (Participatory Project Planning, Community Mobilisation, Design and Construction)
3. **Criteria for Decision Making:** Selection of Initiatives and Participants
4. **Project Management:** Project Agreement, Project Book, Village Development Fund, Handing over and Completion, Maintenance
5. **Administration:** Finances, Procurement, Services
6. **Programming:** Work Plans and Budgeting, Reporting, Monitoring and Evaluation

Most of the forms included in the 'list of methods and forms' could be downloaded from the IFSP web site, www.ifsp-srilanka.org. The forms are ready for immediate use, but could be adjusted and changed according to need.

	Method, Process, Form, Content	Addressee, User
1	Base Line Data: Collection – Analysis – Presentation	
1.1	Questionnaire for village data sheets: Vulnerability – poverty profile (VDS): Serves collection of base line information and establishing of village profiles; 40 parameters for 7 sub-indicators, 3 main indicators (war affectedness, social deprivation, food deficit), 1 final poverty–vulnerability indicator	IFSP Management, training of enumerators and effecting survey in the field
1.2	Data base to process and analyse VDS questionnaire (SPSS)	Management, monitoring specialist
1.3	Village data sheets: Vulnerability–poverty profile (VDS) for all 582 villages in Trincomalee; hard copy for each village according to government coding; alphabetic sorting according to vulnerability rank and level for all villages; summary tables; for each DS Division, catalogue is available for each DS Division and for all villages (Technical Paper 10)	Management, GS/GN, Divisional Secretaries, GAs, Provincial Planning Secretariat, Chief Secretary, NGOs and CBOs, private sector establishments, researchers, development agencies, public
1.4	Brief explanation what VDS is and how best to use it for targeting, i.e. addressing needs and potential; preface of Technical Paper 10	GS/GN, Divisional Secretaries, GAs, Provincial Planning Secretariat, Chief Secretary, NGOs and CBOs, public
1.5	Design and questionnaire for baseline survey health and nutrition: Serves data base on health conditions and nutrition status of children and women (Working Paper 24)	Management, DoHS and other government institutions; SL Medical research Institute, SL Nutrition Society, public
1.6	Baseline data from 1999 health and nutrition survey available (Working Paper 24)	d.o., researchers, decision makers
1.7	Forms for data collection for growth and weight gain of children, weight of mothers: Serves DoHS data base and intervention	Management, DoHS, MOH, NGOs, WHO etc.
1.8	Various survey results (incl. data gathering) for e.g. water quality monitoring, solid waste management (Working Papers and Technical Papers)	Management, partner institutions, decision makers, researchers, public

	Method, Process, Form, Content	Addressee, User
2	Project Planning: Log Frame – Participatory Needs Assessment (PNA) – Livelihoods – Project Proposals – Packages – Manuals (PNA, LSA, participatory project planning, community mobilisation, design and construction)	
2.1	Log Frame (project planning matrix, PPM): IFSP Trincomalee; serves systematic planning through stakeholder dialogue; Log Frame exercise could be organised as ‘cascade’ for sector projects, cross-sectoral subjects and / or to establish a district development plan; encourages skill’s development through practical exercise	Decision makers, management, partner staff at all levels, staff from projects and agencies; staff from Provincial Planning and District Planning Secretariats, officers from DS Secretariat
2.2	Log Frame (PPM): Nutrition and Food Security District Plan, based on National Action Plan; serves coherent and coordinated planning and involves all stakeholders; through practical exercise (Working Paper 46)	Decision makers, government offices from different sector institutions, NGO personnel; officers from dept. of Health
2.3	PNA Manual (English, Tamil, Sinhala, Technical Paper 6): Focus on overall village situation and used as training manual for PNAs (assessment of problems – potential – initiatives)	Management, DSs, GS/GN, heads of department, gvt. officers, NGOs, trainer and PNA teams, CBOs
2.4	Livelihood System Manual (English, Tamil, Sinhala, Technical Paper 28): focus on capital assets and potential for development, complements PNA Manual	d.o.
2.5	Criteria for selection of villages for PNA	Management, partner institutions, PNA teams
2.6	PNA reports for villages where PNA was done: Comprehensive village profile incl. priorities for development and projects (community projects, poverty projects); reports available in English, Tamil, Sinhala	Management, DSs, GS/GN, CBOs and Action Groups; available to whoever needs information
2.7	PNA Village Summary Report: includes problems, needs, potential, serves decision making on priority projects	Management, partner institutions, DSs, GS/GN, CBOs, people
2.8	Project proposal for Community Projects: Summary information for individual project,	d.o.

	Method, Process, Form, Content	Addressee, User
	serves decision making and further detailed planning	
2.9	Project proposal for Poverty Projects: Summary information for individual project, serves decision making and further detailed planning	d.o.
2.10	Project Package for IFSP supported Community Projects: Lists community projects supported by IFSP, describes procedure, lists all relevant information; serves detailed planning, follow-up during implementation, monitoring and	d.o.
2.11	Project Package for IFSP supported Poverty Projects: Lists community projects supported by IFSP, describes procedure, lists all relevant information; serves detailed planning, follow-up during implementation, monitoring and	d.o.
2.12	Manual for participatory micro project planning: Describes the planning process; serves dialogue with CBOs and partners for systematic project planning; includes all relevant formats (IFSP Working Paper 55)	Management, partner institutions, DSs, GS/GN, CBOs, people; development practitioners, researchers
2.13	Community mobilisation manual: Describes the process of linking community and partner institutions how best to bridge the 'service's gap'; documents IFSP practices and principles (special document in English, Tamil and Sinhala)	Management, partner institutions, DSs, GS/GN, CBOs, people, development practitioners, researchers
2.14	Design and construction directory: Includes all plans and designs for construction activities, e.g. house, toilet, well, water supply scheme, school, road, culvert, bridge, structures for irrigation scheme, storm water drainage, BoQ; CAD based; serves standardised project planning (IFSP Technical Paper 33, CD ROM)	d.o., Projects, national institutions, technical officers from government departments, engineers
3	Criteria for Decision Making: Selection of Initiatives and Participants	
3.1	Selection criteria for construction and renovation of drinking water wells: 9 criteria for evaluation and decision making; incl. results of hydro geological survey and base cost estimate	Management, CBOs, partner institutions, people
3.2	Selection criteria for toilet construction and sanitation: Lists 9 criteria for evaluation and decision making; incl. reference for awareness on	d.o.

	Method, Process, Form, Content	Addressee, User
	personal and public hygiene and solid waste	
3.3	Application form for returning IDPs to participate in the IFSP housing programme (quick impact programme for returning IDPs): Incl. 11 sets of information / data; serves dialogue and decision making	Management, DSs, GS/GN, CBOs, Action Groups, government departments, NGOs, local Action Group
3.4	Selection criteria for IDP families who applied for the quick impact programme: Serves dialogue and decision making	d.o.
4		
	Project Management: Project Agreement – Project Book – Village Development Fund – Handing over and Completion – Maintenance	
4.1	Application for conducting project agreement and opening of project book: Presentation of appraised community and / or poverty project to IFSP Technical Project Committee (TPC) for final decision; incl. basic data, time frame, contributions from all parties involved and total cost estimate	IFSP engineers and community mobilisers, IFSP Technical Project Committee (TPC), Management, staff in charge
4.2	Project agreement: Formal agreement conducted between IFSP, CBO / Action Group / NGO / Gvt. institution as implementing partner; incl. gvt. institutions / DS / NGO as support partner; incl. all relevant information; signed by all partners; base for disbursement and monitoring	Management, CBO / Action Group, gvt. institution, NGO, IFSP accounts section
4.3	Project Book: Includes project agreement, detailed project description incl. technical plans / drawings, BoQ, time frame, estimates, contributions etc.; serves to establish formal relations between IFSP and implementing partner (CBO, gvt. institution, NGO etc.); serves transparency and public auditing	d.o. and village communities, wider public
4.4	Village development fund (VDF) for the promotion of small scale business and employment (micro credit): description of VDF; serves CBOs and potential small scale entrepreneurs	Management, community mobilisers, partner staff, local banks, CBOs, local action groups
4.5	Agreement for implementing VDF project	d.o.
4.6	Project review form: serves recording of results of monthly project review meeting; includes ba	Management, IFSP staff, partner staff

	Method, Process, Form, Content	Addressee, User
	sic information, physical progress, achievements / impacts, challenges, solutions – decisions – next steps – follow-up	
4.7	Handing over format: Formal agreement between IFSP and institution legally mandated to take over a completed project, e.g. Pradesha Saba for rural roads, common wells or community centre, Dept. of Education for schools, Dept. of Agrarian development for minor tanks; includes obligation for maintenance based on maintenance plan	Management, partner institution in charge, CBO, DSs and other
4.8	Project completion report: Accompanies handing over agreement; incl. basic information, contribution from all partners and total costs	d.o.
4.9	Maintenance plan and follow-up	d.o.
5		
	Administration: Finances – Procurement – Services	
5.1	Request form for material: IFSP field staff addresses management to initiate procurement; incl. relevant information, shortens administrative procedures	IFSP field staff, management
5.2	Material issuing form (English, Sinhala, Tamil): addressed by IFSP field staff to pre-selected supplier; serves issuing of material from a certain supplier contracted by IFSP management, shortens administrative procedures	IFSP field staff, management, supplier
5.3	Receipt format for material, food basket and / or cash: material / cash received by e.g. CBO; serves recording, reporting, accounting	d.o., accounts section
5.4	Request for payment to e.g. CBOs of partner institutions for works completed and / or services rendered: serves accountability, recording, reporting	d.o., accounts section
5.5	Attendance formats for e.g. unskilled labour at project site: serves monitoring through implementing partner, e.g. CBO and is base for payment by IFSP and / or supply of food basket under FFW	d.o., accounts section
5.6	Tender invitation and document for procurement of e.g. food items and material in larger quantities (local competitive bidding, LCB)	Management, potential suppliers, audit

	Method, Process, Form, Content	Addressee, User
5.7	Technical specification, e.g. food item	d.o.
5.8	Bid bond format	d.o. and bank of bidder
5.9	Performance bond format	d.o. and bank of supplier
5.10	Agreement for consultant services	d.o.
6		
	Programming: Work Plans and Budgeting – Reporting – Monitoring and Evaluation	
6.1	Annual work plan and budget: Formatted procedure involving all stakeholders; base is Log Frame, focus is on projects achieving results and contributing to objective and goal; process – dialogue; budget ceiling; work plan and budgets include poverty and community projects, capacity building, e.g. training, surveys, supply of equipment etc., monitoring & evaluation and management (hard copy)	Management, IFSP staff, partner institutions at various level, decision makers at district, provincial and national level
6.2	Quarterly progress reporting: Quarterly financial reports incl. summary of physical results, constraints and challenges ahead; formatted procedure; serves reporting to e.g. government, monitoring and impact assessment (hard copy)	d.o., audit
6.3	Bi-annual and annual reporting: Summary mid-term reports and annual reports incl. all relevant information; serves higher level information needs; self-reflection of IFSP management (hard copy)	Management, partner institutions at various level, decision makers, public relation
6.4	Ad-hoc reporting for e.g. DCC, provincial steering committee, review meetings: summary of present status, constraints, challenges and solutions; serves higher level information needs (hard copy)	d.o.
6.5	Consolidated final accounts 1998-2001, 2002, 2003 and 1998-2003: Gvt. requires formatted reporting; includes all projects implemented according to location (village), DS Division, sector etc., covers expenditure acc. to source; is consolidated for project life span; serves administrative requirements, contributes to monitoring and assessment of change / impacts (hard copy)	Management, partner institutions at various level, decision makers, audit

	Method, Process, Form, Content	Addressee, User
6.6	Survey reports: Presentation of survey results, e.g. focused impact assessment, information systems, assessment of minor tank development programme, solid waste management, water quality monitoring etc. (IFSP Working Papers and Technical Papers)	Management, partner institutions at various level, decision makers, researchers, policy planners, public relation
6.7	Special initiative reports: Peace orientation 2003, lessons learnt – best practices report, community mobilisation, IFSP in transition, phasing-out and transfer, theatre play for improving personal and public hygiene, theatre play of school feeding programme etc. (IFSP Working Papers and Technical Papers)	d.o.
6.8	Questionnaires for impact assessment: Mid-day meal evaluation (Technical Paper 12), focused impact assessment (Working Paper 54), impact assessment of minor tank development programme (Working Paper 56)	Management, partner institutions at various level, decision makers, researchers, policy planners, public relation
6.9	IFSP monitoring concept: Described in lessons learnt – best practices report (Working Paper 52); serves understanding of monitoring system	d.o.
6.10	Master data base: Related to wok plan, contains master project list, includes all individual projects and village data over time; creates updated VDS; creates financial reports and detailed summary reports on e.g. completed projects, physical data / achievements etc.; contributes to GIS, e.g. administrative map for Trincomalee district for all GS/GN Divisions, vulnerability–poverty map, location of IFSP projects etc. ; serves information requirements, decision making, training and knowledge management	d.o.

Note:

Most of the forms and related information are available on www.ifsp-srilanka.org.