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ITU Project Management Manual

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1. Introduction to the Project Management Manual

The main purpose of this Manual is to lay down the principles, rules, policies, procedures and practices governing the design, planning, implementation and closure of projects at the International Telecommunication Union (ITU).

This Manual shall apply to all ITU projects regardless of the source of funding - such as but not limited to regular budget, extra-budgetary funding sources (funds in trust), ICT Development Fund – unless otherwise provided for in this Manual.

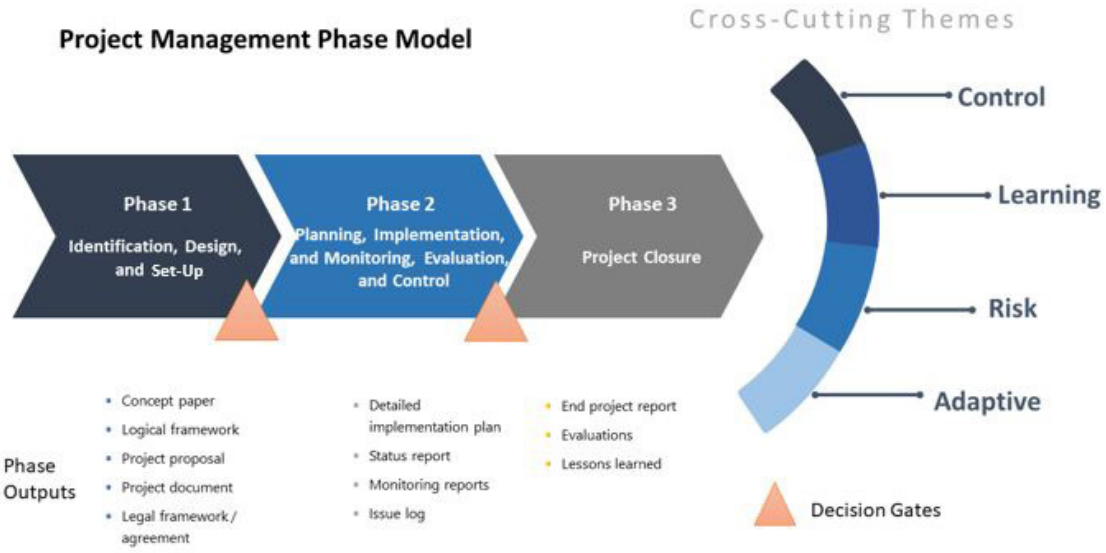
The application of this Manual by ITU staff involved in project design, planning, implementation and closure does not replace the general requirement for ITU staff members to familiarize themselves with all relevant ITU rules, policies and procedures and ensure compliance therewith. Each involved ITU staff member will, moreover, exercise his/her duties with the utmost care.

1.1 The Project Phase Model

The project lifecycle consists of three phases, with each phase containing processes and tools that build upon the previous phase to create the components project managers need to manage their projects effectively.

The phase model in Figure 1 illustrates the three phases and the outputs for each phase. Decision gates are represented by triangles, occurring at the end of each phase. Additional decision gates will be integrated into each phase, indicated in the process charts at the beginning of each phase and highlighted in light-blue boxes throughout the Manual.

Figure 1: Project Management Phase Model



Cross-cutting themes are portrayed as framing the phase model. These themes constitute guidelines on how to approach project management at ITU and may differ depending on the project, its size and complexity, and the experience of the project manager. Guidelines on how to approach the cross-cutting themes have been included in each phase of the Manual.

1.2 How the Manual is organized

Each phase is organized in the same manner and consists of the following:

- **Process Maps:** There is a process map at the start of each phase that outlines the high-level information, documents, tools and processes required for each phase, including inputs and outputs for the phase.
- **What is this all about?:** This section introduces the phase and provides a general overview as to why this phase is important and how to navigate its contents.
- **Cross-Cutting Themes:** The cross-cutting themes serve as guidelines on how to approach project management; a brief overview of what to take into account in their regard is provided in each phase, however the approach needs to be flexible and may differ from one project to the next.
- **RACI:** RACI stands for: Responsible, Accountable, Consulted, Informed. This tool is provided at the beginning of each phase and sub-phase to highlight who should be involved in each activity, process or decision gate within that phase.
- **Inputs**: Inputs detail all documents and tools needed to complete the processes for the phase.
- **Process:** Defines and provides examples of all processes and tools required to achieve the phase output. The processes are mandatory, but the tools outlined in them are suggestions. If the project managers have other tools in their toolkits they prefer, those are acceptable too.
- **Outputs:** For each phase, a specific output should be produced based on the tools and processes highlighted.

At the end of this Manual, **Role Profiles** have been developed for the project manager, project governance and the Partnerships for Digital Development Department - Project Support Division (PDD-PRJ), detailing the roles and responsibilities of each according to the project phases (see Annexes 1, 2 and 3).

1.3 Key Terms and Definitions

Before reading this Manual, it would be beneficial to familiarize yourself with the terminology used and the definitions of the terms.

Project: A temporary endeavour undertaken to create a unique product, service or result.

Decision Gate: Decision gates are checkpoints in the project at which you assess the situation and, based on your evaluation of the progress made, decide to: i) move forward with the project as is; ii) make changes based on information available and within the defined project tolerances; or iii) recommend stopping the project altogether. The rationale for decision gates is to ensure that the organization is not wasting money and resources on a project that will not produce the intended outcome or desired impact. Decision gates also serve as part of the due diligence and accountability process for the project.

Emergency Decision Gate: Circumstances will arise in which project operating environments can change quickly and decisions need to be made to determine how to move forward with the project. This is where emergency decision gates come into play. They are put in place when a decision needs to be made rapidly on whether to continue with a project or close it down.

This decision must fall within the authority (tolerance) level of the project manager, and if it does not the decision must be escalated to the governance structure. The project manager should

work with the governance structure and stakeholders to determine whether, and when, an emergency decision gate should be considered.

Project Sponsor: A governance structure in the form of an individual who is accountable for the success of the project manager and provides support and guidance throughout the entire lifecycle of the project. This individual will be the senior line manager, supervisor of the project manager, head of division (HOD) or chief of department (COD).

Project Steering Committee: A governance structure comprising representatives from various stakeholder groups that oversee the project and provide support and guidance to the project manager throughout the entire lifecycle of the project. The steering committee is accountable for the project and should consist of the following representatives as a minimum:

- Representative of the cooperation partner(s)/project beneficiary
- ITU regional director (RD)
- Chiefs of related departments (who can be represented by the cluster lead).
- HODs

RACI Chart: A tool used to outline the roles and responsibilities in a project, with RACI standing for:

- **Responsible**: The individual or department responsible for doing the work or task
- **Accountable**: The individual or department that oversees the responsible individual or department and has ultimate ownership of the work or task
- **Consulted**: Individuals or departments that need to be included in and/or consulted on the work or activity
- **Informed**: The individual or department that is kept informed on the work or task.

Scope: All the direct and indirect work of the project required to achieve objectives, outputs and outcomes.

Stage Planning: A stage plan allows for greater adaptability in the implementation plan by establishing high-level deliverables for each stage – frequently represented as a period of time – and by developing detailed implementation plans for each stage as it approaches.

Theory of Change (ToC): A representation of how a development intervention is expected to lead to desired results. It illustrates the pathway of change – the intervention logic – and articulates the causal relationships and key assumptions used to explain the change process. It describes the overall causal sequence, beginning with the inputs to be mobilized, moving through to the activities to be undertaken, leading to the key outputs to be delivered in order to contribute to the targeted outcome(s), and culminating in the impact.[1]

1.4 Project Thresholds and the Manual

Governance structure requirements will differ depending on the size (budget) of the project. Those requirements must be reviewed during the first phase of the project to determine what is mandatory according to the size of the budget.

[1] UNESCO, Bureau of Strategic Planning, BSP/RBM/2008/1.REV.8, Paris, January 2019 Original: English, Results-Based Programming, Budgeting, Management, Monitoring and Reporting (RBM) approach as applied at UNESCO

The categories of project are outlined in Figure 2, according to which small projects are those between CHF 0 and 150 000[2], medium-sized projects those from CHF 150 000 to 1 million, and large projects those above CHF 1 million.

Figure 2: Thresholds for Projects by Budget Size

1.4.1 Governance

The project governance structure will vary depending on the size of the project. For small projects, it will comprise a project sponsor. For medium projects, as a minimum there will be a project sponsor and a steering committee may be required. For large projects, a steering committee is required. This is portrayed graphically in Figure 2 above.

Table 1: Governance Guidance

	Small Projects CHF 0-150 000	Medium-Sized Projects CHF 150 000-1 Million	Large Projects Above CHF 1 Million
Project Sponsor	√	√	
Project Steering Committee		√	√

1.4.2 Implementation Plans

The mandatory elements for implementation plans will vary depending on the size (budget) of the project. Additional consideration will be required regarding the level of detail of the implementation plans, based on the complexity of the project and experience of the project manager. The decision on the level of detail is taken by the project manager and project governance individual or entity.

For **small projects,** an implementation plan is mandatory, and the project manager must go through all the planning processes outlined while not necessarily having to include them all in the implementation plan. For example, small projects will still be required to analyse stakeholders to understand who they are and their power and influence, but may not need a plan dedicated to stakeholder management.

[2] Any project under the threshold of CHF 50 000 requires the approval of the elected official responsible for the Bureau concerned.

For **medium-sized projects,** all planning processes need to be included in the implementation plan and subsidiary plans may also be required depending on the project. For example, implementation plans should include sections or paragraphs on the planning processes mentioned in Table 2, and in some cases separate, more detailed subsidiary plans may be required on some of them.

For **large projects**, all planning processes must be included in the implementation plan. However, the project manager will likely also need to develop more detailed, stand-alone subsidiary plans for the processes indicated below.

This is described graphically in Figure 2 above.

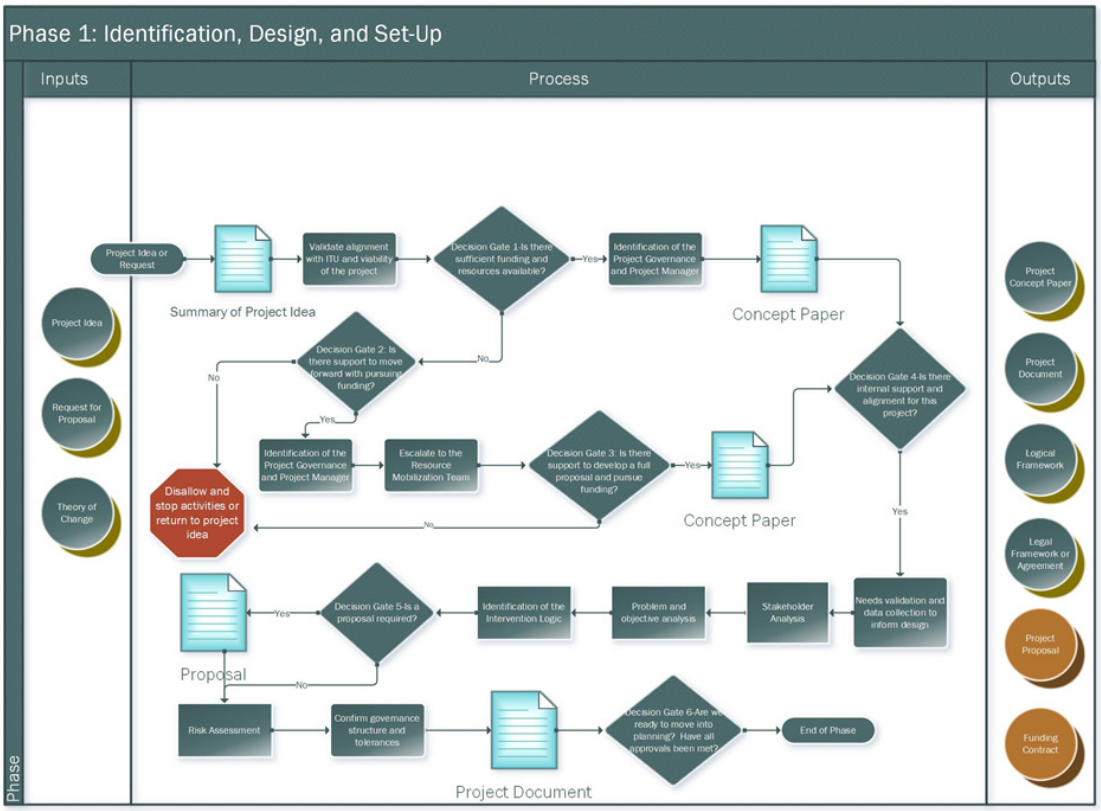
Table 2: Planning Guidelines for Projects

		Medium-Sized Projects CHF 150 000-1 Million	Large Projects Above CHF 1 Million
Schedule	√	√ +	√ +
Risk	√	√ +	√ +
Procurement	√	√ +	√ +
Communication and Stakeholder Engagement	√	√ +	√ +
Monitoring and Evaluation	√	√ +	√ +
Human Resources	√	√ +	√ +
Stages	√	√ +	√ +
Closure	√	√ +	√ +

Table 3: Legend for Table 2

√	Go through each process but perhaps not necessary to include it in the implementation plan.
√	Implementation plans must include sections or paragraphs on the planning processes mentioned.
+	Depending on the size and complexity of the project, subsidiary plans may also be required in addition to the implementation plan.
+	Individual subsidiary plans for the planning processes are highly recommended.

2. Phase 1: Identification, Design and Set-Up



2.1 Phase 1 in Practice-What is it all about?

Phase 1 in the project phase model focuses on establishing a solid foundation for beginning a project. To accomplish this, the project manager needs to have clarity regarding the processes and tools, as well as the requirements, participation and expectations of key stakeholders, in this phase. Phase 1 provides the opportunity to explore and make sure that the most appropriate project is being implemented. This is accomplished through a series of processes and steps that validate the project according to the organization's strategies and consolidate the need for the project and the approach it should take. If the processes in this phase are not gone through diligently and deliberately, the risks associated with project challenges and failure are likely to increase.

All processes need to be completed regardless of the project; however, the size and complexity of the project will dictate the extent to which the processes need to be carried out and who needs to be involved.

2.2 Decision Gates

Within this phase, the project manager and stakeholders navigate a series of six decision gates. At these decision gates, the project manager, governance individual or entity (CODs/RDs if project sponsors or a steering committees have not been identified) and stakeholders assess the state of the project and determine whether to move forward, whether any changes need to be made, or whether the process needs to be halted. The project manager is responsible for ensuring that relevant stakeholders have the information they need to make decisions effectively.

- Decision Gate 1: Are sufficient funding and resources available?
- Decision Gate 2: Is there support for moving forward with pursuing funding?
- Decision Gate 3: Is there support for developing a full proposal and pursuing funding?
- Decision Gate 4: Is there internal support and confirmation of alignment for this project?
- Decision Gate 5: Is a proposal required?
- Decision Gate 6: Are we ready to move into Phase 2: Planning, Implementation, Monitoring and Evaluation? Have all approvals been obtained?

2.3 Cross-Cutting Principles in this Phase

These cross-cutting themes serve as guidelines on how to approach project management at ITU and will differ depending on the project, its size and complexity, and the experience of the project manager. Guidelines on how to approach the cross-cutting themes have been included in each section of this Manual.

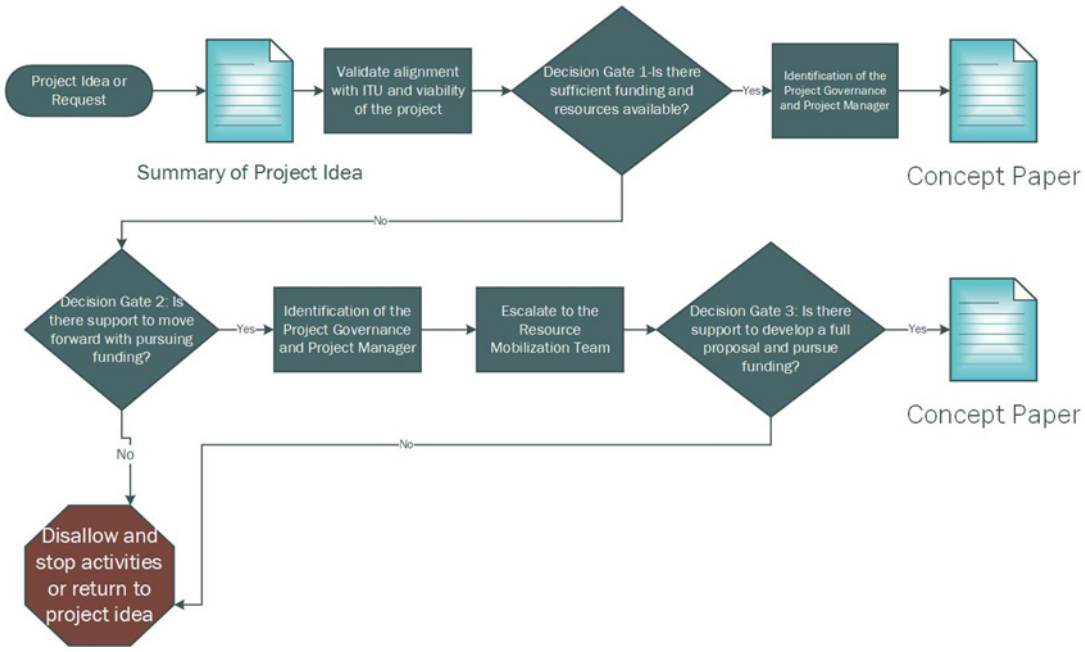
Control: During Phase 1, the project manager must ensure that there is a framework for control mechanisms for the project, complying with the applicable ITU rules and procedures. In practice, this may simply consist in ensuring that decision gates are incorporated into the process so that there are specific milestones within Phase 1 that allow for reflection, stakeholder discussion, assessment and endorsement, a sound design, and ensuring that all stakeholders are on the same page. Control mechanisms are active measures that mitigate the possibility of mismanagement or fraud in the project.

Risk: Comprehensive risk assessment and management are essential to project success, but are often overlooked or perceived as something that is conducted for compliance purposes at the proposal writing stage. In Phase 1, the primary task will be to begin to explore the potential risks associated with your project and develop strategies for responding to those risks should they arise.

Adaptive: Projects respond to a need, and that need may be different depending on the stakeholders consulted. It is important that the data collection process include a variety of perspectives so that a more holistic understanding of the context is provided.

Learning: Lessons learned from previous projects are essential. Helpful tools in this regard include issue logs, lessons learned logs, monitoring and evaluation reports, and quarterly reports. Lessons learned can help to inform the design of the project and may also prove to be a critical secondary means to help the project manager validate the needs. For these to be useful there needs to be a culture of learning in the project. This requires the project manager to enable an environment that encourages critical thinking, asking questions, trust and openness. Establishing this kind of learning culture early on will increase the likelihood of effective learning throughout the lifecycle of the project.

2.4 Part 1: Identification



Project Identification goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

2.4.1 Roles and Responsibilities

Table 4: RACI, Identification and Design

Task	Project Manager	Project Sponsor or Steering Comm[3]	PDD - PRJ	Focal Point/ Cluster	FRMD	Procurement	HRMD	Legal	External Stakeholders
Articulating and communicating the project idea*									
Checking and validating alignment of the potential project with ITU priorities.	R	A	C	C	C				
Decision Gate 1: Are sufficient funding and resources available?	R	A	C	C	C				
If sufficient funding and resources are available									
• Identifying the project manager and governance		R	A	C					
• Developing the concept paper	R	A	C	C	I	I	I		
If not enough funding or resources are available									
• Decision Gate 2: Is there support for moving forward with pursuing funding? (Only if at the previous decision gate it was determined there were not sufficient funding and resources)	R	A	C	C	C				
• Identifying the project manager and governance individual or entity		R	A	C					
• Escalating the project idea to the resource mobilization team for exploration of funding and resources possibilities	R	A	I	I	I				
• Decision Gate 3: Is there support for developing a full proposal and pursuing funding?	R	A	C	C	C				

[3] Until the project sponsor has been identified, the immediate supervisor (COD/RD) will act as such for the purposes of this RACI matrix.

Task	Project Manager	Project Sponsor or Steering Comm	PDD - PRJ	Focal Point/ Cluster	FRMD	Procurement	HRMD	Legal	External Stakeholders
• Developing the concept paper	R	A	I	C					C
Decision Gate 4: Is there internal support and confirmation of alignment for this project?	R	A	C	C	C				
Conduct a needs validation and data collection to inform design	R	A	I	C					C
Conduct a stakeholder analysis (Venn diagram and stakeholder matrix)	R	A	C	C	C	C	C		
Conduct problem and objective analysis (problem and objectives tree)	R	A	I	C					C
Complete the project intervention logic (logical framework)	R	A	C	C					C
Decision Gate 5: Is a proposal required?	R	A	C	C					
If a proposal is required									
• Gather all information required for resource mobilization team to write the proposal and provide it to them	R	A	C	C					C

Note – RACI stands for: Responsible, Accountable, Consulted, Informed.

* The project idea does not have to be proposed by the project manager only. Whoever has the project idea should provide a brief summary of it in order to move on to the next step in the process.

2.4.2 Inputs

Project Idea or Request: This phase begins either with an idea for a project or a request for a proposal for a project. Project ideas are informal, and provide a way to start thinking about the project through a short, written reflection. The project idea can come from anywhere, but in many cases will come from the project manager. If the idea comes from someone other than the project manager, the idea developer needs to liaise with the project manager or governance individual or entity to ensure that the idea is vetted for its viability. It may be helpful to use the concept paper format (Figure 3), but at this point not all sections would need to be completed. Potential sources for project ideas may include:

- Requirements of a programme and/or cluster
- Member State and ITU priorities (regional initiatives)
- A request by a Member State
- An initiative identified by management or any staff member
- A joint initiative between ITU and an interested partner.

Theory of Change: The theory of change (ToC) for the organization helps to guide the project manager during this phase, ensuring that the project contributes to achieving the higher-level change desired and fits within one of the identified impact pathways.

2.4.3 Process

Step 1: Summarizing the Project Idea

The summary of the project idea will be the foundation for developing the concept paper. The purpose of this step is to begin to articulate the project framework. The project idea may be from a paragraph to a page long and should include the general problem as well as a potential solution. If beneficial, the concept paper format (Figure 3) can be used to articulate the project idea, keeping in mind that not all the information indicated in the concept paper will be available at this stage.

Figure 3: Concept Paper Template

<table>
<tr><td colspan="2">Date Updated:</td><td>Submitted By:</td></tr>
<tr><td colspan="3">Project Title</td></tr>
<tr><td colspan="3">Project Sponsor/Steering Committee</td></tr>
<tr><td colspan="3">Problem Statement (250 Words)</td></tr>
<tr><td colspan="3">Summary of Suggested Solution/Intervention (250 Words)</td></tr>
<tr><td colspan="2">Project Goal</td><td>Link to Theory of Change</td></tr>
<tr><td colspan="2">Outcomes:</td><td></td></tr>
<tr><td colspan="3">End Users/ Suggested Partners (Bullet Points)</td></tr>
<tr><td colspan="2">Project Cost</td><td>Project Duration</td></tr>
<tr><td colspan="2">High-Level Risks</td><td>Funding Partner Role</td></tr>
<tr><td>Date:</td><td>Endorsed:

Not Endorsed:</td><td>Reasons if not endorsed (50 words)</td></tr>
</table>

Step 2: Validating the Project Idea

This step ensures that the project aligns with the organization's ToC. It requires a quick analysis of the feasibility of the project as well as the resources (financial, technical and human) required to achieve its objectives. Specifically, the following need to be assessed:

- **Feasibility:** Viability (technical, legal and financial) and anticipated sustainability.
- **Resource Availability:** Are funds available and partnerships in place?
- **Potential Impact and Urgency**
- **Sustainability:** The expected benefits that go beyond the project.

Decision Gate 1 – The first decision gate examines the resources and funding available for the project. **Do we have the funding and resources available to pursue this opportunity?** If funding and resources are available, the responsible person (project manager or whoever is taking the lead) moves directly to the next step, that of identifying the project manager and governance individual or entity. If resources are not available, the project manager (if identified) must liaise with the resource mobilization team and work collaboratively to determine if, how and when resources and funding can be obtained.

The direct supervisor will be responsible for decision-making during this phase. If necessary, the decision will be escalated above the direct supervisor.

Decision Gate 2 – This decision gate needs to be implemented **only** if the funding and resources required have not been secured; this is determined at the first decision gate. The purpose is to answer the question: **is there support for moving forward with pursuing funding?** If the answer is no, you will not move forward with the next step. If the answer is yes, you will move forward with Process Step 3, that of identifying the project manager and governance individual or entity.

Step 3: Identifying the Project Manager and Project Governance

To make this phase as effective as possible, ensure accountability and expedite the decision-making involved, the project manager and governance individual or entity must be identified early on. The project governance will be ensured by the senior line manager/supervisor in cases in which the governance structure is a project sponsor. A steering committee will provide the governance structure if the project is large or if it is determined that a medium-sized project requires a steering committee. It is at this point that the members of the steering committee are identified and brought on board. Steering committee members may include the representative of the cooperation partner(s)/project beneficiary, ITU RD, chiefs of related departments (who can be represented by the cluster lead) and HODs.

Decision Gate 3 – Once a way to obtain funding and resources for a project has been determined, the next decision gate focuses on deciding whether to proceed. **Is there support for developing a full proposal and pursuing funding?** The project manager and governance individual or entity will implement all necessary processes and procedures in order to obtain authorization to proceed to the next step, that of developing the concept paper.

2.4.4 Output

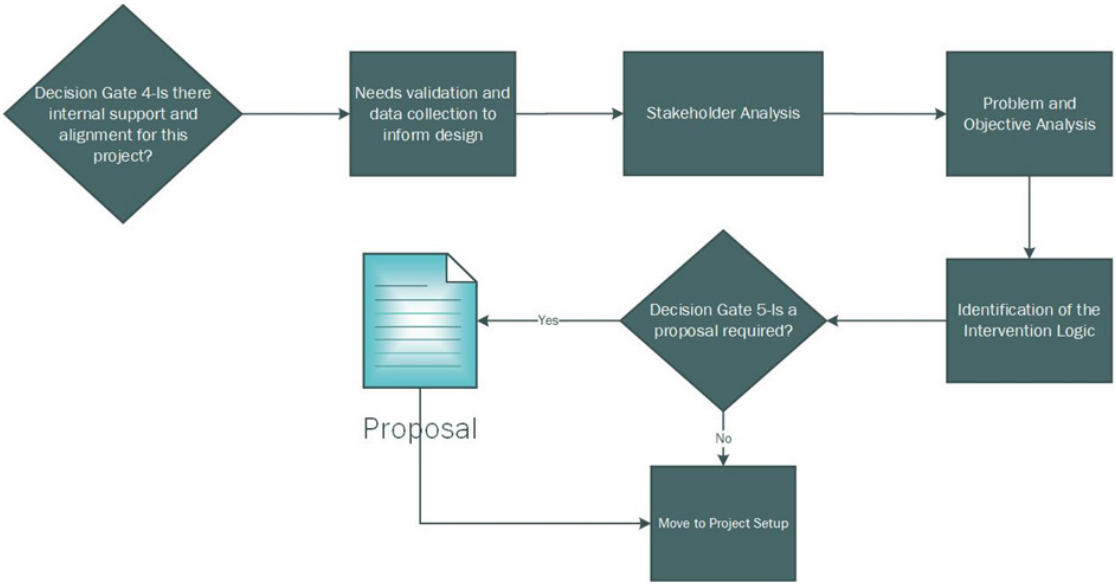
The Concept Paper: The concept paper (Figure 3) is developed by the project manager and any additional internal stakeholders that can provide insight into the scope, technical components and budget of the potential project. The concept paper is shared with relevant clusters, focal points, regional office and PRJ for input. The consulted units contribute by providing feedback and elaboration, modifications and/or amendments based on their expertise, regional

knowledge, lessons learned from similar projects and other available information. The final version of the concept paper is subjected to Decision Gate 4, which requires endorsement for the start of further work in developing a project document which is further elaborated in Parts 2 and 3 of the process, respectively Design and Set-Up. The format for the concept paper should be unified across the organization and be no more than 1-2 pages in length.

Figure 4: Concept Paper Decision Gate Process

The concept paper is submitted to the immediate supervisor who may be the HOD or COD/RD of the project manager. Thereafter it should be forwarded to the COD/RD responsible for the project manager. It is recommended that the endorsing COD/RD liaise with all related cluster leads/CODs/RDs to ensure that all key persons are informed and that communication and endorsement occur at all levels.

2.5 Part 2: Design



2.5.1 Process

Project Design goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

Decision Gate 4-The second decision gate in this phase is a consequence of the concept paper, which is submitted internally. **Is there internal support and confirmation of alignment for this project?** The endorsement provides the project manager with internal authorization to continue to the next step in the process. Any concept paper not endorsed stops the process or requires that the project manager provide a revised project idea and concept paper for endorsement.

The date of endorsement is recorded in the concept paper. If there is no endorsement, a brief outline of the reasons for not endorsing the project is included.

Step 1: Needs Validation and Data Collection

The data collected during this phase are not limited to the challenges to be addressed and the needs and priorities of the targeted community. Other information must be obtained at this point in the project so that there is a more comprehensive understanding of the context. That data might include:

- Legal and regulatory environment
- Social and cultural conditions and norms
- Infrastructure available and required
- Strengths, opportunity and vision
- Biological/physical environment
- Organizational networks
- Successes (learning from previous projects) and capacity.

There are many ways to gather these data, keeping in mind that at this point there are likely to be limited resources to work with. For example, there may be no dedicated budget for implementing a comprehensive data collection effort, or there may be no human resources to dedicate to the data collection process. These constraints must be borne in mind when determining the source and method used to collect the data.

Before the data collection process can begin, a brief plan should be developed that identifies:

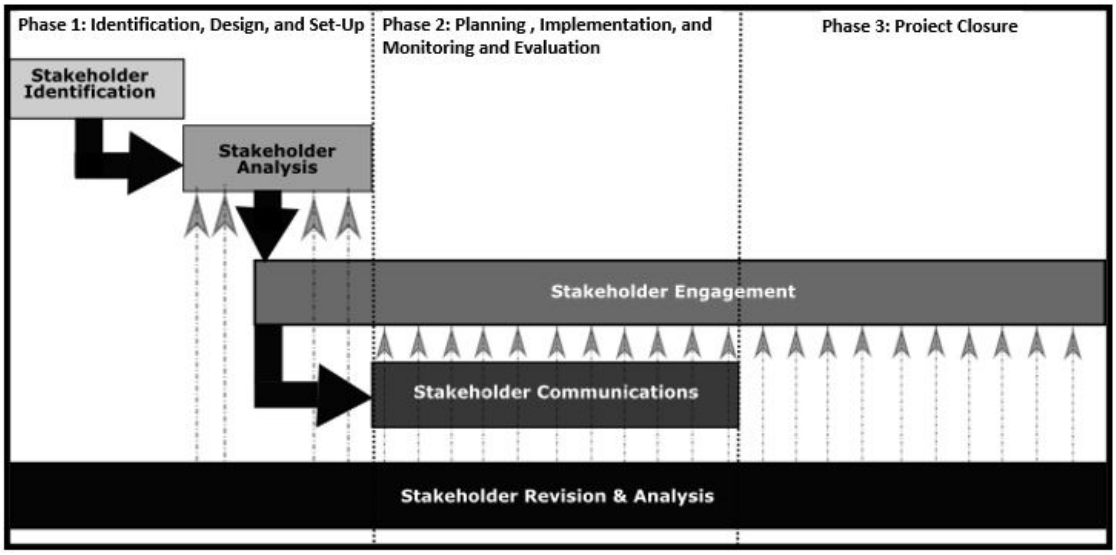
- The purpose of the data collection
- The resources available for conducting the data collection
- The human resources required
- The timeframe available for conducting the data collection/needs assessment.

For this component, the plan does not need to be a formal document, but the questions above should be answered.

Step 2: Stakeholder Analysis

For a successful project, the project manager needs to develop the discipline required to manage stakeholder relationships. The project manager needs to understand the reality and complexity of interests and relations, evaluate and predict project impacts (both positive and negative) on all stakeholder groups, and design and implement engagement plans that encourage project participation and strong communication.

Figure 5: Stakeholder Management in the Project Phase Model



Components of a strong stakeholder management system include:

1. Stakeholder Identification (Phase 1: Identification, Design and Set-Up)
2. Stakeholder Analysis (Phase 1: Identification, Design and Set-Up)
3. Stakeholder Engagement (Begins in Phase 1: Identification, Design and Set-Up and continues throughout all phases)
4. Stakeholder Communications (Phase 2: Planning, Implementation, Monitoring and Evaluation)
5. Revision and Analysis (continuous).

Stakeholder Analysis Part 1: Stakeholder Identification

Stakeholder analysis is a mandatory process for all projects. This Manual outlines some of the tools available. However, a variety of other tools can be used.

During the identification and design of a project, stakeholders relevant to the project are identified and analysed. Engaging stakeholders in this phase is crucial to the success of the project. The identification and design of the project can be facilitated through a participatory process that promotes buy-in for the intervention early on and helps outline priorities.

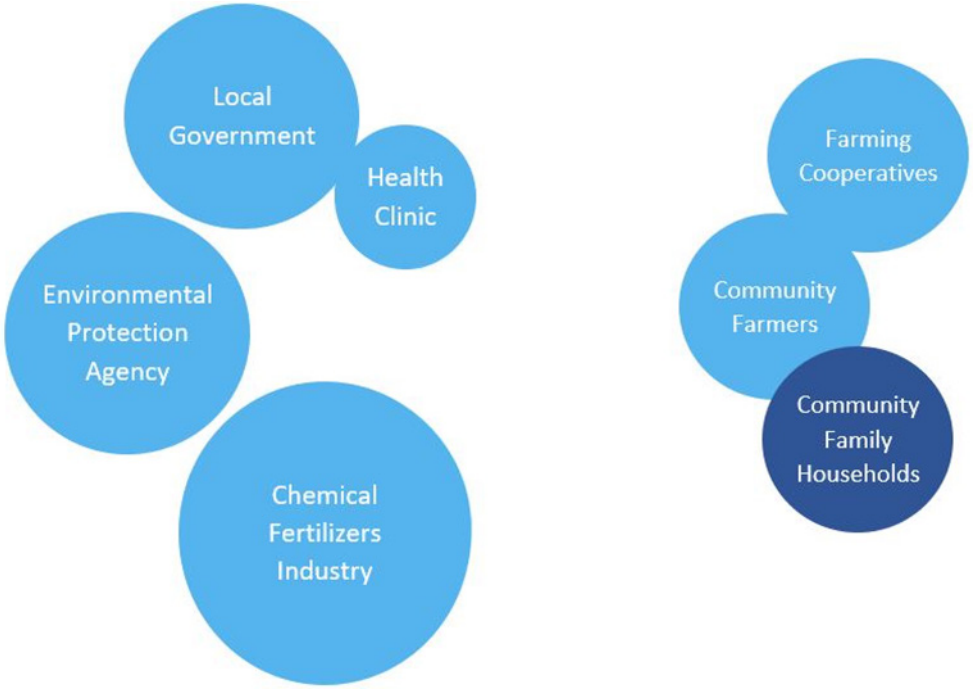
Another benefit to engaging stakeholders during this phase is that it can set the tone for the collaboration and coordination with stakeholders that will continue throughout the lifecycle of the project. The engagement should be deliberate and strategic, incorporating participation and feedback mechanisms when and where appropriate. Keep in mind that the greater the number of stakeholders associated with a project, the more complex their management will be. Streamlining this process is essential and can be achieved by ensuring clarity regarding roles and responsibilities and proactive communication.

As the project advances through its phases, stakeholder communication and engagement will become more detailed. Project managers should start by simply listing as many stakeholders as they can think of. This is best done collaboratively, in a group.

Stakeholder Analysis Part 2: Stakeholder Analysis

It is important to analyse and understand stakeholder relationships as part of good project management practice and as part of due diligence in mitigating reputational risk. There are a number of tools for doing this, including the Venn diagram. Venn diagrams are created to analyse and illustrate the nature of relationships between key stakeholder groups. A Venn diagram is developed from the perspective of a single project stakeholder (or a group of project stakeholders). Each circle in the diagram identifies a stakeholder involved in the project. The size of the circle used can help indicate the relative power/influence of the stakeholder, while the spatial separation is used to indicate the relative strength or weakness of the working relationship/interaction between different groups/organizations. Venn diagrams are commonly used as a participatory planning tool with target groups to help them profile their concept of such relationships.

Figure 6: Venn Diagram



Top Tips-Venn Diagram

Participation: Stakeholders will have different views on the power and influence depending on their perspective, so it is essential to have them participate in the development of this tool.

Perspective: A Venn diagram is best used when the power and influence are mapped from a given perspective, because power and influence can be relative. You may need to construct several Venn diagrams from different perspectives to achieve a more holistic perspective.

Individuals: Remember to include powerful individuals as well as institutions.

Visualization of Relationships: The Venn diagram provides a very good visualization of relationships and can provide a helpful and quick reference to help stakeholders understand the relationships between one another.

Beneficiary Group: As a starting point for using the Venn diagram, it can be beneficial to map stakeholders from the perspective of the beneficiary group.

It is important to document the process of the stakeholder analysis, keeping in mind that this is a living process that must be revisited throughout the lifecycle of the project. A helpful tool in the documentation of stakeholders is the Stakeholder Analysis Matrix. This matrix uses the outcomes from the Venn diagram (or other stakeholder-influence mapping tools) to further identify, elaborate and communicate the interests, capacities and potential actions of project stakeholders. Unlike the Venn diagram, the matrix allows a more detailed narrative that provides additional data concerning stakeholders, their interests, their influence and potential actions to address their interests. It is a living document that should be updated at specific points throughout the project. Decision gates offer a very useful opportunity to get the project stakeholders together to reassess their situation and ensure they are being communicated and engaged with at an appropriate level.

Table 5: Stakeholder Analysis Matrix

Stakeholder Description	Interest in the Project	Power and Influence	Relationship
Delta River Community Families **450 households discharge waste and waste water into the river which is also used as a source of drinking water and for fishing**	To reduce the incidence of water-borne disease and to improve access to WASH facilities, including latrines.	Capable of reducing fecal disposal in the river, but not aware of its impact.	Main beneficiaries of the latrine project

Top Tips-Stakeholder Matrix

Detailed: Be sure to include as much detail as possible about each stakeholder so that anyone who views the stakeholder matrix can get a general idea of the stakeholders listed.

Living: The stakeholder matrix is a living tool and should be reviewed and updated at regular intervals. The frequency will depend on the project. For example, in more complex projects or those in changing contexts, it may need to be updated at each decision gate.

Step 3: Problem Identification and Objectives Analysis

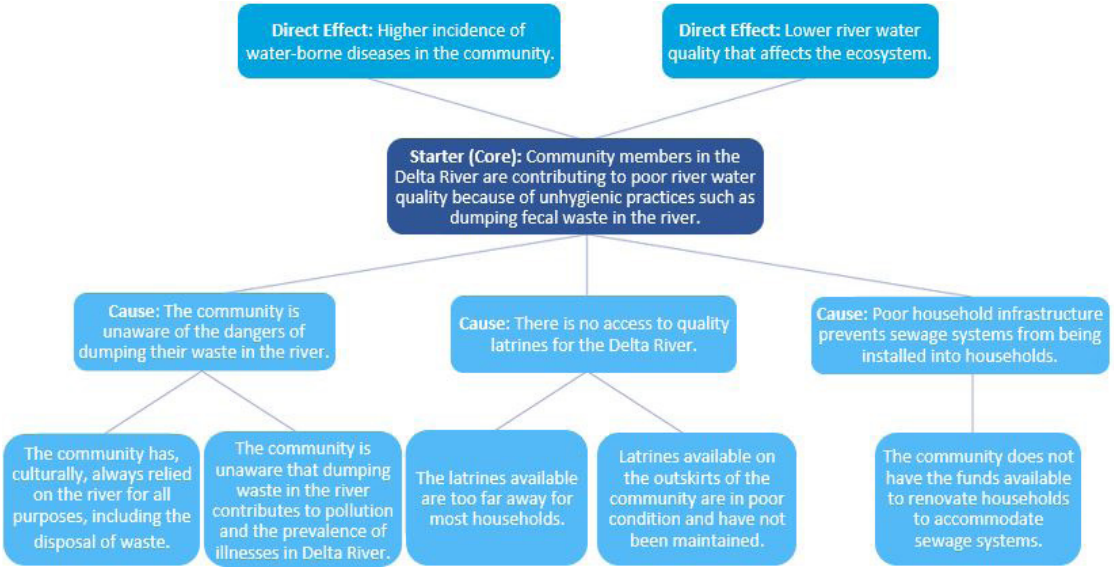
Once data have been collected and stakeholders identified, the next step is to identify the problem using the problem tree tool.

When developing a problem tree, it is important to begin the process by identifying the "starter problem", either through an open brainstorming process with stakeholders or by pre-identifying it, based on preliminary analysis of existing information. Once the starter problem has been identified, the process of elaborating the problem tree is completed (preferably through a participatory group process) following these instructions:

- Problems directly causing the starter problem are placed below (causes);
- Problems which are direct effects of the starter problem are placed above (effects).

The guiding question behind the logic of the problem tree is: "What causes that?" If there are two or more causes combining to produce an effect, they are placed at the same level in the diagram. Cause-effect arrows are used to connect the different levels of the problem tree.

Figure 7: Example of Problem Tree



Top Tips-Problem Tree

Use Sticky Notes: Using sticky notes or interactive software tools is helpful when developing the problem tree.

Detailed: If the bottom level does not present a potential intervention, then the problem has not been broken down enough. In the example above, it is likely this would need to be broken down into further detail because the current causes are too general to be considered an intervention. Do not worry too much about whether or not the problem is something the organization can address; rather, break all of the root causes down, and in the next step you can consider which intervention is most appropriate for your project and organization.

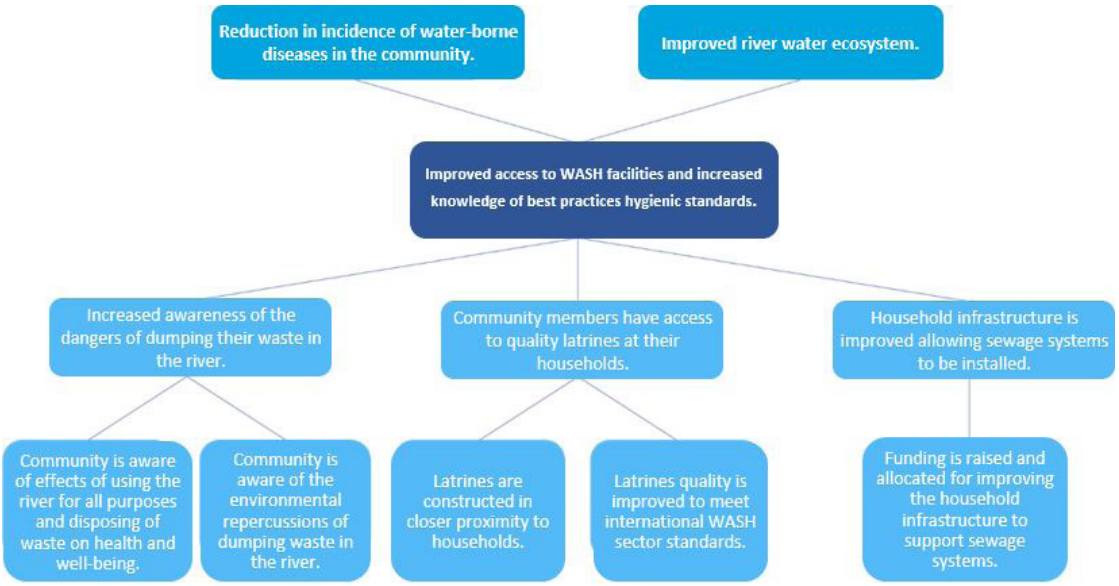
Participation: This is a very good tool to use in a participatory exercise, and helps to provide further insight into root causes and direct effects.

Once a problem tree has been completed, the next step is to develop an objectives tree that begins to identify the potential interventions that could take place to address the problems in the problem tree. The objectives tree is a mirror image of the problem tree, with each statement in the problem tree transformed into a positive objective statement. While the problem tree displays cause and effect relationships, the objectives tree shows the "means-to-end" relationships.

Once the objectives tree has been developed, the project manager needs to start considering what falls within and what falls outside the scope of the project. Strategic questions to ask during this stage include:

- Which elements will be included in the project intervention?
- Which elements will not be included in the scope of the project?
- What criteria will be used to make these decisions?

Figure 8: Example of Objectives Tree



Top Tips-Objectives Tree

Complete Statements: The more complete the objective statement, the easier the next steps in the process will be.

Participation: As with the problem tree, the participation of stakeholders in the development of the objectives tree can offer insight and perspective that may be missed if done with limited stakeholder involvement.

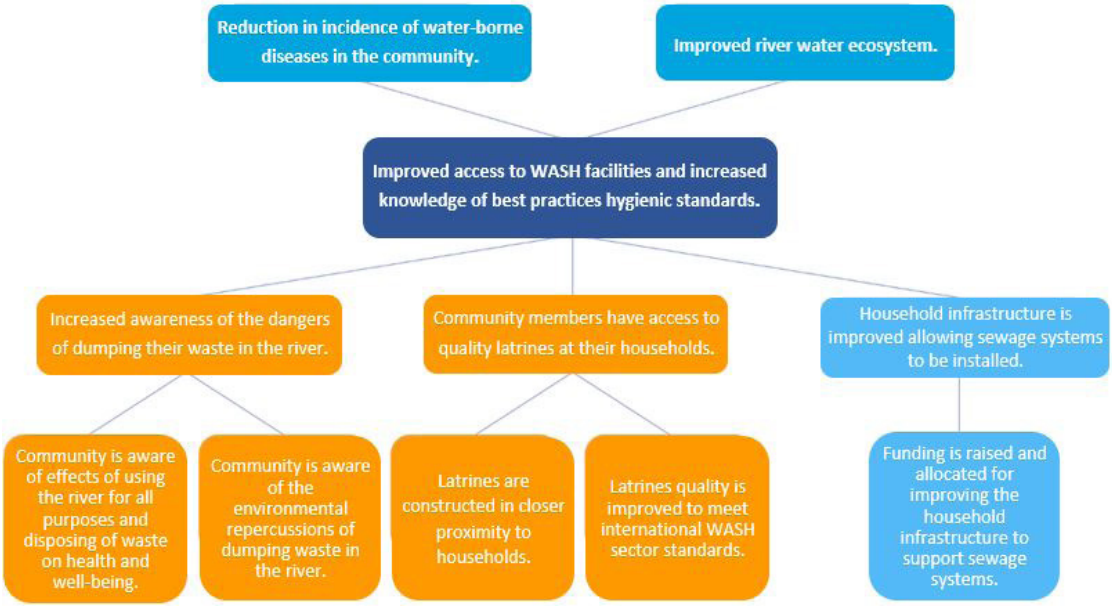
Detailed: If you find that the bottom level does not offer possible interventions, then you will need to go back and check the problem tree to make sure you have really identified the root causes.

These questions may prove to be difficult and organizations will be confronted with numerous alternatives. Concrete decisions regarding the scope of the project must be outlined. Where will the project intervene? What services will be provided? Who will be served? It can be helpful to use a checklist to determine which intervention would be most appropriate.

• Needs Prioritization	What needs had the highest level of emphasis during the assessment/analysis? Which needs should be addressed in order to have the highest potential impact?
• External Programme Considerations	Who else is working in the proposed area of intervention? What are their programme strengths? What existing activities complement the objectives tree analysis?
• Appropriateness	Is the proposed approach acceptable to the target population and key stakeholder groups? For example, would a reproductive health programme be appropriate and consistent with religious and cultural norms?

• Institutional Capacity	What are your organization's strengths? What are your implementing partner's capacity levels?
• Resource Availability	Is funding available? Is there potential for growth? What opportunities exist to leverage resources?
• Cost-Effectiveness	Is the rate of return for the investment acceptable?
• Technical Feasibility and Sustainability	Can the proposed work realistically be accomplished? Can the work of the project be sustained and maintained over time?
• Internal Programme Considerations	What are the strategic priorities for ITU? What are ITU's programme strengths?
• Portfolio Considerations	Does the project fit within the larger portfolio and ToC of projects in ITU?

Figure 9: Objectives Tree-What falls within and outside the scope?



Step 4: Identification of the Project Intervention Logic

Once the intervention has been identified, how outcomes are achieved must be developed. For this, the logical framework is used.

The logical framework matrix identifies and communicates the logical relationships in a project by tracking the vertical and horizontal reasoning that connects the different levels of the matrix. The relationship between the elements on each level of the logical framework illustrates the vertical logic that will result in achievement of the project's goal/impact.

The four-level matrix includes the following components:

1. **Activities** are actions taken through inputs (financial, human, technical, material and time-based).
2. **Outputs** are tangible and non-tangible deliverables resulting from project activities. They include products, goods, services and changes (e.g. people trained with increased knowledge and skills; quality roads built) that aggregate and contribute to outcomes.
3. **Outcomes** are what the project expects to accomplish at the outcome level and contribute to population-level changes that aggregate and help accomplish goals and impact over time.
4. **Goals/Impact** are the highest-level desired end results or impacts (transformation, sustainability) resulting from the project.

The next step in developing the logical framework is to include the indicators. Indicators depict the extent to which a project is accomplishing its planned inputs, outputs, outcomes and goals/impact. They communicate in specific, measurable terms the performance to be achieved at each level of change. Indicators also help to remove vague and imprecise statements about what can be expected from project interventions. When developing indicators, the norm is to use SMART criteria to guide performance indicator conceptualization. SMART is an acronym with the following meaning:

- **Specific** – Indicators must be specific and focus on the change that is expected at each level. What or who is changing?
- **Measurable** – The indicator must be quantifiable and measurable. Can the indicator be assessed objectively and independently?
- **Achievable** – Indicators must be attainable within the constraints of the project triangle (budget/resources, time/budget, and scope/quality).
- **Relevant** – Indicators must accurately measure the change the project aspires to generate. Does the indicator practically and cost-effectively measure the outputs, outcomes and/or goal?
- **Time-bound** – The indicator should identify a specific time and date. By when will the indicator be achieved? Can the indicator be achieved within the established timeframe?

Means of verification (MOV) are the sources from which we obtain the information to measure our indicators. They should be cost-effective and should measure the indicators directly. The best advice regarding indicators and MOV is to keep things simple. The more complex the indicator, the more complex (and subsequently, challenging to measure) the MOV.

The final component of the logical framework is the assumptions. An assumption is a precondition of something we expect will remain true in order to get from our outputs to outcomes, and outcomes to goal.

It is not necessary to include indicators and MOV at the activity level. However, all are required at the output and outcome levels. They are also required at the goal/impact level.

Table 6: Logical Framework Example

	Objectives	Indicators	Means of Verification	Assumptions
Goal/ Impact	To improve the quality of river water in the Delta River.	% reduction in the presence of pollutants in the Delta River.	Water quality tests	No need for assumptions at this level
Outcome(s)	Improved access to quality latrines for the Delta River community.	% increase in the use of latrines by the end of the project compared with before the project. % of community members who express satisfaction with the distance, quality and condition of the latrines by the end of the project.	Survey data Focus group discussions with community	There are no additional sources of pollution in the Delta River. Latrines are maintained by the municipality to ensure they continue to function at the highest quality possible.
Outputs	1.1. Quality latrines constructed 1.2. Local municipality trained on the maintenance of the latrines. 1.3. Delta River community advocates trained on value and use of latrines.	1.1. # of latrines constructed within 50 metres of households by the end of phase 2 of the project. 1.2. # of municipality staff trained on, and demonstrating knowledge of, technical maintenance of the latrines by the end of the project. 1.3. # of community advocates trained on, and demonstrating knowledge of, the use and value of the latrines by the end of phase 1.	1.1. Engineering survey data 1.2. Training attendance sheets and pre/ post assessment 1.3. Training attendance sheet and pre/ post assessment.	1.1. Access to the latrines and awareness of benefits will ensure that the community uses the latrines. 1.2. Municipality staff remain in their position and transfer the knowledge of maintenance to new staff members. 1.3. Community advocates have enough power and influence to convince the community to use the latrines.
Activities	1.1.1. Latrine specifications and locations are confirmed in coordination with the engineering team. 1.1.2. Build the latrine cap and structure. 1.1.3. Install the latrine structure and conduct a quality check.	Inputs: latrine construction materials, WASH engineer, training curricula on latrine maintenance, advocacy materials.		

Top Tips-Logical Framework

SMART Indicators: Indicators must be SMART (Specific, Measurable, Achievable, Relevant and Time-Bound). Limiting the number of indicators is also advised. In this case, more does not actually mean better. It is more efficient to have two to three SMART and well-defined indicators rather than five to six indicators that have not been properly defined and identified.

Well-Thought-Out Assumptions: The assumptions are critical to the horizontal logic in the logical framework. Incorporating well-thought-out assumptions is essential to sound logic and can be best achieved through consultation with those with previous experience and those currently working in the environment the project will be operating in.

Practical MOV: Time, resource and capacity constraints should be considered when developing the MOV.

Participation: A well-thought-out and developed logical framework will benefit from the participation of stakeholders, especially in the assumptions.

Decision Gate 5: Is a proposal required for this project? Not all projects will require a proposal. It is at this decision gate that the project manager and governance individual or entity will determine whether a proposal is required and how to move forward – in collaboration with the resource mobilization team – with developing the proposal. If a proposal is not required, the project manager will continue with the next process in setting up the project, for which the output is a project document.

2.5.2 Output

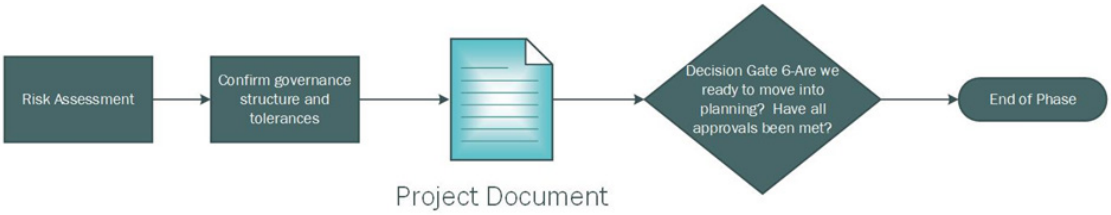
Project Proposal: The result of all processes completed so far could be the project proposal. The proposal requires an examination of the information needed to comply with all components as outlined by the cooperation partner(s). The formats of the proposal will also vary depending on the cooperation partner(s). It is important to make this process as participatory as possible so that the proposal better reflects reality both in the project and on the ground.

Top Tips-Proposal

Realistic Estimates: The proposal is a document intended to secure funding, however the estimates provided in the proposal should be realistic. Involving the support teams in the estimates will help ensure that they are more accurate.

Meets All Funder Requirements: Make sure your proposal meets all compliance conditions and requirements outlined by the cooperation partner(s), and only provide the information required. Including unnecessary information is not helpful and tends to create less clarity. Review the funder requirements and compliance conditions prior to writing the proposal in order to ensure only the necessary information is included.

2.6 Part 3: Project Set-Up



Project Set-Up goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

2.6.1 Roles and Responsibilities

Task	Project manager	Project sponsor	PDD - PRJ	FRMD	Procurement	HRMD	Legal	External stakeholders
Conducting the risk assessment (identifying the risks–impact and probability–and the risk response strategy)	R	A	C					
Compiling all information and putting it into the project document format	R	A	C	C	I	I	C	C
Decision gate 6: Are we ready to move into planning? Have all approvals and signatures been obtained to move into the next phase?	R	I	A	C			I	C

2.6.2 Process

Step 1: Risk Assessment

Risk is the potential effect of uncertainty on project activities, outputs and outcomes. When considering the definition of risk, two key ideas need to be explored further:

- **Probability**: Risk can be seen as relating to the probability of uncertain future events.
- **Impact**: Risk has the potential to impact the project. Most projects focus on negative risk that has the potential to harm the project (time/calendar, cost/resources, quality, scope, etc.).

A risk event is something that may happen and could affect the project. In other words, a risk is a possibility, something that could prevent the project from achieving the outputs and outcomes within the time, budget, scope and quality outlined.

During identification and design, initial project risks were identified. In the present part of the phase, risks are further detailed and analysed to produce a risk register, which will be updated

and reassessed at set times throughout the project. Comprehensive risk management in a project consists of:

1. Identifying the risks
2. Categorizing the risks
3. Assessing the impact and probability of risks
4. Developing risk response strategies
5. Monitoring and controlling risks

The risk register is the foundation of a risk management plan, which is further detailed in the planning section of this Manual. The risk description gives a brief explanation of what the risk is. The impact and probability are both scored on a scale of 1 to 10, 1 being the lowest impact or probability and 10 being the highest. Those two scores are then multiplied together to produce a risk score. The risk score helps the project manager to identify those risks that should be a priority for monitoring and those that require less emphasis at this point. The risk response strategy details the actions to be taken to address the risk, while the risk response owner is the individual or department responsible for taking those actions.

Table 7: Risk Register

Risk description	Impact (1-10)	Probability (1-10)	Risk Score	Risk Response Strategy	Risk Response Owner
Partner lacks capacity to implement activities causing a delay in Stage 2 activities.	6	5	30	Mitigate – Include a budget for building the capacity of the partner.	Project manager

As previously mentioned, risk and its probability and impact can change throughout the project, so it is important to review risks at decision gates. A risk response strategy must be developed for each risk; however, in some cases, when the risk score is low, that response strategy may be limited to monitoring the risk to see if the impact and probability change.

The initial risk assessment should be included in the project document and updates on the risks must be included in quarterly progress reports. The project manager is responsible for maintaining and updating the risk register. The project governance individual or entity needs to review the risk register periodically, ensuring that the risk register has been completed and updated, and work with the project manager to assess new risks that emerge throughout the project.

Step 2: Governance Structure and Tolerances

In the context of project management, governance defines the management framework within which project decisions are made. For small projects, a project sponsor is required. For medium-sized projects, depending on the complexity, governance is ensured either by a project sponsor or a steering committee. For large projects, a steering committee is established.

The sponsor/steering committee and the project manager are responsible for the success of the project, which means delivering it on time, respecting the budget and scope, and at the quality agreed upon.

The steering committee consists of the following stakeholders:

- Representative of the cooperation partner(s)/project beneficiary
- ITU RD
- Chiefs of related departments (who can be represented by the cluster lead)
- HODs

Strong governance includes the following responsibilities as a minimum, and takes into consideration tolerance levels for the project manager, governance individual or entity and cooperation partner(s):

- **Authority**: Who has the power to make decisions within tolerance levels?
- **Accountability**: Who is accountable for the success of the project? Without clear accountability for project success, there is no one moving agendas to resolve project issues.
- **Project Changes**: Decisions on changes that extend beyond the project manager's agreed tolerances.
- **Oversight**: Overseeing the direction of the project, providing insight and monitoring the viability and validity of the project, making recommendations to terminate the project if necessary. Also ensuring that different stakeholder perspectives are heard.
- **Support and Advocacy:** Providing support and resources for the project and advising the project manager on the management aspects of the project, especially those beyond the control of the project manager.

Another function of a strong governance individual or entity is ensuring that the tolerance levels of the project manager are clearly outlined and articulated in the project document. The tolerances are determined by the governance individual or entity and may differ depending on the project.

Tolerances provide the project manager with a framework for determining to what extent he or she can take decisions regarding a project. Proposals to make changes exceeding the defined project tolerances require consultation with the project governance individual or entity and an amendment/addendum to the project document, signed by ITU and the cooperation partner(s). The tolerances that will be defined in this phase are:

- **Time Tolerance**: the allocation of time for project activities, within the limits defined by ITU and the cooperation partner(s) in the project time schedule contained in the project document.
- **Cost Tolerance**: the flexibility of the project manager to shift funds between the budget categories of the project budget within the limits defined by ITU and the cooperation partner(s) in the project document.
- **Scope Tolerance**: the flexibility of the project manager to implement project activities within the limits defined by ITU and the cooperation partner(s) in the project document.
- **Risk Tolerance**: the benchmark for risk which determines which risks the project manager must escalate to the level of the project sponsor/steering committee.
- **Quality Tolerance**: the flexibility of the project manager in the implementation of the project activities within the limits of the project activities (and in accordance with the SMART indicators) defined by ITU and the cooperation partner(s) in the project document.

These tolerance levels become important during implementation when issues arise and, with them, the need for changes in the project. Project managers need clarity regarding which decisions are within their authority and which require escalation of the decision-making. Establishing the governance structure before the start of planning and implementation provides this clarity for the project manager and facilitates and expedites decision-making processes throughout the project.

Tolerances need to align with the requirements and conditions outlined in the agreement with the cooperation partner(s).

2.6.3 Output

Legal Framework: This is the legally binding written agreement signed by ITU and the cooperation partner(s) which stipulates the general terms and conditions governing cooperation on one or more projects (which are further described in the respective project document(s)). The agreement may take the form of a cooperation agreement, a framework cooperation agreement, or any other suitable form as recommended by the ITU Legal Affairs Unit (LAU).

Project Document: If a project has been following the decision gate model, a number of go/no-go decisions have already been made. To document this, a project document should be set up providing elements of the project, signed by the duly authorized representatives of ITU and the cooperation partner(s). The contents of the project document can vary, but it should include the following elements as a minimum:

- **Project Purpose**: This includes a description of the proposed solution, providing information and explanations related to the project, in particular as regards its origins and why it is being undertaken.
- **Logical Framework:** The intervention logic of the project, including SMART indicators.
- **Project Elements**: A description of the project scope, including the project outputs and primary activities (including a description of the main activities required for achieving each deliverable and an indication of the party who will bear the main responsibility for the implementation of each activity), budget (including the cost of support from the Union's administrative and operational services (AOS) and the UN coordination levy) and schedule/timeline.
- **Contributions and Roles and Responsibilities of the Parties:** A list of the roles and responsibilities of each party in connection with the implementation of the project and a description of the cash/in-kind contributions under the project.
- **Project Risks**: A brief description of potential problems/risks that the project might encounter, in the form of a risk register as per the example in Table 7 above.
- **Project Governance Structure**: A description of the project governance structure, consisting of either a project sponsor or a project steering committee, depending on the budget size of the project; should include a description of the roles and responsibilities of the project governance structure, its composition and working methods.
- **Monitoring and Evaluation**: An overall description of the project monitoring and evaluation activities, including the elaboration of reporting requirements and frequency of such reports.
- **Sustainability**: A description of how the sustainability of the project is to be achieved, including, if applicable, a description of sustainability measures, such as the self-financing mechanisms, that will be put in place upon completion of the project.
- **Project Tolerances**: The agreed project tolerances as regards time, cost, scope, risk and quality.

- **Project Change Control**: The process for making changes when the project exceeds a tolerance in any of the agreed areas. In such an event, an amendment or addendum would need to be signed, in accordance with the requirements set out in the agreement.

Figure 10: Project document template

<table>
<tr><td colspan="4">Project Purpose:</td></tr>
<tr><td colspan="4">Project Logical Framework</td></tr>
<tr><td>Results Chain</td><td>Indicators</td><td>Means of Verification</td><td>Assumptions</td></tr>
<tr><td>Goal/Impact</td><td></td><td></td><td></td></tr>
<tr><td>Outcome</td><td></td><td></td><td></td></tr>
<tr><td>Output</td><td></td><td></td><td></td></tr>
<tr><td>Activities</td><td></td><td></td><td></td></tr>
<tr><td colspan="2">Project Deliverables</td><td colspan="2">• Deliverable 1
• Deliverable 2
• Deliverable 3</td></tr>
<tr><td colspan="2">Project Activities/Scope</td><td>Project Schedule/Timeline</td><td>Project Budget</td></tr>
<tr><td colspan="4">Project Risks</td></tr>
<tr><td colspan="4">Project Governance Structure</td></tr>
<tr><td colspan="4">Contributions, Roles and Responsibilities</td></tr>
<tr><td colspan="4">Monitoring and Evaluation</td></tr>
<tr><td colspan="4">Sustainability</td></tr>
<tr><td colspan="4">Project Tolerances</td></tr>
<tr><td colspan="2">Time
Cost
Scope</td><td colspan="2">Risk
Quality</td></tr>
<tr><td colspan="4">Project Change Control

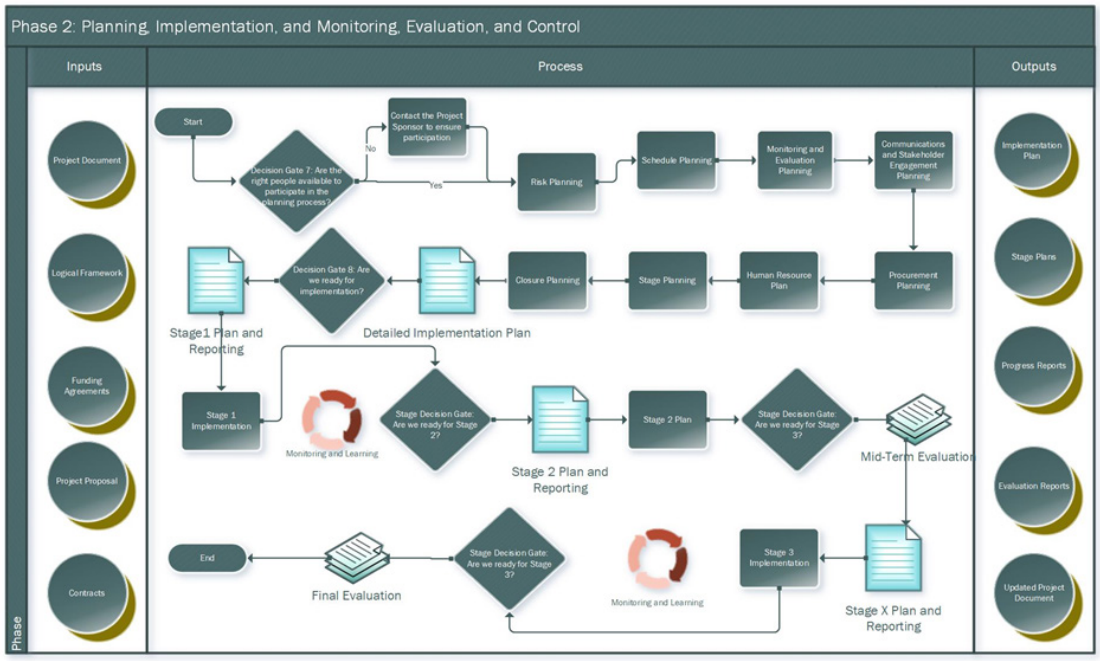
*</td></tr>
</table>

* The full project document template, including the cover page and budget format, can be found in Annex 7.

Decision Gate 6: This is the final decision gate in this phase and focuses on the readiness of the project manager and team to move to Phase 2 and begin the planning process. **Are we ready to move into Phase 2: Planning, Implementation, Monitoring and Evaluation? Have all approvals been obtained?**

At this decision gate, all signatures and approvals need to be obtained prior to moving into the planning phase of the project.

3 Phase 2: Planning, Implementation, Monitoring and Evaluation



3.1 Phase 2 in Practice: What is it all about?

In this phase, the primary inputs from the identification, design and set-up phase feed into the processes and produce the final output: the implementation plan. Additional elements are required to make this process as effective as possible and ensure that the right project is still being implemented in the right way.

By the time a project officially enters Phase 2 planning activities, the project manager has already developed a number of documents from the identification, design and set-up phase (including the project logical framework, project concept paper, project proposal and project document, among others) that contain an extensive level of detail related to the project.

The above process map highlights all potential steps in a project. However, it should be noted that not all projects will require all steps. For example, there may be cases in which a project does not warrant a mid-term evaluation, or the number of stages may be two or more.

3.2 Decision Gates

The decision gates during Phase 2 require more thought and planning. For example, during implementation there will be different stakeholders involved in different decision gates, so it is important to determine, at the beginning of this phase, the participation of stakeholders and plan for what kind of information will be required to take decisions at these gates.

- Decision Gate 7: Are the right people available to participate in the planning process?
- Decision Gate 8: Are we ready for implementation?
- Decision Gate 9: Are we ready to close the project?
- **Stage Plan Decision Gates**: Stages are subsets of phases. If stage planning is used there should be a decision gate to allow for reflection on the progress of activities at the end of each stage. The learning assessment of the monitoring data is to determine if the project should move to the next stage. The number of stage decision gates will depend on the number of stages.

3.3 Cross-Cutting Principles in this Phase

These cross-cutting themes serve as guidelines on how to approach project management at ITU and will differ depending on the project, its size and complexity, and the experience of the project manager. Guidelines on how to approach the cross-cutting themes have been included in each section of this Manual.

Control: During Phase 2, control will be central to the effective delivery of project activities, deliverables and objectives. Tolerances were set by the governance individual or entity in the previous phase and outlined in the project document. All ITU control mechanisms must be incorporated into the project control. There are different kinds of control in a project, including:

- **Internal Controls**: Establishing internal controls promotes the responsible use of resources and protects against fraudulent activities.
- **Change Control:** It is almost certain that some changes will be made to a project. Ensuring that only necessary and authorized changes are made is the essence of change control. A process should be set up during the planning phase that outlines the steps that need to be taken to manage any changes in the project, including changes in tolerances for the project manager.
- **Quality Control:** We want to provide the best product and services possible within the timeline and funds allocated.

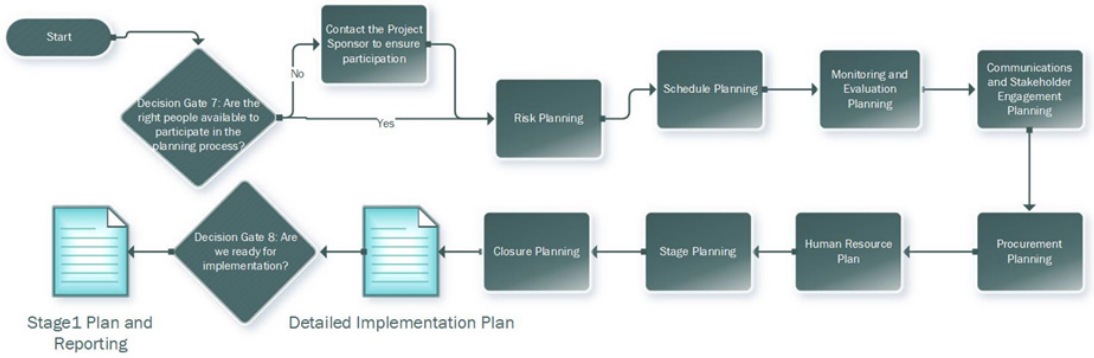
Risk: Risk management is key during this phase. For it to be effective, a risk management plan needs to be incorporated into the planning process. Risks should be reviewed and re-assessed during implementation. Be aware that the impact and probability of risks may change and that new risks may emerge that need to be taken into account. Risks, probabilities and impacts need to be re-examined at the decision gates in the project to ensure they are updated and relevant.

Adaptive: Effective adaptive management during planning and implementation will require that the project manager uses information and data to make decisions, which is where several processes and tools come into play. Monitoring data will help measure progress against the plan while information from evaluations will help ensure the project is on the right track and is adding the intended value. Tools such as the issue log can be useful adaptive management tools, as issues can be used as the basis for lessons-learned activities which feed into the next cross-cutting theme, learning. Stage plans are also an effective adaptive management tool in

this phase, providing the project manager and team with the opportunity to create a high-level plan for the entire project and more detailed plans for every stage.

Learning: Lessons-learned exercises can be conducted at decision gates to encourage continuous learning and feeding the learning into the iterative planning of the project, adding more and more details and making adjustments where necessary.

3.4 Part 1: Planning



Project planning goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

3.4.1 Inputs

The inputs to planning will be the outputs of Phase 1. The main objective of planning is to enable the project manager to effectively plan all project components that will be needed to conduct implementation activities and achieve the expected results.

- Project Document
- Logical Framework
- Legal Frameworks/Related Agreements/Contracts
- Procurement Consultation for Sourcing Options and Timelines which Impact the Planning of the Project

3.4.2 Roles and Responsibilities

Task	Project manager	Project Sponsor	PDD - PRJ	FRMD	Procurement	HRMD	Legal	External Stakeholders
Decision Gate 7: Contacting all stakeholders and ensuring they are on board for participation in the planning process. Escalate up the governance structure if the stakeholders are unresponsive.	R	A	C	I	C			C
Communicating the planning schedule to relevant stakeholders	R	A	C					I
Determining the plans that are appropriate for inclusion in the project based on its complexity.	R	C	A					I
Detailing the plan and conducting planning processes according to the previous decision on the plans to be included								
• Risk planning	R	A	C	C	C			C
• Schedule planning	R	A	C	C	C			C
• Communication and stakeholder engagement planning	R	A	C	C	C			C
• Monitoring and evaluation planning	R	C	A	I	I	I		I
• Procurement planning	R	A	C	I	C			
• Human resources plan	R	A	C	I		C		
• Stage plan	R	A	C	C	C	I		I
• Closure plan	R	A	C	C	C	I		I
Decision Gate 8: Are we ready to implement? Decision on whether the project is ready to begin implementing activities.	R	A	C	C	C	C		C

3.4.3 Process

During the project planning phase, several components are completed to produce the output of the detailed implementation plan. The project manager is responsible for ensuring the planning is done comprehensively.

The planning components and level of detail included in the implementation plan depend on the size (budget) of the project and are outlined in the introduction to this Manual, highlighting the thresholds for which planning components are mandatory and which may be required. The level of detail of the plan needs to be determined by the project manager and governance individual or entity. This section walks through each of the planning components, and the

project manager should complete the process regardless of the size of the project, even if the component is not included in the plan, as part of comprehensive project management and due diligence.

1. **Risk:** The risk register that was developed in the set-up phase will have further detail added and the risks will be reviewed to ensure that response strategies are in place and still relevant and owners identified.
2. **Schedule:** This consists of a series of steps and tools that are used to develop a more detailed and accurate project schedule plan. Included in this plan are the scope of work, the timeframe for the project and the budget allocated for each project activity.
3. **Communication and Stakeholder Engagement**: Taking as a starting point the stakeholder engagement strategy from the set-up phase, the project manager will develop plans for the engagement of stakeholders as well as communication during this phase.
4. **Monitoring and Evaluation:** In line with the schedule, the monitoring and evaluation component should be further detailed during this phase in coordination with the stakeholders responsible for monitoring and evaluation.
5. **Procurement:** This component outlines in detail all the procurement components of the project.
6. **Human Resources Plan:** The human resources component will expand on who will be required (and with what expertise) and include a plan for managing people during the remainder of the project.
7. **Stages:** If the project is longer-term or complex in nature, scope planning using stages may be more appropriate. This breaks the schedule into different stages. For each stage in the project, a comprehensive scope of work is identified. A stage plan allows for more adaptability in the implementation plan by establishing high-level deliverables for each stage – frequently represented as a period of time – and developing detailed implementation plans for each stage as it approaches. This is particularly useful in multi-year and complex projects in which it is impossible to accurately plan in detail for two, three or four years.
8. **Closure:** The closure component highlights the way the project is intended to close. This component needs to be reviewed and revisited throughout implementation as the context may change.

Decision Gate 7-The planning process will be more comprehensive and effective if the right stakeholders participate in developing the plan. The first decision gate of this phase focuses on making sure the right people are at the table and have the time and ability to actively participate in the planning process. **Are the right people available to participate in the planning process?** If the right stakeholders are not available and prepared to participate, the project manager should escalate to the project sponsor to secure the buy-in and participation of stakeholders.

Step 1: Risk

In planning, risks need to be considered as early as in the breakdown of the scope of work and development of the project schedule. Start with the assumptions from your logical framework. Revisit the risks that were identified and planned for in the previous phases. Are they still valid? Have probabilities or impacts changed? Have new risks emerged? The risk plan is a living document, meant to be monitored and updated regularly.

The risk plan helps the project manager to track the status of risks as well as any mitigation measures and other activities that address risk.

Table 8: Risk Plan

Risk	Resources	Status	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6
Partner lacks capacity to implement activities, causing a delay in Stage 2 activities.	Budget for capacity building, expert trainer, assessments to determine progress.	In progress						

Risk planning is critical to the risk management process. Risk analysis should include examination of the risk tolerances and authority levels the project will need for each risk and response strategy. Risk tolerance levels must be determined in close collaboration with the project individual or entity. Planning for risks in this phase must give the project manager clarity about the necessary course of action should a risk event occur at any time in the project.

Top Tips-Risk Planning

Risk Responder: Critical in planning for risk is ensuring there is a response strategy AND a person responsible for responding to the risk should it actually arise. The risk responder may be a technical expert, the project manager, or someone else on the team. The responder must be familiar with the response strategy and know what resources the response will require.

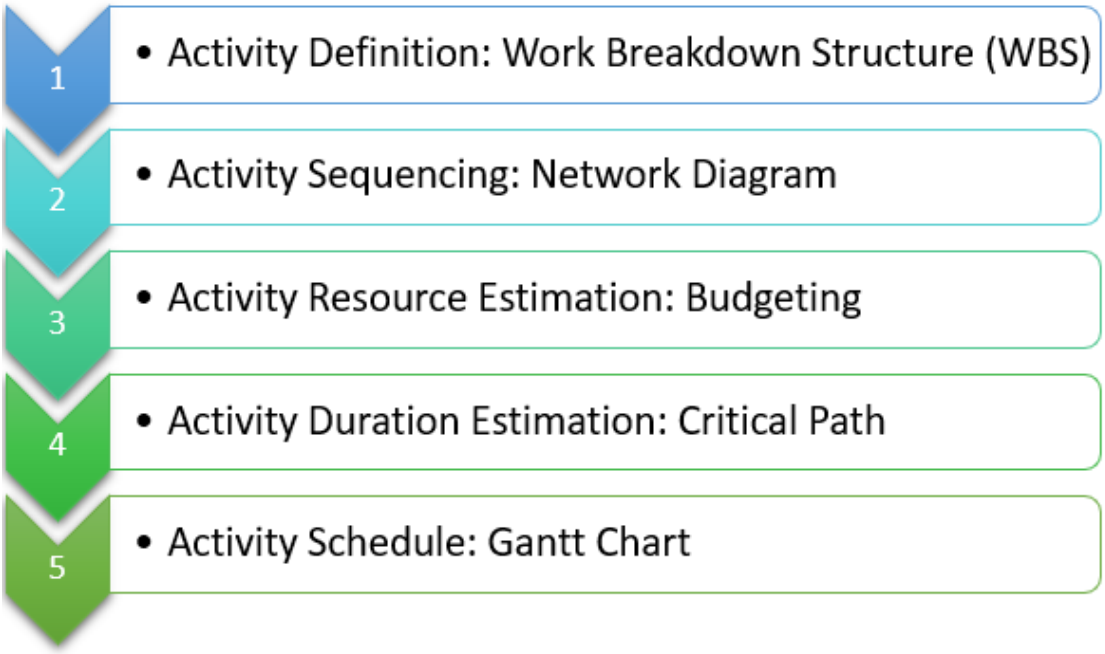
Risk as a Living Process: Risks need to be reviewed periodically. Decision gates are ideal opportunities for making sure that the assessed risk impact and probability and the defined response strategies remain valid. The frequency of revision should be determined in the planning phase and be appropriate to the duration and complexity of the project.

Be Specific: When identifying and analysing your risks, be as specific as possible and make sure the risk describes how it will impact your project. Will it cause delays? Will it compromise the scope or quality? Will it affect the budget?

Step 2: Schedule

The schedule planning process consists of five steps, and focuses on the schedule, timeline and budget of the project. The level of detail and tools used will depend on the complexity of the project and the project budget.

Figure 11: Schedule Planning Process

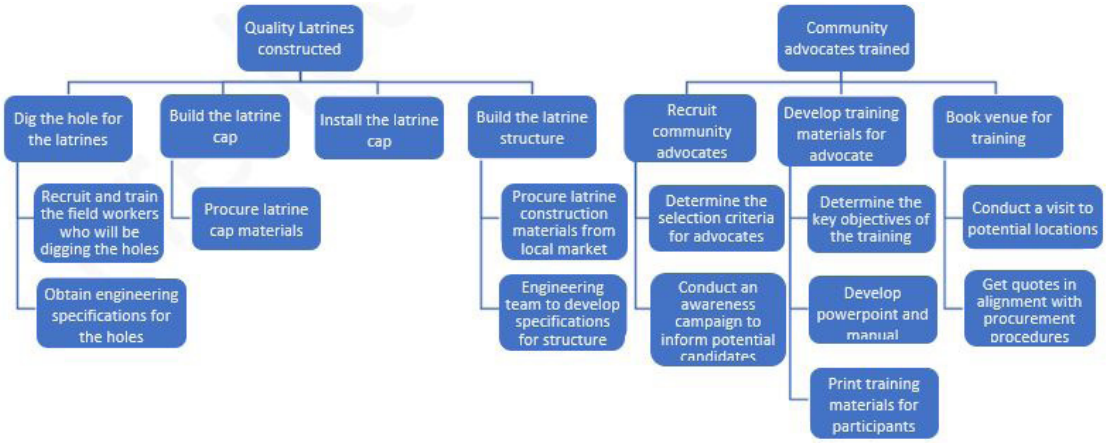


Activity Definition

Using the work breakdown structure (WBS), the project manager develops an activity list which comprehensively records all the activities, direct and indirect, to achieve objectives and produce deliverables. The WBS is a hierarchical breakdown of the work of a project. Put simply, the WBS arranges the project scope in an outline, or hierarchy, of "work packages".

There is not one, correct way to construct a WBS. Work packages may be organized differently depending on the stakeholders involved. Regardless of the format used, the WBS should ensure that the project scope is further detailed.

Figure 12: WBS Graphical Format



Another option for developing the WBS is to use the indented format, as in the example below:

1.1 Pre-construction

- 1.1.1 Plan approval by government
- 1.1.2 Engineering specifications
- 1.1.3 Plan approval by an Environmental Protection Agency (EPA)
- 1.1.4 Ground water study

1.2 Latrine construction

- 1.2.1 Stakeholder engagement
- 1.2.2 Homeowner's approval
- 1.2.3 Site availability
- 1.2.4 Latrine maintenance education

1.3 Procurement

- 1.3.1 Labour
- 1.3.2 Materials
- 1.3.3 Latrine construction
- 1.3.4 Latrine maintenance

Top Tips-Work Breakdown Structure (WBS)

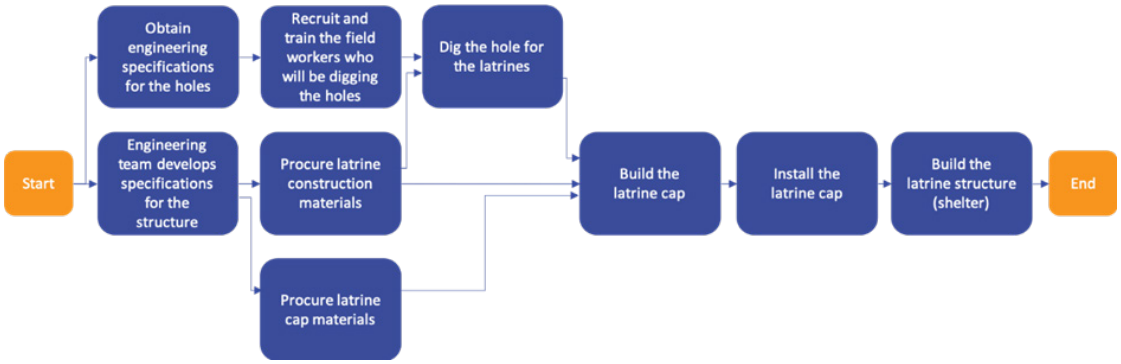
Sticky Notes: Using sticky notes is a great way to facilitate the graphical format of the WBS. Start by listing all the activities you can think of and then place them under the work packages**.** Using sticky notes allows you to move activities around and makes the process more participatory.

Participation: Involving the people who are going to be doing the work is helpful in developing a comprehensive WBS. Those doing the work will likely have more insight on the tasks required to complete an activity.

Activity Sequencing

Once the activities have been defined through the WBS, the next step is to put them in the order they need to happen using a network diagram, which graphically represents the sequences, relationships and dependencies between the activities outlined in the WBS.

Figure 13: Example of Activity Sequencing



Activity Resource Estimation

Once the sequence of activities has been identified, the resources required to complete each task must be estimated and aligned with the budgeting process and the schedule of funding disbursements so that bottlenecks in the cash flow are avoided.

If the project manager can draw up a complete list of activities along with the resources required and accompanying cost estimates, then the allocation of budget resources for each activity will be more accurate.

Resource Estimation and Cash Flow

It is important to review cash flow in regard to the resources allocated, especially in a multi-year project, and ensure alignment between the resources allocated, cash flow and project expenses in order to be sure that the project will have the necessary funds at all times; where that is not possible, interim funding will be required.

Activity Duration Estimation

Once resource estimates have been completed, the network diagram should be revisited and duration estimates added to all the activities. Once those estimates for each activity have been completed, the critical path can be determined. The critical path is the series of tasks that determines the minimum amount of time required to complete all project activities.

Figure 14: Example of Network Diagram

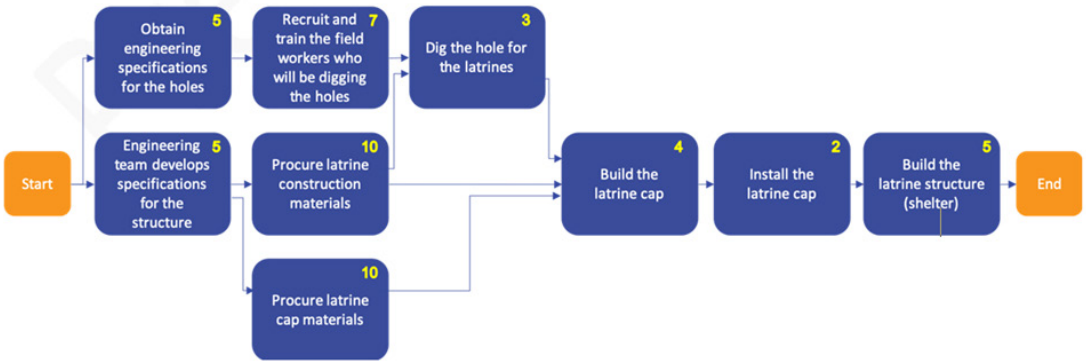
Looking at the example above (Figure 14), there are two paths, one for Activity 1 and another for Activity 2. To determine the critical path it is important to establish the duration of each path. The Activity 1 path has a duration of 56 days, the Activity 2 path a duration of 42 days.

Therefore the minimum time that will be needed to complete all project activities is 56 days. That represents your critical path.

Another example of how to determine the critical path can be seen in the diagram below (Figure 15). There are three paths, with each path consisting of various activities of different durations.

The first path starts with *Obtain engineering specifications for the holes* and ends with *Build the latrine structure*, totalling 26 days. The second path starts with *Engineering team develops specifications for the structure* and ends with *Build the latrine structure*, totalling 29 days (make sure you follow the arrows in the diagram). The third path also starts with *Engineering team develops specifications for the structure*, then goes to *Procure latrine cap materials* and ends with *Build the latrine structure*, totalling 26 days.

Figure 15: Example of Critical Path



The critical path for this project defines the time required to complete all the activities, 29 days.

Activity Schedule

Based on the estimates generated through the previous steps, the project manager can now develop a project schedule using a Gantt chart. A Gantt chart uses bars to graphically represent the schedule of project activities, including their start date, end date and expected durations.

Figure 16: Example of Gantt Chart

Activities	Year 1 (months)											
	1	2	3	4	5	6	7	8	9	10	11	12
1.1 Monitoring Fecal Waste												
1.1.1 Baseline Surveys												
1.1.2 Quality Surveys												
1.2 Awareness Campaign												
1.2.1 Material Preparation												
1.2.1.1 Identify Messages												
1.2.1.2 Create Materials												
1.2.2 Implement Campaign												
1.2.2.1 Publish Materials												
1.2.2.2 Monitor Campaign												
1.3 Build Latrines												
1.3.1 Etc.												

Top Tips-Schedule Planning

Participation: The participation of stakeholders will be key to accurate estimates in your schedule. This will likely require the active involvement of support staff. Also be sure that the indirect work is included in the schedule as these items also take time and effort to complete.

Plan Your Planning: Be sure to plan for the plan. Planning doesn't happen spontaneously and needs to include resources – both human resources and time – in order to be effective.

Level of Detail: Go into as much detail as you have available, but don't get caught up in the detail. Additional details can be added through the stage planning process. It is almost impossible to accurately plan in advance for a project lasting, say, three years. At this point you may be able to provide details on Stage 1 but not on the remaining stages. What is required is a clear overview of the whole project, plus major milestones and activities for its later stages.

Step 3: Monitoring and Evaluation Planning

Monitoring tracks the operational work of the project. It answers questions like: "Have activities been completed as planned?", "Have outputs been produced?", "Is the work of the project progressing as projected?" and "What is the difference between what we had planned and what is actually taking place?" Project monitoring informs the project manager where the project performance is in terms of money, time, risk, quality and other areas of project progress. Monitoring takes place primarily at the activity and output levels and is done continuously throughout the project. The monitoring plan should include the process that will be used to monitor and update the progress of activities against the plan and any reporting requirements.

A tool that can be used for monitoring is an indicator performance tracking table (IPTT). The IPTT allows the tracking of indicators by period of time in the project. In the example below, the time periods are divided by quarter but that may vary depending on the project. Using the IPTT allows the project manager to get a snapshot of what was planned, what was achieved and the variance per period of time. Any monitoring should be aligned with the reporting requirements in the project and incorporated into all quarterly progress reports.

Table 9: Indicator Performance Tracking Table (IPTT)

Objective	Indicator	Baseline	Quarter 1 Target	Quarter 1 Actual	Quarter 1 Variance	Quarter 2 Target	Quarter 2 Actual	Quarter 2 Variance
Outcome: Improved access to quality latrines for the Delta River Community	% increase in the use of latrines by the end of the project in comparison with before the project. (disaggregated by gender)		18% (6% female, 12% male)	30%	23%	50%	48%	18% (6% female, 12% male)
Output: Quality latrines constructed	# of latrines constructed within 50 metres of households by the end of Phase 2 of the project.		100	0	50	35	50	58

Project evaluation tends to focus on tracking progress at the higher levels of the logical framework – i.e. project outcomes. Evaluations tend to explore questions like: "Is the project successful at achieving its outcomes?" and "Is the project contributing to its ultimate goal?" Evaluation data are collected and analysed less frequently and often require a more formal intervention (often by technical advisers or external evaluators) to show project results.

If an evaluation is conducted as part of the project, it will require planning. Substantial resources and funding are required to conduct an evaluation effectively, particularly if an external evaluator is part of the process. The timeframe for the evaluation to be conducted and exploration of any constraints the evaluator may have should also be thought through. Planning for evaluations should be done during project planning and not as the project is closing. A summary evaluation table as in the example below may be helpful in outlining the frequency and purpose of evaluations within your project.

Table 10: Example of Summary Evaluation Table

Evaluation Purpose	Key Evaluation Questions	Timing	Internal or External	Start and Complete Start	End	Evaluation Budget
Assess the performance of the project	To what extent was the project relevant to the community and based on its needs and priorities? To what extent were targets met, why or why not?	Final (end of the project)	External	June 2021	August 2021	CHF 25 000

Step 4: Communication and Stakeholder Engagement Planning

A communication and stakeholder engagement plan will help the project manager to allocate appropriate time and resources to completing communication tasks. The agreement signed by ITU and the cooperation partner(s) outlines the communication required to meet compliance requirements, such as reporting; however, that will not be the only communication in the project. For example, there may be cluster meetings to attend or updates for stakeholders that are not part of the compliance requirements in the contract. The project manager must

detail the communication required, to which stakeholders, and when that communication should occur.

Some examples of what can be included in a communication plan include:

- Progress and financial reports
- Regular meeting schedules
- Press releases and external publications.

An example of a communication plan is provided in the table below:

Table 11: Example of Communication Plan

Stakeholder	Communication Method	Information Needs	Frequency	Responsible Team Member
Cooperation Partner	Report	Progress against outputs and outcomes and financial status	Quarterly	Project manager
Ministry of Water Resources	Face to face meeting	Progress of the activities	Quarterly	Project manager
Project Sponsor/ Steering Committee	Face to face meeting	Progress on activities, issues, risk updates	Bi-weekly	Project manager

In Phase 1, stakeholders were identified and an agreement signed by ITU and the cooperation partner(s). The stakeholder analysis should have provided insight into who is going to be involved in the project as well as their power and influence. Building on that analysis, the stakeholder engagement plan highlights how stakeholders will be involved in activities in the project.

Table 12: Example of Stakeholder Engagement Plan

Stakeholder	Role in Activity	Interest in Activity	Engagement	Follow-up
Who is the stakeholder?	What will they do in this activity?	What is their interest in participating in this activity?	How will we engage them to ensure their participation?	What kind of feedback and follow-up is required?
Local Municipality Official	Opening speech for the project launch.	Participation will provide exposure for the municipality and official and demonstrate that they are interested in providing support for projects that will help the community.	Coordinate and communicate regarding the project purpose through an official letter followed by a meeting to request buy-in and participation in the launch.	Send an official thank-you letter and include their role in the activity in the official press release. Have a follow- up meeting with the official(s) to answer any questions and request their engagement in future activities.

Top Tips-Stakeholder Engagement Strategy Planning

Review, Revisit and Adapt: Stakeholders will change and evolve as the project moves forward, so your stakeholder engagement strategy will likely change and evolve also. As a living process, the stakeholder analysis needs to feed directly into the stakeholder engagement strategy. Take time to review, revisit and adapt the strategy to more accurately reflect the stakeholder needs. Pay attention to any staff changes in stakeholder organizations; engagement may need to be adapted to follow those changes.

Update Project Document: Updating the project document is a great way to introduce new stakeholders to the project, providing them with a general overview of what is happening in the project. Any changes to the project document require an amendment/addendum to the project document.

Step 5: Procurement Planning

The project manager needs to actively coordinate with the procurement team, as well as apply the ITU Procurement Manual, to determine the timeline for the procurement processes and fully comply with the ITU procurement rules and regulations. Consult the procurement team as early as possible as this is an essential part of ensuring that you can achieve your deliverables and meet objectives within the designated schedule. Follow up with the procurement team at regular intervals to monitor the progress of the procurement activities and relevant timelines, which shall be aligned with cash flow and disbursements, and as good schedule management practice.

Procurement Planning at ITU

The project manager is responsible for proper planning for individual procurement cases and ensuring that a procurement request is initiated sufficiently in advance to allow for timely and efficient delivery of goods and services. Procurement planning for each individual procurement activity includes setting up the timelines required to perform each step of the procurement process following the identified solicitation method, contract type and type of competition.

Procurement Planning at ITU

Project managers and other project staff involved in the procurement activities shall give due consideration to the following main principles of procurement:

- Fairness, integrity and transparency
- Effective competition, when appropriate international
- Best value for money
- Best interest of the Union.

In planning procurement, the project manager must differentiate between two categories of assets/equipment:

- Category 1 asset/equipment is procured by ITU and delivered directly to the beneficiary
- Category 2 asset/equipment is procured by ITU and used by the project for a certain period of time.

Category 2 assets should be registered in the ITU inventory list during the project. At the end of the project the assets will be transferred to the appropriate beneficiary. They will be written off from the asset register once the project is properly closed with proper handing over of documents (from the beneficiary and/or donors).

Step 6: Human Resource Planning

Planning the human resource needs for the project should be conducted in coordination with the Human Resources Management Department (HRMD) and other relevant internal and/or external stakeholders. Some questions to consider when developing the plan for human resources may include:

- What financial resources are available for staffing the project?
- What kind of skills are required?
- By when are the skills needed and for how long?
- Which staff are already assigned to the project and what skills/expertise do they have?
- Will any technical experts be required?
- Will you be working with contractors and vendors and what role will they play?
- What skills training will project staff need?
- Do we have other internal expertise that can be utilized and/or internal staff that could be provided on loan for the project?

Consultants, SSAs and Human Resource Planning

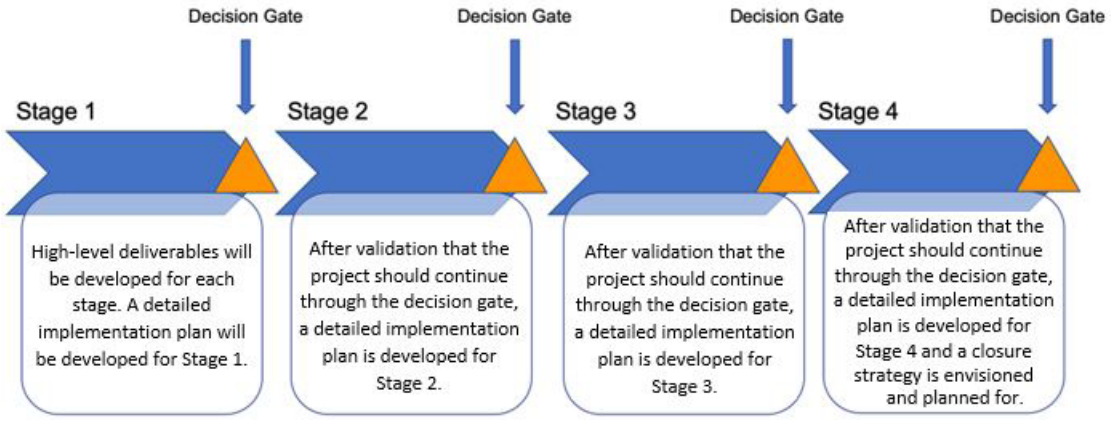
During this phase the project manager should determine and document the HR needs. This may include consultants working under special service agreements (SSAs) as well as internal resources. The profiles, expertise and competencies needed should be shared with HRMD if they are not already on the roster of ITU experts. Ideally, experts on the roster should have gone through a competitive selection. The work and performance of a consultant on an SSA should be evaluated and monitored by the project manager on a regular basis, to ensure that contractual obligations are fully met. This will also ensure that the roster is properly maintained and up to date.

Step 7: Stage Planning

Throughout the project, it is important to treat the implementation plan as a living document, not one that is static and unchangeable. The project manager is responsible for working out if stage planning will be used and how long each stage will be.

If the project is longer-term or complex in nature, scope planning using stages may be more appropriate. For each stage in the project, a comprehensive scope of work is identified. Suppose that a project is divided into four stages. During planning, a comprehensive scope of work will be developed for Stage 1, based on the deliverables for that stage. High-level activities and deliverables will be identified for the remaining three stages; however, they will not be detailed until later in the implementation. As Stage 2 approaches, the team will meet to validate the deliverables and activities and develop a comprehensive and detailed scope of work for that stage. The process continues for the remaining stages of the project.

Figure 17: Example of Stage Plan



A stage plan allows for more adaptability in the implementation plan by establishing high-level deliverables for each stage – frequently represented as a period of time, which could be quarterly, biannual, etc. – and developing the detailed implementation plan for each stage as it approaches.

Top Tips-Stage Planning

Informed Planning: Use the monitoring data and information from the issue log to inform the planning for the next stage. This will help ensure your stage plans are more accurate.

Deliverables and Planning Approach: Focus on the deliverables required in each stage and use the schedule planning process and tools, such as the WBS and network diagram, to make detailed plans for the stage.

Planning for the Plan: Include project management activities such as reviews of monitoring data and planning of the next stage plan. Essentially, plan for the next stage plan in the current stage.

Step 8: Closure Planning

Comprehensive project plans need to include a project closure plan that describes how a project should evolve upon completion. A closure plan may include several scenarios or contingencies that address risks. It may also allocate additional resources when it is not possible to exit entirely. It should include specific actions that ensure that the project closure process is as efficient and compliant as possible.

Closure planning needs to be considered as early as possible in the project and revisited at selected decision gates to ensure it is still relevant and appropriate.

The six components listed in the table below can help to guide the planning process for closure and ensure that all angles have been considered.

Table 13: Project Closure Guiding Principles

Component	Key Questions	Guiding Principles	Challenges
1. Plan for closure from earliest project phases.	What type of closure is envisioned? What is the timeline and what are the benchmarks?	Ongoing project review and revision. Transparency; especially for funding.	Balancing firm commitments with flexibility. Allowing adequate time to develop capacity.
2. Develop partnerships and local linkages.	Are you selecting the right partners? What do partners bring?	Diversity: may need other project inputs. Clear and common goals.	Aligning needs and objectives of diverse stakeholders. Supporting local partners.
3. Build local organizational and human capacity.	What capacities are needed? What capacities exist?	Build on existing capacity if possible. Create environments to support capacities.	Designing monitoring to track capacity building. Providing incentives and retaining experienced staff.
4. Mobilize local and external resources.	What inputs are needed to maintain services? Can benefits be sustained without ongoing inputs?	Procure resources locally where possible. Increasingly bring external resources under local control.	Difficulty finding adequate local resources. Other funders not "buying-in" to original objectives.
5. Stagger the phase-out of various activities.	What are the key project elements? Which elements are dependent on others?	Flexibility: the sequence of phase-out may change in implementation.	Sufficient time allowed in the project cycle to start seeing the intended impact and outcomes.
6. Allow roles and relationships to evolve after transition.	What types of ongoing support (advice, mentoring, technical assistance, etc.) will be needed? How will ongoing support be funded?	Prevent slippage of project's intended results by planning for an extended, expanded or redesigned project.	Availability of funding for ongoing support. Availability of staff who can focus sufficient time and energy on ongoing support.

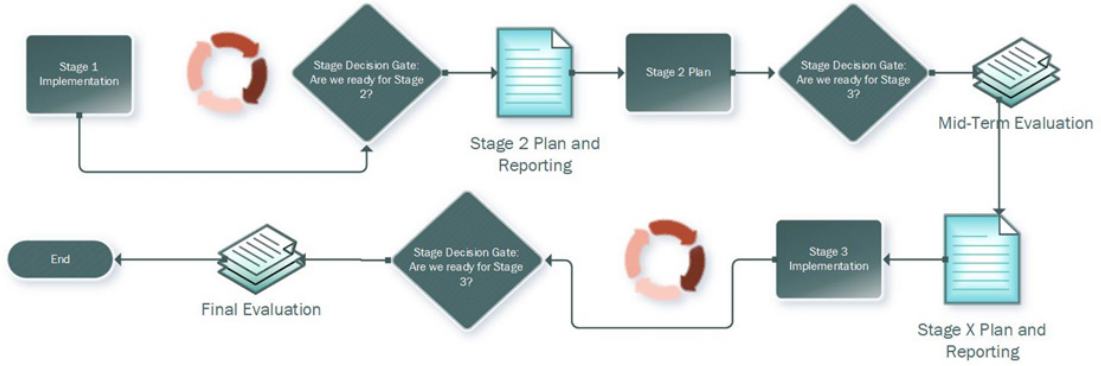
3.4.4 Outputs

Detailed Implementation Plan: The detailed implementation plan is the primary output of this phase. This plan consists of the planning processes that were completed during this phase. However, not all processes may be necessary for all projects.

Stage Plan: For projects that are longer-term and/or more complex, stage plans will also be an output of this phase and help the project manager to remain adaptive and allow for detailed planning to take place at the end of each stage.

> **Decision Gate 8**-Before moving into implementation, it is important to reflect on the planning process and make sure the project manager and stakeholders are ready to begin implementation. **Are we ready to begin implementation?** This can be something as simple as a review of the plans and a quick meeting with relevant stakeholders. Moving into implementation before the project is ready can have a negative impact on the schedule, budget and scope.

3.5 Part 2: Implementation



Project implementation goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

3.5.1 Inputs

- Detailed implementation plan
- Stage plans

3.5.2 Roles and Responsibilities

Task	Project manager	Project Sponsor	PDD - PRJ	Finance	Procurement	HR	Legal	External Stakeholders
Conducting an inventory of project team skills and gaps and developing a capacity building plan.	R	A	I			C		
Establishing the communication norms and practices for the project.	R	A	I					
Managing issues, including the follow-up and response.	R	A	C	C	C	C	C	C
Reviewing the stakeholder engagement and communication plan and making adjustments where necessary.	R	A	C					C
Developing (if necessary) and communicating the change control procedures.	A	C	R	C	C	I	C	C
Communicating all internal control procedures as per organizational and funder requirements.	A	C	R	C	C	C	C	I
Scheduling stage planning within the implementation plan and coordinating with relevant stakeholders for each stage plan.	R	A	C	C	C	C		C
Narrative reporting (if required)	R	A	C					I
Financial reporting (if required)	A	C	C	R				I

3.5.3 Process

The bulk of time, resources and budget will be dedicated to the implementation of the project. Depending on the funding mechanism and source, there may be funds available for setting up and planning a project. If resources are available, it is recommended to secure the funding for these phases.

The project manager should have built a solid foundation in completing the processes in the previous phases so that she/he can focus on the management aspects of the project during implementation.

During the implementation, the project manager will be responsible for the time, scope and budget of the project and the project governance individual or entity will be accountable. The management of the following processes will not necessarily be sequential, but rather in parallel throughout the entire implementation. A lot of management will go into the implementation phase, including:

- Managing people
- Managing the project schedule
- Managing issues
- Managing communications
- Managing stakeholder engagement
- Managing the internal control systems.

Step 1: Managing People

By the time implementation begins, the recruitment process should be almost completed. The project manager should make sure there is clarity on the roles and responsibilities of each team member by providing job descriptions and a project structure. Additionally, it is beneficial if the project manager creates a productive and clear team environment by developing the team, making sure performance assessment is incorporated and facilitating communication standards for the project.

- **Developing the Project Team (if applicable)**: What skills are needed? What are the capacity-building needs? Are there certification requirements? Developing project staff can be challenging, particularly if there is high turnover, human resources for the project are limited and stakeholders are working on multiple projects.
- **Maintaining Communication Norms**: As the leader of the project, the project manager must make sure that there is a steady and proactive flow of information and communication. This may include anything from a communication protocol to an orientation on SharePoint or other platforms being used.

Step 2: Managing the Project Schedule

Project managers should regularly monitor their schedules according to what was detailed in the implementation plan, to ensure the project schedule remains on track. If the project schedule begins to slip, the project manager will have a number of options to get the project back on track.

- **Fast-Tracking** a project schedule involves taking activities that would normally be completed in sequence and instead completing them in parallel. To make the most of fast-tracking, the project manager should target the tasks on the critical path first, as the activities on the critical path offer the greatest potential for accelerating the overall project schedule.
- **Crashing** the schedule means adding additional resources to the critical path to accelerate progress. Note, however, that there may be efficiency losses because the new arrivals are rarely as productive as those already deployed.

The project manager will use the information obtained from monitoring and issues management (discussed in the next section) to manage the project work and schedule. The information should guide her or him on any adjustments that need to be made in the schedule and on deciding whether crashing or fast-tracking is required.

Step 3: Managing Issues

An issue is an unresolved decision, situation or problem that will significantly impact the project and that the project manager cannot immediately resolve. Issue management consists of having a process for identifying issues and managing them until they are resolved. Resolving issues may be beyond the authority of the project manager. However, even if an issue needs to be escalated to the next level or delegated to another person to resolve, it still needs to be tracked by the project manager.

Issue management should be conducted collaboratively, including all relevant stakeholders – especially those on the ground doing the work. The collaborative effort in managing issues will require the team to:

- Identify project issues
- Contribute to the resolution of project issues, and

- Escalate important issues (that are above the team member's tolerance level) to the project manager (and/or sponsor) as soon as possible.

The project manager needs to manage all issue management processes and can do this through the following:

1. Issue identification and tracking: identifying outstanding questions, decisions and other problems before they adversely affect the project.
2. Issue analysis: understanding the issue sufficiently to consider the future consequences of action plans designed to resolve it.
3. Issue communication: communicating issues to the right level of the organization to get them resolved.
4. Issue control: establishing an environment in which the project team carries out actions to ensure issues are resolved in a timely and effective manner.

The issue control process is closely related to project monitoring and evaluation activities and should include establishing and tracking a plan for getting issues resolved. Issues are also closely linked to change control in the project. Changes often occur as a result of issues, so these management processes go hand-in-hand.

The most important control tool is the issue log, which summarizes the issues, describes their current status and identifies who is responsible for addressing each issue. An issue log can be kept in any suitable format, from paper to a fully integrated database.

Table 14: Issue Log

Issue Reference	Reported by	Description	Date Reported	Assigned to	Date Assigned	Status	Resolution
Activity delay: latrine construc tion	Site supervisor	Rain has delayed the digging of holes for the latrines.	21 March	Site supervisor	23 March	**23 March:** digging of the holes for latrines is delayed because of rain which started on 21 March, activities have been suspended until rain stops. **24 March:** Rain is still delaying activities. **25 March:** Rain has stopped but the ground is too wet to resume digging activities. **26 March:** Ground is still too wet to resume digging activities, will check again after the weekend.	Number of days delayed is above the tolerance level of the site supervisor (5 days) so the issue has been escalated to the project manager. Project manager is acquiring additional workers to crash the schedule.
						29 March: Ground is dry enough to resume activities.	

Top Tips-Issue Log

Regular Updating and Review: The key to managing issues is to make sure that the issue log is updated and reviewed regularly. The project manager should track and oversee the status of issues and their resolution and assess the impact on the scope, schedule and budget.

Issue Management as a Standing Agenda Item: Include issue management as an agenda item in every team meeting to better ensure that issues are dealt with in a timely fashion.

Accessibility: Make sure the issue log is accessible to all members.

Culture of Learning and Issue Management: Create an environment in which people are comfortable and willing to share issues so they are logged and addressed efficiently.

Step 4: Managing Communications

What is working and what is not working? This is one of the central questions the project manager needs to ask regarding communication during implementation. Part of the science of effective communication is to carefully identify the appropriate communication strategy in relation to the project's size and complexity and stakeholders involved.

The plan should include both internal and external communication, and it will evolve and change over time. The project manager is responsible for regularly updating this plan, ensuring that it remains relevant.

Table 15: Communication Plan

Stakeholder	Communication Method	Informational Needs	Frequency	Responsible Team Member
Funder/Donor	Report	Progress against outputs and outcomes and financial status	Quarterly	Project manager
Ministry of Water Resources	Face to face meeting	Progress of the activities	Quarterly	Project manager
Project Sponsor/ Steering Committee	Face to face meeting	Progress on activities, issues, risk updates	Biweekly	Project manager

Step 5: Managing Stakeholder Engagement

As part of planning, a stakeholder engagement plan was developed. During implementation, the project manager will need to make sure that the plan is still valid and working for stakeholders and the project team. Some questions to think about when reviewing the stakeholder engagement plan may include:

- Has the information in the communication and level of detail been sufficient for stakeholder needs?
- Have the engagement mechanisms been the most appropriate for the type of message?
- Which mechanism does the stakeholder prefer?
- Do any changes need to be made?

Table 16: Stakeholder Engagement Plan

Stakeholder	Role in Activity	Interest in Activity	Engagement	Follow-up
Who is the stakeholder?	What will they do in this activity?	What is their interest in participating in this activity?	How will we engage them to ensure their participation?	What kind of feedback and follow-up is required?
Local Municipality Official	Opening speech for the project launch.	Participation will provide exposure for the municipality and official and demonstrate that they are interested in providing support for projects that will help the community.	Coordinate and communicate regarding the project purpose through an official letter followed by a meeting to request buy-in and participation in the launch.	Send an official thank-you letter and include their role in the activity in the official press release. Have a follow- up meeting with the official(s) to answer any questions and request their engagement in future activities.

Also keep in mind that new stakeholders may emerge and it is important to capture them in the analysis and engagement strategy.

Finally, it is important to differentiate between regular, or ongoing, communications with the project governance individual or entity and other key stakeholders. Selected methods include status reports, scheduled meetings, monthly updates, event-driven communications, critical-issues sessions, supplier meetings, training schedules and roll-out schedules.

Step 6: Managing the Internal Control Systems

Internal Control: The project manager should be aware of the internal control systems that are in place at ITU and ensure these are integrated into the project.

ITU has developed internal controls with the objective of:

- Promoting the effectiveness and efficiency of operations
- Increasing the reliability of project outcomes.
- Ensuring compliance with ITU rules, regulations and procedures.
- Protecting organization resources, both physical (e.g. human resources, machinery and property) and intangible (e.g. reputation, intellectual property).
- Reducing the risk of fraud and corruption.

Change Control: Change is inevitable in projects and a clear, formal change request process should be in place to make sure only necessary and authorized changes are made.

To manage this balance, project managers need to establish norms that allow them to flexibly incorporate project changes when necessary, but they also need to make sure that proposed project changes are managed through a rigorous, integrated change control process that ensures that any project changes are:

1. Managed through a formal change management process and consistent with project tolerances defined in the project document.
2. Analysed to ensure that the implications of the changes are thoroughly thought-through.
3. Documented to illustrate the full impact on all the integrated elements of the project.
4. Communicated to key project stakeholders.

Tolerances for making changes should be in place (in the project document for the project manager). Additional questions to consider in the change request process include:

- Is the requested change within the project tolerances defined in the project document?
- Have the impacts of the change request on the schedule, resources, costs and quality been explored?
- Have project stakeholders been consulted regarding the proposed change?
- Has the comprehensive and integrated project implementation plan been updated to document the implications of the proposed change?
- Are resources (time, materials, money, human resources) in place to implement the proposed change?

Decision Gates and Change Control

Decision gates play key roles in change control. They offer the opportunity for any changes to be discussed, assessed and approved.

There will be circumstances in which project operating environments can change quickly and decisions need to be made to determine how to move forward with the project. This is where emergency decision gates come into play. Emergency decision gates are put in place when a decision needs to be made rapidly on whether to continue with a project or close it down. An example of when this could happen is in a conflict environment, when the circumstances quickly evolve, putting the project at risk.

The project manager must ensure that the change is within the defined project tolerances. If the decision does not fall within the tolerances, the project manager should escalate to the governance individual or entity and stakeholders to determine if and when an emergency decision gate should be considered. If changes occur outside the tolerances outlined in the project document, an amendment or addendum must be approved by ITU and the cooperation partner(s), signed and annexed to the project document.

A clear change control process that is communicated to the relevant stakeholders is critical to effectively integrating change control into the project. Any changes exceeding the project manager's tolerances require an amendment/addendum to the project document.

3.5.4 Outputs

Stage Plans: The number of stage plans will depend on the duration and complexity of the project and should be determined by the project manager.

External Progress and Financial Reports: The frequency of financial and progress reports for cooperation partners are usually outlined in the project agreement and project document.

Internal Progress Reports: Quarterly progress reports the project manager must submit to PDD-PRJ.

Updated Project Document: Any updates to the agreement or project document require an amendment/addendum signed by ITU and the cooperation partner(s) and annexed to the agreement.

3.6 Part 3: Monitoring and Evaluation

Project monitoring and evaluation goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences.

3.6.1 Inputs

- Indicator performance tracking table (IPTT)
- Issue log
- Previous progress reports

3.6.2 Roles and Responsibilities

Task	Project manager	Project Sponsor	PDD - PRJ	Finance	Internal Audit	Procurement	HR	Legal	External Stakeholders
Preparing and submitting quarterly progress reports	R	A	I	C					
Periodically monitoring the project and reporting the monitoring data to relevant stakeholders	C	A	R						I
Developing the evaluation terms of reference	C	A	R						
Conducting or coordinating the mid-term evaluation and reporting (if applicable)	C	A	R						C
Conducting or coordinating the final evaluation (if applicable).	C	A	R						C
Compiling lessons learned from monitoring and evaluation	R	A	R						
Conducting internal audit	C	C	C		R				

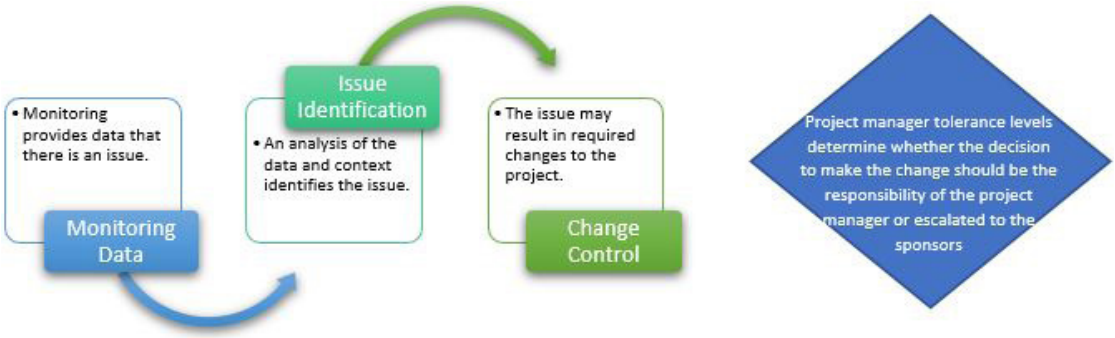
3.6.3 Process

During the planning and implementation phase, a substantial amount of monitoring and evaluation will be completed. The frequency of evaluations will depend on the length of the project, requirements from donors/funders and the complexity of the project.

The work done in Phase 1, in which the project was validated and aligned with the ToC, should be carried through all the way to project closure. While monitoring focuses primarily on progress towards achieving outputs, evaluation will be a research-based judgement on the value of the project and how it contributed to the ToC.

There is a distinct link between monitoring and evaluation and project manager tolerance levels, issue management and change control. For example, issues can be detected through the monitoring data as a result of which a change in the project may then be required. The tolerance levels of the project managers will determine whether they have the authority to make that change or whether it needs to be escalated to the project governance individual or entity and higher management.

Figure 18: Monitoring, Issues and Change



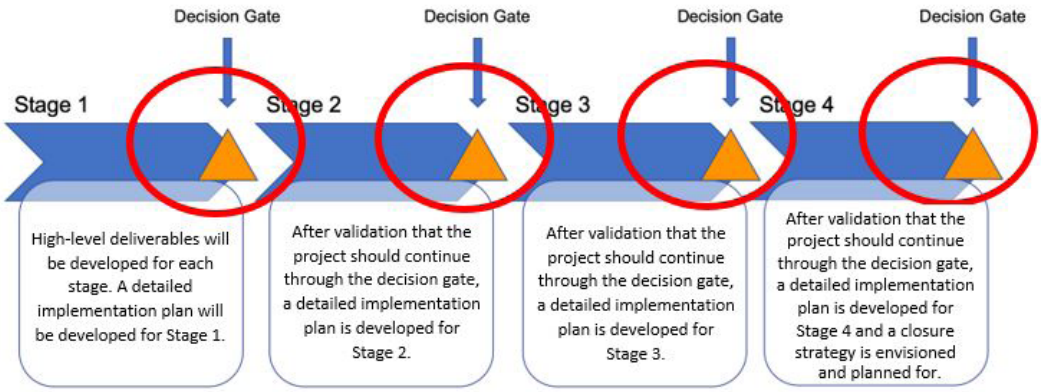
The monitoring and evaluation activities and milestones should also be included as part of the stage planning.

Monitoring

Monitoring must be conducted throughout the entire lifecycle of the project but is especially important during the implementation phase. This is because it is used to inform decision-making, ensures that the project is on track according to the planned targets and can identify risks and issues that have not been brought to the attention of the project manager.

Indicators from the logical frame are used to measure the progress made towards targets as the project moves through the implementation phase, ensuring that they are being achieved according to the plan. The IPTT is one tool that can be used to monitor the project.

Monitoring data should be available to inform decision-making, especially at key decision gates in the project. The monitoring plan should reflect the required timeline when data will be needed for decision-making or reporting



Data and analysis from the monitoring of the project must be incorporated into the quarterly progress reports. Thus any monitoring activities need to be planned around the delivery of these reports, giving sufficient time for the data collection, analysis and writing of the reports.

Evaluation

Evaluations will likely be conducted for projects, depending on the requirements set by cooperation partners and internal requirements. If evaluations are conducted internally among the PRJ staff, no staff who have been involved in supporting a particular project should be

involved in the post-implementation evaluation of the same project. Roles must be switched among the team members.

Of course, like for any other work in the Union, in some cases the services of an independent, external evaluator from outside the organization will be required.

During implementation, mid-term evaluations may be a valuable tool for project managers to use, providing the opportunity for more in-depth analyses to be conducted during the project to ensure that the project is on track to reach the targets outlined in the project document. The purpose of a mid-term evaluation is to provide the project managers and stakeholders with an overall review of the project for improvement and learning purposes, so that adjustments can be made to the project, if necessary.

If conducting a mid-term evaluation, the timing and resources required should have been planned for during the planning stage of the project.

In some cases, evaluations will be mandated by the funder, therefore those responsible for monitoring and evaluation should link the timing and evaluations of the project to the contractual requirements as set by the funder. For example, if year-end evaluations are required during a three-year project, the planning and implementation of those evaluations should correspond to that timeline.

If a final evaluation or post-implementation review is to be conducted, it is best for the project managers and stakeholders to begin to coordinate and prepare for that evaluation towards the end of the implementation phase in order to ensure that there are sufficient time and resources available to complete the evaluation. This is especially important if an external evaluator needs to be brought on board.

Top Tips-Monitoring and Evaluation

Clear Roles and Responsibilities: In order to ensure effective monitoring and evaluation, the roles and responsibilities need to be clearly outlined. Who will collect the data? How are that data reported and to whom? What is the frequency of data collection? How will data be collected? These are some of the core questions that need to be addressed clearly in the roles and responsibilities.

Timing of Monitoring and Evaluation Activities: Monitoring and evaluation activities should be carried out as and when information is needed. For example, if a quarterly progress report is due on 15 October, monitoring activities need to be completed and information provided to the project manager prior to the reporting deadline. These activities and requirements should be kept in mind when drawing up the project schedule.

3.6.4 Outputs

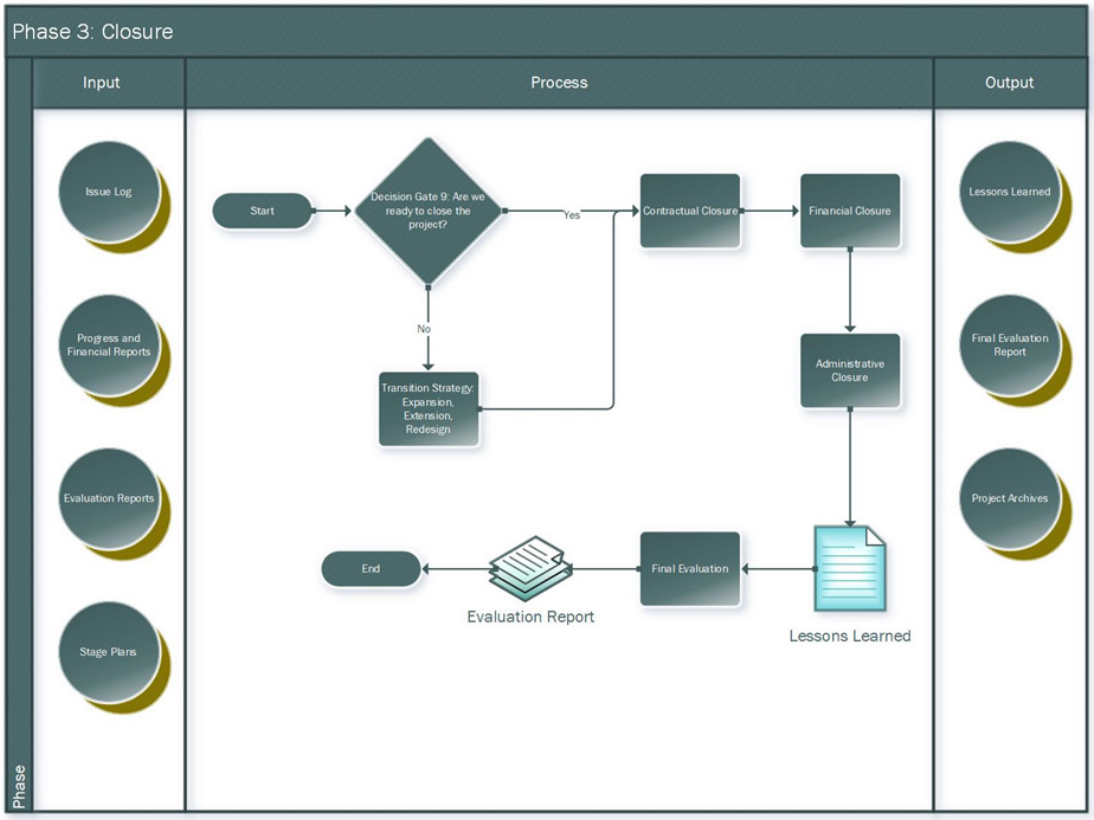
Progress Reports: Quarterly progress reports will be directly aligned with the monitoring data collection. The full progress report template can be found in Annex 3 to this Manual.

Evaluation Reports: If a mid-term evaluation is conducted, it will be an output of the monitoring and evaluation part of Phase 2. Evaluation report formats can be dictated by the funder/donor.

If there is no preferred format from the funder/donor, a standard format can be used that includes the following information:

- Project summary
- Purpose of the evaluation
- Methodology and methods
- Findings
- Recommendations
- Lessons learned.

4 Phase 3: Project Closure



4.1 Phase 3 in Practice-What is it all about?

A project, by definition, is a temporary endeavour with a defined beginning and end. The temporary nature of projects differentiates them from the normal business operations of an organization or ongoing business-as-usual, which is repetitive, permanent or semi-permanent functional work producing products or services.

As mentioned in the discussion of the project planning, comprehensive project plans need to include a project closure plan which describes how a project is intended to evolve until its completion, while ensuring that progress towards outcomes and goals continues.

Project closure can be challenging for project managers if proper planning has not been done to ensure that all components are accounted for during the closing phase. In practice, stakeholders will play a major role during this phase and should be brought together to ensure that the closure of the project is as robust and effective as possible.

4.2 Decision Gates

Decision Gate 7: This decision gate occurs prior to the closure procedures and asks the question: "Are we ready for closure?" It is at this point that the project manager needs to make an evidence-based decision on whether to close the project or use one of the transition strategies – expansion, extension or redesign.

4.3 Cross-Cutting Principles in this Phase

These themes are guidelines on how to approach project management at ITU and may differ depending on the project, its size and complexity and the experience of the project manager. Guidelines on how to approach the cross-cutting themes have been included in each phase of the Manual.

Control: The essence of control during closure focuses on ensuring that all procedures are done and done well and comprehensively so as to complete the project.

Risk: There are a lot of risks to be considered during the closure of projects. The living process of analysing and tracking risks should continue until the project officially closes as part of a comprehensive risk management process. Additionally, the risk register is a very useful tool to use in conjunction with the issue log in order to assess the risk management process, explore which risks turned into issues, and be able to include the risk and issue process in the lessons learned for future projects.

Adaptive: Evaluation and lessons learned provide project managers with an assessment of the project and whether the outcomes have been achieved:

- Were changes made when and where appropriate, driven by information and data?
- Were lessons learned incorporated throughout the entire lifecycle of the project?
- How was the information from monitoring, evaluation, accountability, learning (MEAL) incorporated into the project change/decision-gate process?

Learning: Learning is a big part of this phase. A comprehensive lessons-learned exercise should be done, involving as many stakeholders as possible. Towards the end of a project, it is tempting to try to get it finished so that stakeholders can move on to the next project. However, part of learning requires deliberate reflection and recording of the lessons learned so that they can be used for future projects.

4.4 Project Closure

4.4.1 Roles and Responsibilities

Task	Project manager	Project sponsor	PDD - PRJ	Finance	Procurement	HR	Legal Affairs Unit	External Stakeholders
Decision Gate: Are we ready to close the project?								
Conducting all contractual closure activities.	A	C					R	
Conducting all financial closure activities.	A	C		R				
Conducting all administrative closure activities.	A	C						
Implementing a lessons-learned or after-action review session based and document findings.	R	A	R	C	C	C	C	C
Completing any reporting requirements for the project.	R	C	A	C	C	C		
Completing final evaluation.	C	A	R	C				IAU[4]

4.4.2 Inputs

The most essential inputs for the closure of the project include:

- Issue log
- Progress and financial reports
- Evaluation reports
- Stage plans
- ITU environmental factors, rules, regulations and procedures
- Audit planning.

[4] To be performed for a sample of projects within the scope of the annual audit plan of ITU.

Decision Gate 9: Before closing the project, the project manager must determine whether the project is ready to close or whether a transition strategy needs to be pursued. The decision should be made based upon evidence. The transition strategies are:

Expansion: Scaling up the project to a new geographical area or population. **Extension**: Adding time (with or without costs) to complete the project activities. **Redesign**: Modifying the project activities and implementing the activities in a new phase.

Project managers should also know whether it is within their tolerance levels to make this decision and if not, to escalate the decision to the project governance individual or entity. Any changes exceeding their tolerance levels would require an amendment/ addendum, to be annexed to the project document.

4.4.3 Process

Project closure goes through the following steps, which are mandatory. However, the tools used to complete the steps are flexible and up to the discretion of the project manager depending on her or his preferences

Step 1: Contractual Closure

Working with the project support teams (HR, procurement, finance), all contracts need to be officially closed before the project can close:

- Are all contracts closed out? What about suppliers, subcontractors, donors, others, implementing organizations?
- Has the donor/funder reviewed and accepted the project deliverables?
- Have expert and consultant work/deliverables been evaluated by the project manager and properly archived?
- Have project assets been addressed, documented, reassigned or disposed of?

Guidelines on Assets

Project managers are responsible for ensuring that equipment and supplies procured by ITU are used strictly for the purposes of the project, as described in the project document. Each project manager is responsible for maintaining complete and accurate records of equipment and assets.

For assets under the project's custody or used during the project's lifecycle (not donated/delivered to a beneficiary), project managers must provide the asset unit, PRJ and other stakeholders with an annual certified inventory report for the past year based on the year-end closing procedures and relevant service orders. Project managers must ensure that equipment is kept in good working order. In case of damage, theft or loss, the project must provide the asset unit, PRJ and other stakeholders with a report giving full details of the events leading to the damage and/or loss of the equipment.

Equipment which has not been transferred from the project's ownership will remain under its ownership until formally disposed of in one of the following ways:

- Transfer to entities identified in the project document or otherwise
- Transfer to another project - with confirmation from donors and appropriate stakeholders.

Step 2: Financial Closure

The finance department focal point must work closely with project managers to make sure that all compliance requirements have been closed in the project. This includes any supporting documentation as well as reports. Some elements to consider include:

- Has all permitted funding been received from the donor?
- Have all receivables (project advances, travel advances and advances to suppliers) been liquidated or transferred to another project number or accounting code?
- Have all payables been paid?

Step 3: Administrative Closure

Administrative closure includes reporting compliance requirements:

- Are project reports and closure documents complete?
- Are project archives and/or files up to date?

Step 4: Lessons Learned

Lessons learned are the organization's memory bank. Ideally, the project team will develop a lessons-learned log that tracks lessons learned as they occur, or at least at major evaluation points or milestones throughout the project. If a lessons-learned log is used, it needs to be set up at the beginning of the project and included in the decision-gate process.

As the project enters the closure phase, it is important to ensure that the lessons learned about the project are sufficiently detailed and are filed and easily accessible to the organization and

the programme teams. This means that all files (both hard and digital copies) need to be properly organized and named to facilitate access to them.

An extremely useful tool to use in the lessons-learned process is the issue log. Issues often result in changes or provide an explanation as to why something did or did not occur. Modifying the issue log and including a column for the lessons learned is a very useful way to get the process of thinking about issues started.

Issue Reference	Reported by	Description	Date Reported	Assigned to	Date Assigned	Status	Status Date	Resolution	Lessons Learned

Top Tips-Lessons Learned

Participation of Stakeholders: Involving stakeholders in the lessons-learned process provides a wider perspective on what went well and what could be improved in the future.

Standard Format for Maximum Efficiency: Creating a culture of learning requires lessons learned to be an exercise that encourages critical thinking and constructive feedback. Establishing a standardized format for conducting the lessons-learned activities and communicating that format prior to learning the lessons provides stakeholders with the information they need to manage their expectations regarding the activity.

If a final evaluation is not included as part of a project, at minimum an after-action review should be done. After-action reviews are straightforward to organize and implement. During the review, stakeholders come together and questions are asked that help determine what was planned versus what actually happened. Some suggested questions to be asked as part of the after-action review include:

- What did we set out to do?
- What did we achieve? Focus more on facts than opinions.
- What went really well? Here again, look at the facts.
- Why did it go well? Compare the plan to reality.
- What could have gone better? Compare the plan to reality.
- What prevented us from doing more?
- What can we learn from this?

The advantage of a learning review is that it can collect useful information relatively quickly and without expending extensive resources.

Step 5: Final Evaluation

Final evaluations are not always conducted at the project level. However, if they are required, they need to be approached in a systemized manner. A final evaluation should be planned from the beginning of the project, with an outline of the purpose and desired key evaluation questions to be answered by the evaluator. Depending on the size and complexity of the project, a tentative timeline and budget should also be allocated for this exercise, providing the evaluator with sufficient resources to be able to make a data-informed judgement on the value of the project.

Top Tips-Closure

Plan for Closure: Closure activities need to be well planned for within the stage planning process. Bear in mind that these plans may change and evolve as the project progresses. It is important to make sure that sufficient time is allocated for completing all closure activities.

4.4.4 Outputs

Project Audit: This will not be a direct output of the previous processes; audits are frequently required during the closure phase and the procedure for audits will be dictated by the funder.

Lessons Learned: Lessons learned should be gathered throughout the entire project, but a comprehensive and participatory evaluation of lessons learned should be conducted at the end of the project by project managers and relevant stakeholders.

Final Evaluation Reports: While final project evaluations are not always conducted at the project level, in some cases such a requirement may be imposed by the donor or programme. The evaluation can be done internally or externally.

Project Archives: Digital and hard copies of the project documents will likely be required and kept for several years, thus fully-executed digital and hard copies of all contractual documents should be sent to the Legal Affairs Unit for archiving purposes. The archiving of project documents needs to be done in a diligent and detailed manner, with proper labelling and standardized naming.

Annex 1: Project Manager Role Profile

Project Manager, General Roles and Responsibilities

The project manager is fully responsible for managing and delivering the project on time, under budget, within scope and at the quality agreed upon. The project manager is responsible for:

- Applying the ITU Project Management Manual (mandatory).
- Working with a wide variety of stakeholders (internal and external) to ensure their participation in the lifecycle of the project. If or when stakeholders are unavailable or unwilling to participate, the project manager escalates this up the governance structure to solicit participation.
- Using knowledge of best practices in project management to determine which tools are most appropriate according to the size, complexity and duration of the project in collaboration with the project governance individual/entity.
- Providing leadership to motivate, communicate and ensure a project environment that is productive and efficient.
- Managing and monitoring contract performance for vendors and consultants, ensuring that terms and conditions of procurement and SSAs are met. In the event of a significant compliance issue (affecting delivery or quality, for example), this should immediately be communicated in writing to the Procurement Division (PROC) (if it concerns a vendor) or HRMD (for SSAs) and recorded in the issue log and the quarterly project progress report.
- Implementing timely, documented and comprehensive information and consultation procedures with all project stakeholders.

Phase 1: Identification, Design and Set-Up

Identify, design and liaise with PDD-PRJ and other stakeholders for the set-up of the project. Specifically:

- Ensure that the identification and design of the project is evidence-based and aligns with the ToC of the organization.
- Lead the process of stakeholder identification, assessment and documentation.
- Use the information from the identification process to develop concept notes, proposals and project documents in collaboration with relevant stakeholders.
- Collaborate with stakeholders to identify and assess risks.
- Ensure stakeholders and the governance individual/entity are aware of and participate (where relevant) in decision gates during this phase.
- Submit the draft agreement and project document to PDD-PRJ for review and internal clearance.

Phase 2: Planning, Implementation, Monitoring and Evaluation

Lead the project through planning and implementation and liaise with the internal and external stakeholders. Specifically:

- In collaboration with the project governance individual or entity, determine the plans required for the project.
- Ensure that stakeholders are involved in the planning process and that it is completed in a participatory manner.

- Identify, track and manage issues, ensuring they are resolved in a timely fashion.
- Manage risks and perform reviews at set points throughout planning and implementation.
- Prepare and submit quarterly progress reports to PDD-PRJ for monitoring and evaluation purposes, making sure they align with required reporting.
- Provide narrative reports and collaborate with the finance department on the financial reports if required.
- Update any planning documents throughout planning and implementation.
- Comply with tolerance levels during implementation. Any detected non-compliance with tolerance levels should be investigated and documented in the issue log and in the quarterly progress reports.
- Submit any requests for changes to tolerance levels to the project sponsor for approval by the project governance individual or entity.
- In the event of approval by the project governance individual or entity, request implementation of the change request by PDD-PRJ.

Phase 3: Project Closure

Undertake related activities for project closure. Specifically:

- Initiate the end-of-project transition (leading to closure, extension, expansion or redesign) and, as applicable, submit the decision of the project governance individual or entity to PDD-PRJ for its implementation or the relevant documents, including the project closure report, to PDD-PRJ for further processing.
- Ensure the administrative, contractual and financial closure processes are completed.
- Provide lessons learned and participate in after-action review sessions, coordinating with stakeholders and ensuring their participation.
- Develop final reports and ensure all outputs and deliverables are archived.

Annex 2: Project Governance Role Profile

Project Governance: General Roles and Responsibilities

The individual or entity designated as being responsible for project governance is ultimately accountable for ensuring the project is delivered on time, respecting the budget and scope, and at the quality agreed upon. The project sponsor is directly above the project manager in the governance structure. The project sponsor is represented by the senior line direct manager/supervisor of the project manager: HOD, COD and/or RD. Typically, a project steering committee would include representatives of the cooperation partner(s)/project beneficiary, ITU RD, chiefs of related departments (who can be represented by the cluster lead) and HODs. In general, the project governance individual or entity will be required to:

- Oversee the entire project management process and provide support to the project manager to ensure the successful delivery of the project.
- Provide recommendations on proposed project changes (scope, budget, calendar or others) that extend beyond the project manager's agreed tolerances.
- Ensure organizational commitment and accountability for the project and the involvement of the relevant stakeholders throughout the lifecycle of the project.
- Monitor the ongoing viability of the project, taking the decision to terminate the project if necessary.
- Support and advise the project manager on the management of the project, especially on issues that extend beyond the span of control of a project manager.
- Advocate for necessary organizational support and resources for the project.
- Ensure that the organization "owns" the process and results of the project.

Phase 1: Identification, Design and Set-Up

- Actively participate at all decision gates in this phase, providing advice and escalating as necessary.
- Work with the project manager to ensure alignment with the priorities and strategies of the organization. Provide input to ensure that the project fits within these strategies and contribute to the definition of the project parameters.
- Work with the project manager to identify tolerances based on the size and complexity of the project and compliance requirements from funders.
- Ensure the project manager follows through with all required processes during this phase.

Phase 2: Planning, Implementation, Monitoring and Evaluation

- Actively participate, advise and escalate decision-making during this phase at all decision gates.
- Ensure the project manager follows through with all required processes during this phase.
- Collaborate with the project manager on the planning components and levels of detail for implementation plans.
- Review issues, work with the project manager to resolve them and escalate to higher management if required.
- Ensure monitoring and evaluation activities are performed and included in progress reporting. Review monitoring and evaluation information with the project manager to determine if any changes need to be made.

- Review and approve any monitoring and evaluation reports prepared by the project manager.

Phase 3: Project Closure

- Guide the project manager and collaborate with her/him to ensure compliance with all contractual, administrative and financial closure procedures.
- Participate in lessons-learned activities and ensure that they are completed and the results disseminated to appropriate stakeholders.
- Review and approve any reports and deliverables as part of the closure procedures.

Annex 3: Role Profile: Partnerships for Digital Development Department, Project Support Division

Within the Partnerships for Digital Development Department, the Project Support Division (PDD-PRJ) is involved throughout the project phases, with the exception of the implementation component of Phase 2, as set out below.

Phase 1: Identification, Design and Set-Up

- Review and analyse project-related proposals, as well as requests based on BDT strategies, priorities and areas of action.
- Coordinate and provide expertise to the project managers in the identification, formulation and development of project documents.
- Analyse draft project documents and related agreements to ensure that they comply with project management standards, results-based management practice and the rules and procedures of ITU.
- Ensure financial clearance by FIN/ADM of the project documents and related agreements.
- Ensure legal clearance by the Legal Affairs Unit (LAU) of the project documents and related agreements.
- Negotiate with BDT staff and project partners to finalize project documents and related agreements.
- Manage the signing of the project documents and related agreements by BDT, partners and beneficiary countries.

Phase 2: Planning, Implementation, Monitoring and Evaluation

- Develop, manage and implement effective tools and electronic platforms to strengthen the project execution function, such as databases, websites, reporting tools, dashboards, templates, agreements, guidelines and tools for the post- implementation phase.
- Maintain up-to-date information in the electronic platforms for all projects (ongoing, implemented and closed).
- Monitor and evaluate ongoing projects (time, scope and cost).
- Review and analyse progress reports and prepare assessment reports for ongoing projects.
- Submit assessment reports with specific recommendations related to each project and the overall project portfolio to BDT management.
- Plan, coordinate and undertake evaluation missions for the purpose of conducting post-implementation reviews of implemented projects.
- Prepare reports highlighting findings and outcomes of the post- implementation reviews so as to document results achieved and lessons learned.
- Submit post-implementation reports to BDT management for approval and share them with stakeholders (partners and beneficiary countries).

Phase 3: Project Closure

- Manage the end-of-project transition process (closure, extension, expansion or redesign).
- Review, analyse, modify as required and finalize the draft project closure reports and confirm with relevant ITU services that administrative, contractual and financial closure processes have been completed.
- Carry out impact assessments, normally one year after project closure, and prepare reports on lessons learned.

Annex 4: Concept Paper Template

Date Updated:		Submitted By:
Project Title		
Project Sponsor/Steering Committee		
Problem Statement (*250 words*)		
Summary of Suggested Solution/Intervention (*250 words*)		
Project Goal		Link to Theory of Change
Outcomes:		
End Users/ Suggested Partners *(Bullet Points)*		
Project Cost		Project Duration
High-Level Risks		Funding Partner Role
Date:	Endorsed: Not Endorsed:	Reasons if not endorsed (50 words)

Annex 5: Stakeholder Matrix

Stakeholder Description	Interest in the Project	Power and Influence	Relationship

Annex 6: Risk Register

Risk Description	Impact (1-10)	Probability (1-10)	Risk Score	Risk Response Strategy	Risk Response Owner

Annex 7: Project Document Template

Project Number

Project Title

Estimated Start Date

Estimated End Date

U.N. Specialized Agency International Telecommunication Union (ITU)

Government Cooperation Agency **[Name of Partner]**

Beneficiary Country(ies)

Project Manager

SUMMARY OF CONTRIBUTION OF THE PARTIES				
Project Budget (in [CHF/USD/EUR])				
Description	**Total**	**Partner In-cash**	**Partner**	
Staff Costs				
Missions				
External Services				
Training				
Equipment				
Miscellaneous				
Sub-Total				
ITU AOS (-- %)				
Total				
Comments :				

Brief Description of the Project:

For the	Signature	Date	Name/Title
International Telecommunication Union (ITU):	_____	__/__/___	_____
[Name of Partner]	_____	__/__/___	_____

Project Purpose:			
Project Logical Framework			
Results Chain	**Indicators**	**Means of Verification**	**Assumptions**
Goal/Impact			
Outcome			
Output			
Activities			
Project Deliverables		• Deliverable 1 • Deliverable 2 • Deliverable 3	
Project Activities/Scope	**Project Schedule/Timeline**		**Project Budget**
Project Risks			
Project Governance Structure			
Contributions, Roles and Responsibilities			
Monitoring and Evaluation			
Sustainability			
Project Tolerances			
Time Cost Scope	Risk Quality		
Project Change Control			

Annex 1: BUDGET

ESTIMATED BUDGET (in [CHF/USD/EUR])

DESCRIPTION	Total	Partner In-Cash	Partner	
STAFF COSTS				
Subtotal:				
MISSION				
Subtotal				
EXTERNAL SERVICES				
Subtotal:				
EQUIPMENT				
Subtotal:				
OTHER CHARGES Miscellaneous				
Subtotal				
SUBTOTAL				
AOS (-- %)				
TOTAL				
Comments :				

Annex 8: Risk Plan

Risk	Resources	Status	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6

Annex 9: Indicator Performance Tracking Table (IPTT)

Objective	Indicator	Baseline	Quarter 1 Target	Quarter 1 Actual	Quarter 1 Variance	Quarter 2 Target	Quarter 2 Actual	Quarter 2 Variance

Annex 10: Evaluation Summary Table

Evaluation Purpose	Key Evaluation Questions	Timing	Internal or External	Start and Complete Start	End	Evaluation Budget

Annex 11: Communication Plan

Stakeholder	Communication Method	Informational Needs	Frequency	Responsible Team Member

Annex 12: Stakeholder Engagement Plan

Stakeholder	Role in Activity	Interest in Activity	Engagement	Follow-Up
Who is the stakeholder?	What will they do in this activity?	What is their interest in participating in this activity?	How will we engage them to ensure their participation?	What kind of feedback and follow-up is required?

Annex 13: Issue Log Template

Issue Reference	Reported by	Description	Date Reported	Assigned to	Date Assigned	Status	Resolution

Abbreviations

AOS	administrative and operational services
COD	chief of department
FRMD	Financial Resources Management Department
HOD	head of division
HRMD	Human Resources Management Department
IPSAS	International Public Sector Accounting Standards
IPTT	indicator performance tracking table
ITU	International Telecommunication Union
LAU	Legal Affairs Unit
MOV	means of verification
PDD	Partnerships for Digital Development Department
PRJ	Project Support Division (within PDD)
RD	regional director
SMART	specific, measurable, achievable, relevant, time-bound (of management objectives)
SSA	special service agreement
ToC	theory of change
WBS	work breakdown structure
WBS (Finance)	Refers to WBS within the SAP system.

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