Empowerment of Coastal Fishing Communities for Livelihood Security

(BGD/97/017)

MID-TERM EVALUATION

FINAL REPORT

Undertaken for:

United Nations Development Programme
Government of Bangladesh
Food and Agriculture Organisation of the UN

15 December 2003

Empowerment of Coastal Fishing Communities for Livelihood Security (BGD/97/017)

Mid-Term Evaluation
Final Report

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List of Abbreviations

AIGAs	Alternative Income Generating Activities
BFRI	Bangladesh Fisheries Research Institute
CEP	Community Empowerment Programme
CCF	Country Cooperation Framework - UNDP
CTA	Chief Technical Advisor
ECFC	Empowerment of Coastal Fishing Communities for Livelihood Security Project
DFID	Department for International Development (UK)
DFF	District Federation of Fishers – Cox's Bazar
DoF	Department of Fisheries
DNPD	Deputy National Project Director
ESBN	Estuarine Set-Bag Net
FAC	Fishery Advisory Committee
FAO	Food and Agriculture Organisation of the United Nations
FMC	Fisheries Management Committee
FMO	Fisheries Management Officer
GoB	Government of Bangladesh
GOs	Government Organisations
ICZM	Integrated Coastal Zone Management
MCC	Micro-Capital Credit
MCG	Micro-Capital Grant
MoFL	Ministry of Fisheries and Livestock
MSBN	Marine Set-Bag Net
MTE	Mid-Term Evaluation
NGOs	Non-Governmental Organisations
NPD	National Project Director
PD	Project Document
PMU	Project Management Unit
SEG	Small Enterprise Group
SMO	Social Mobilisation Officer of ECFC
SPs	Service Providers
STS	Support to Technical Services
TA	Technical Assistance
TAG	Technical Advisory Group of ECFC
TAPP	Technical Assistance Project Proforma (of the Government of Bangladesh)
TPR	Tripartite Review
REDS	Rural Enterprise Development Services
ROMI	Results Oriented Management Indicators
UNDP	United Nations Development Programme
UNHCR	United Nations High Commission for Refugees
UP	Union Parishad
UNO	Upazilla Nirbahi Officer
VO	Village Organisation
VDC	Village Development Committee

Exchange Rate

Official Exchange Rate used: US$ 1 US$ equals Taka 58

Acknowledgements

The Mid-Term Evaluation Mission (hereafter referred to as the MTE Mission) wishes to acknowledge with thanks and gratitude the assistance received by those directly or indirectly associated in the delivery of support to the Empowerment of Coastal Fishery Communities for Livelihood Security Project (ECFC). The MTE Mission met with many individuals and specialists who kindly shared their thoughts on project progress and the way forward into the future.

In particular we would like to thank project staff of ECFC including Dr Dilip Kumar (CTA), Mr Ashoke Kumar Das (Deputy National Project Director).

The MTE Mission met several times with Mr Jørgen Lissner, UNDP Resident Representative and Ms Shireen Kamal Sayeed, Assistant Resident Representative. We would also like to express gratitude to Ms Ayshanie Medagangoda Labe who supported the team "beyond the call of duty" with setting up meetings, project briefings and supporting the team from Dhaka.

We would also like to thank Dr Bui Thi Lan, FAO Resident Representative, and Dr Subash Dasgupta for support and clarifying some tricky points of project delivery.

We would also like to thank the Secretary of the Ministry of Fisheries and Agriculture for extending through his office assistance that the MTE Mission required in undertaking the assignment.

Executive Summary

MTE: This Report represents the final output for the Mid-Term Evaluation for the project "Empowerment of Coastal Fishing Communities For Livelihood Security (BGD/97/017)", referred to as ECFC. The MTE was conducted during November 2003, which is slightly over mid-way in terms of the overall five-year implementation schedule of the project. The project commenced in December 2000 and is programmed to be completed in December 2005.

Project Justification: The project was justified on the basis that assistance needed to be provided to:

> "Fishing communities to bring about positive qualitative and quantitative changes in their existing strategies resulting in significant and sustainable reduction in their vulnerability through improvements in livelihoods. The development objective of the project is to promote livelihood security of the poor coastal fishing communities. The three immediate objectives of the project are to:
>
> - Assist the communities to empower themselves to collectively address their problems and needs;
> - Introduce various economic and community welfare activities which are operated and managed by their community organisations; and
> - Facilitate sustainable conservation and management of coastal marine and estuarine fisheries resources and habitats through strengthening of community-based management of the resources." (Programme Document, Page 2).

Project Collaboration: ECFC was the product of a collaborative effort by UNDP, FAO and the Government of Bangladesh (GoB) and put into practice the principles of the sustainable livelihoods approach and aimed at providing a holistic response to a set of dynamic issues that poor, vulnerable coastal fishing communities face on a daily basis. The project was also designed in such a way as to take special note of the issue of gender and decision-making in the household and villages.

NEX: The implementation modality for ECFC was based on National Execution through the Ministry of Fisheries and Livestock (MoFL) and specifically by the Department of Fisheries (DoF) in the District of Cox's Bazar. The target population was in the order of 300,000 people covering all the Upazillas of Cox's Bazar living along the coast and as far as the island of St Martin's. A secondary beneficiary set of the project have been the Government partnering organisations and Non-Government Organisations (NGOs) who have been recruited or contracted into to act as Service Providers to the project run from the DoF offices in Cox's Bazar.

Implementation Arrangements: The project was designed to be managed by a National Project Director, a Deputy Project Director with support from an internationally recruited long term Chief Technical Advisor as Team Leader (CTA) of a Technical Advisory Group (TAG) made up of specialists in the fields of marketing, socio-economics, radio and communication, livestock and fisheries. In addition, short-term technical assistance has also been a feature of the project. The project was designed to have an operational Project Management Unit (PMU) steering the process of implementation and ensuring that training, awareness raising and capacity building took place at the village level and for service providers.

Outcomes: To date 117 villages have been included in the project and 13 NGOs have been contracted in as service providers. Government organisations have included a broad array of ministries at the Upazilla level including the Ministry of Health, LGED and Social Affairs.

The project commenced late in 2000 and although operations effectively only began in middle to the latter part of 2002 with the recruitment of the full complement of project staff, contracting of NGOs and raising the project villages from 37 to 117. To some extent this slow start derived from the necessity to gather further detailed information on potential participating villages before expanding the programme.

To date project activities appear to be having a positive impact by way of encouraging people to plan for the "day after tomorrow" and not simply for "today". The development of Village Organisations in participating villages also suggests that the modal for social management being explored by the project is accepted and could be the basis for demonstrating that people can have access to local and possibly central government and demand services for which they are entitled to.

The project is very much qualitatively easier to measure than using quantitative yardsticks. It is perhaps too early to investigate if incomes have changed as a result of the project intervention, although it is possible to say that the number of micro-enterprises are beginning to be visible – if they are extremely small scale, vulnerable and to some extent risky on the one hand and experimental on the other.

Project Management Implementation Experience: The MTE Mission explored in some detail the operations of the project and the conduct of the three key post holders that is the NPD, DNPD and the CTA. The mission reiterated the findings of the recently completed Audit and Financial Management Report, which highlighted concerns over money management and the necessity of good practice, and the introduction of a double signatory system of the NPD and the CTA in project bank account operation.

Project Design: The project was well designed and conceptualised, although perhaps not rigorous in the planning of outputs and activities. A Logframe would have been a useful tool to have been developed as an Annex to the Project Document at the time of design and write-up. The objectives and outputs have been logically thought through.

The bulk of project activities (10 of the 11 Outputs) are not directly related to fisheries activities of the coastal communities, but rather to social mobilisation and support to general livelihood improvement (including alternative income generating activities such as vegetable gardening, small livestock, sewing, drying *purchased* fish, and other non-fisheries activities).

In such a situation, there can be some question regarding the appropriateness of placing the project exclusively under the management of technical, "scientific" fisheries staff, both in government and in FAO. A weakness of the design document is its very superficial treatment of "Counterpart Support Capacity" (PD, page 37). No attention was paid to the weakness of the DoF and its decentralised officers in areas unrelated to fisheries.

The MTE Mission is of the opinion that the project should have made a clearer distinction between the three aspects of project activities - political, socio-economic and technical/fisheries - as the executing agency and the technical assistance agency both have a much greater need for capacity building in the first two than in the third. At the same time, with regard to the communities, although the three stages clearly overlap, the resource management part can only come chronologically after the empowerment and socio-economic activities have progressed sufficiently to diminish the urgency of these people's dependency on fishing for survival.

After having considered this issue at length and discussed it with many people at various levels and in various locations, the MTE Mission concluded that while the problems faced by

DoF in carrying out this mission are significant, there does not appear to be any ministry department better placed to work specifically in *poor fishing communities*.

The challenge faced by this project (and others like it which deal with poor fishing communities, both in Bangladesh and elsewhere, for example Cambodia) is to build the capacity, awareness and sensitivity of this group of civil servants, introducing them to new responsibilities for facilitating the overall social and economic development of poor coastal fishing communities. This issue is insufficiently taken into consideration in the project design documents.

Impact: Overall, the MTE Mission can affirm that in the first group of 37 communities the project has definitely had a positive short-term impact on the "empowerment of coastal fishing communities" in Cox's Bazar. It is hoped that in the spell of villages an equal degree of positive change will be seen. In terms of Objective 2 criteria the project this is having a reasonably good impact on encouraging economic diversification. Objective 3 impact criteria is much longer term in nature and therefore more difficult for the MTE to have investigated. If positive impact continues to be felt in terms of social and economic empowerment the impact on reducing artisanal fishing pressure might well be seen in the future.

Project Budget and Expenditure: Up to September 2003 a total amount of about USD $1.6 M has been spent which represents about 26% of the total budget of USD $6.2 M for the full five years ending in December 2005. FAO, as the UN implementing Agency is responsible for budgeted expenditure of USD $4.9 M of which an amount of about USD $1.4 M has been spent during the first three years of operation.

Appropriateness, Relevance, Efficiency and Effectiveness: The project has performed well in terms of appropriateness and relevance and relatively well in terms of effectiveness. Less impressive, but more problematic to measure, has been issues related to “value for money” and efficiency. The project has been well targeted towards the community and providing them with assistance, training and awareness raising as well as disaster preparedness and alerting people to their rights as Bangladesh citizens. As the project moves towards examining issues and providing technical assistance for marine and estuarine fisheries more rigorous data results may emerge as to project impact on the preservation of the natural resources on which people are dependent. The project has to date placed the community at the forefront of the initiative with relationships to three elements. These are, community and social empowerment, economic and financial empowerment and the change in economic activity and finally the conservation of the coastal fishery.

Findings and Recommendations: The MTE Mission found various operational and strategic project related issues needed examination and therefore comment. These related to restructuring the PMU, legalising the VOs, mobilising savings into capital, the grant component of REDS and the development of an operational management system for an increased fund under the Micro-Capital Grant component of ECFC especially if the grant element of REDS were to be transferred to MCG budget.

The MTE Mission also has identified a need to develop an exit strategy for the project as of now and recommends that a phasing out approach be adopted for first spell villages as a model for the eventual closure of the ECFC. The Mission has also identified the possibility of extending the project beyond the end of the currently specified completion date to make use of unspent monies in the budget and to allow the exit strategy to be fully tested. This would allow consolidation and final assistance to villagers under the project.

There was also a need to consider maximising project impact on Government organisations and NGOs careful documentation of project processes, experience and approaches, awareness building and information sharing and training.

Summary of Key Recommendations:

	Recommendation Area	Responsible	Timetable
1	PMU Restructure and Double Signature system	CTA, NPD, UNDP, FAO, MOFL	Suggest within the next one to two months
2	VO structures should be finalised and legislation issues be considered	NPD, CTA	Consider over the next 6 months
3	Mobilisation of savings into capital	NPD, CTA, TAG	Consider over the next 6 months
4	Guidelines for MCGs to be developed further	CTA, TAG	Should over the next 3 to 4 months
5	Develop clear guidelines and operational procedures for MCG management	NPD, DNPD, CTA	Should over the next 3 to 4 months
6	The "grant" component of REDS should be converted for use under the MCG system	NPD, DNPD, CTA, UNDP, FAO	Should consider now
7	Trial Exit Strategy from first spell of communities	NPD, DNPD, CTA	Should start planning now
8	Maximising project impact by training, awareness building, information sharing, documentation of process	Project Staff, facilitated by MOFL, UNDP, FAO	Should start planning now
9	Extension of project to allow project to complete tasks based on the fact there is sufficient money and delivery in this type of project necessarily takes time	UNDP, FAO, NPSC	Should consider straight away

Lessons Learnt: The project has to date generated a number of important lessons which are summarised below:

Lesson 1	Participatory development works even though it may be slower than other forms of development.
Lesson 2	Government services are not well trained for multi-tasking. Government departments are designed along subject matter lines and as such staff in these departments find it difficult to view problems holistically. Appropriate training and focus on cross-subject development and appreciation are important
Lesson 3	ECFC has been a process project. Communities have embraced village organisation as a tool to control their livelihoods more effectively.
Lesson 4	Burden sharing of responsibility needs to be seen as a positive management approach to handling public sector money.
Lesson 5	Projects with five years or more duration need an opportunity to develop sensible exit strategies long before the end of the project.
Lesson 6	There is nothing problematic with experimentation in a project. However, experimentation needs to be proportional to the size of the project. The lesson here is proportionality.
Lesson 7	Partnerships can work between GOs, NGOs and VOs given the right circumstances and degree of capacity built and education received. ECFC is a good example of this although this area still needs to be developed further.

1. Introduction

This report represents the final report for the MTE Mission for The Empowerment of Coastal Fishing Communities For Livelihood Security Project (BGD/97/017) (hereafter referred to as ECFC) funded by UNDP and implemented by the Ministry of Fisheries and Livestock (MoFL) with technical assistance by FAO. The report is based on findings collected during a field visit to Cox's Bazar and on briefing meetings and interviews held in Dhaka with MoFL, DOF, UNDP, FAO, and others including briefly with DFID and a team conducting a mid-term evaluation of the Integrated Coastal Zone Management (ICZM) project. Project Staff including the Deputy National Project Director (DNPD), Chief Technical Advisor (CTA), National Consultants, Social Mobilisation Officers (SMOs) and Marine Fisheries Officers (MFOs) were consulted throughout. Fieldwork was undertaken 4 to 13 November 2003 in Cox's Bazar and covered all seven Upazillas (now eight) of the District where ECFC is operating including a visit to the island of St. Martins, the southern most tip of Bangladesh. Meetings were held with some 17 villages where male and female Village Organisations (VOs) were established to date. Additional meetings were held with various members of the associations and institutions set up to manage coastal fisheries including the District Fishers Federation (DFF), Village Committees (VCs), Small Enterprise Groups (SEGs), UNOs and Government Upazilla Officers responsible for subject matter areas including fisheries, livestock, education and health in each Upazilla visited.

NGOs and other service providers were also consulted. Project documentation was examined in detail. A Preliminary Findings Presentation was held, accompanied by a short working paper, in Cox's Bazar on 13 November 2003 to allow project-interested parties an opportunity to enhance field findings and verify issues identified. Comments made during that meeting were taken into account in the course of preparing a Summary Report, which was distributed on 17 November 2003 (two days prior to a Wrap-Up Meeting held at the offices of the MoFL in Dhaka on 19 November 2003). The Team made a power-point presentation covering background, achievements to date, successes, weaknesses, constraints and challenges for the future. Key areas of concern were highlighted from which nine recommendations were developed. The presentation also highlighted important sub-issues, which were identified in the course of the Evaluation Mission.

2. Project Context and Background

There is no doubt that the project originated from social, as much as environmental fishery concerns to work with marginalized and vulnerable coastal fisherfolk in Bangladesh. The Project Document makes this very clear as to why this project is important and relevant.

"Coastal people, particularly the poor majority in fishing communities, have small land holdings [and many cases no land holdings at all] and have little or no access to government land; in the water, due to over-fishing, pollution of the coastal eco-system and marginalisation, they are faced with stressed and depleting fisheries resources. Coastal communities, due to their often remote and often inaccessible locations, have reduced access to the government's development, social services and extension schemes, which inland agrarian communities are beginning to take for granted." (Project Document: Page 1).

The project is also fully in-line with UNDP's Community Empowerment Programme (CEP).

Coastal people form a sizable percentage (a little more than 20%) of the Bangladesh population and poor artisanal fisherfolk constitute the majority of these coastal communities. The majority of fishing communities face a unique combination of problems as a result of geographical location and low access to institutional development services. With a combination of dwindling resources on land and in water, and with few alternative income generating options and coupled with being low down in priority in terms of the development agenda, impoverished coastal communities become even more marginalized and isolated from services such as health and education, which they are entitled to. The only source of livelihood security for the majority of families, is by increasing their use of the natural resources causing increased stress on fish populations, pollution of the coastal ecosystem, destructive fisheries, environmental and habitat degradation, and a multiple of negative impact activities on other water and land masses. Moreover, these people face recurring natural disasters such as cyclones and flooding taking life and property. Coastal fisherfolk lack organisation, economic, social and political power and the capacity or ability to address their needs and call in their rights. Coastal people have vulnerable livelihoods and few alternatives or viable options.

ECFC was the outcome of a joint effort between the Government of Bangladesh (GoB) and UNDP/FAO in order to provide assistance for the long-term change in the development of fisheries and fisher folk communities. The project emerged from a series of Participatory Rapid Appraisals (PRA) and stakeholder analyses of the Bay of Bengal programme of the FAO/ODA of UK and a UNDP/FAO Sustainable Food Security Mission's recommendations focusing on the accumulated understanding of inter-connected problems confronting fishing communities in the coastal areas. The project concept evolved fisheries management using participatory, stakeholder and a community based approach. The promotion of alternate income generation enterprises among the fisher folk was identified as a fundamental management strategy. Modalities were identified to help the community to organise and empower themselves, collectively address their problems, demand their entitlement to services and give them access to the media and information sources.

3. Relevance of the Project

3.1. Summary of Original Objectives

The original project objectives of ECFC have remained unchanged through the various Tripartite Reviews, Steering Committee and other strategic meetings. The development objective of the project, as formulated in the project document, is:

> *"To promote the livelihoods security of the poor through access to assets and resources. [The project] will promote employment and foster skills among the poor. In order to achieve this it is imperative to establish [an] environmentally sound sustainable coastal fisheries development programme through the empowerment and full participation of coastal population both in planning and implementation."*

The formulation is rather confusing, as it includes several somewhat disparate objectives at different levels:

i. Promotion of livelihood security of the poor;
ii. Promotion of employment and skills among the poor;
iii. Establishment of a coastal fisheries development programme; and
iv. Promotion of empowerment of coastal populations in planning and implementation of development.

This confusion is reflected in the perceptions of the project up to the present stage of implementation, leading to some misunderstandings with regard to the actual roles of various partners involved. Some consequences of this situation are discussed below in the section on Project Design.

The three immediate objectives of the project are:

1. *To help communities to empower themselves to collectively address their problems and needs, through organization, management, access to information and improved linkages with Local Government Institutions.*

2. *To enable the enhancement of socio-economic well being in coastal fishing communities through organization, mobilization of savings, facilitation of access to credit, promotion of alternate income generation enterprises, improved access to extension and social services, and improved capacity to cope with natural disasters, in order to work towards sustainable human development.*

3. *To facilitate sustainable conservation and management of coastal marine and estuarine fisheries resources and habitats, through strengthening of participatory, stakeholder and community-based approaches, organization and empowerment of communities and promotion of alternative income generation opportunities.*

The Project Document (PD) also defines a number of criteria for determining the success of each of these objectives, then lists a number of outputs expected for each. The criteria for success can be summarised as follows:

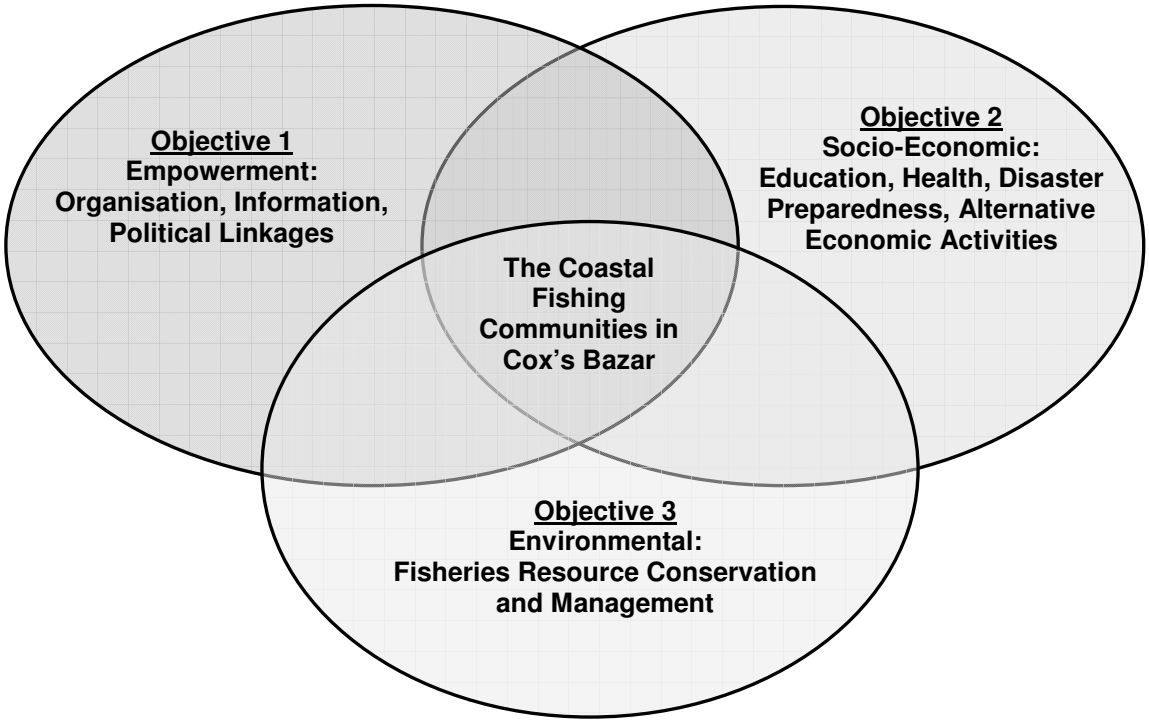
Objective 1: Project staff and partners sensitised and trained in the project approach, communities organised into viable organisations, and information centres and community radio established and functioning.

Objective 2: Communities have effective access to social and economic services (including credit and insurance), women's participation is increased, and disaster preparedness has increased.

Objective 3: Fisheries resources locally assessed by DoF staff and communities, fisheries groups/organisations formed and involved in resource management activities (including ban on destructive fisheries and protection habitats), and alternative income generating activities developed and adopted.

The immediate objectives of the project can be viewed in relation to three aspects of the livelihoods of coastal fishing communities, as illustrated below in Figure 1:

Figure 1: The Three Project Aspects and Coastal Fishing Communities



For the most part, the order of these objectives is well thought out, indicating a logical progression from organisation and empowerment to social welfare (health, sanitation, education, disaster preparedness) to alternative economic activities and finally, when it becomes possible, to better management of the fisheries resources. The PD specifies, however, that this order is not strict, as activities "cannot be predetermined in a participatory project which sets out to empower people and give them control of their own destinies" (PD, page 38).

Nonetheless, as discussed below in the section on Project Institutional Setting, it is important to make the distinction between the three categories of objectives and the necessary - though overlapping - progression from one to the next.

3.2. Relevance at National Level

The project design document included some 30 pages devoted to justification of the project concept and approach. These pages thoroughly discuss project relevance to national policy,

environmental imperatives, UNDP and FAO programmes and policies, and other development initiatives ongoing in the country. It is evident that the project design team fully examined the project context and the relevance of the project concept and planned actions.

There is no doubt that the project was and is highly relevant at national level. National development policy is centred on poverty alleviation for the poorest sectors of the population. Coastal fisherfolk certainly fall into that category, and the project is clearly working to reduce their poverty. Management of the environment and natural resources is another high national priority, which is directly addressed by the project.

The project also fits into the National Fisheries Policy of 1998, whose second objective is "Poverty alleviation through creating self-employment and improvement of socio-economic conditions of the fishers." Under section 8 dealing with marine fisheries resources, the Policy also states that it will lay "more priority on the small-scale fisheries sector." However, unlike ECFC, this document deals exclusively with activities directly related to the fishing activities of fishing communities, with only one vague statement which could refer to supporting non-fisheries activities: "10.6.2: Adequate measures will be taken to improve livelihoods of fishermen."

The recently drawn up "Draft Marine Strategy" of the DoF (July 2003) is much more explicit in assigning the responsibility for general livelihood support of fishing communities to the DoF, whether or not this support is directly related to their fishing activities. The draft strategy does, however, also recognise the need to assist the DoF in this task (page 4):

> "There would therefore have to be a programme to offer those who can no longer sustain a livelihood from fishing and also as an alternative safety net for those who would otherwise have tried to enter fishing to escape poverty. This is an area where DoF does not have the capacity in either skills or manpower and so must be done in collaboration with a partner that does."

In the more general UN context, ECFC as a livelihoods enhancement project is also directly in line with UN priority areas under the "rights-based" approach to development used as the basis for the June 2000 UN Common Country Assessment. The project addresses the "Right to Participation" through support to associative activity and empowerment. It provides assistance related to the "Right to Survival" with interventions in health, water and sanitation, and food security. It also supports the "Right to Livelihood" with activities in primary education, employment creation and income generation.

More specifically, the project design team considered the UNDP Country Cooperation Framework (CCF) during formulation. The CCF specifically supports empowerment of groups at the community level for poverty alleviation through good governance and gender equity, and the identification of non-formal and sustainable sources of income generation. Immediate Objectives 1 and 2 specifically address these areas. Another one of the major objectives of the CCF is the sustainable management and use of natural resources, which the project is designed to address under Immediate Objective 3.

3.3. Relevance at Local Level

The project's relevance to the situation viewed by the MTE Mission in Cox's Bazar District is also beyond doubt. Several - though not all - of the fishing communities visited by the mission were suffering from problems directly addressed by ECFC.

In particular, the communities were visibly poorer than the non-fishing communities surrounding them. Villagers regularly cited lowering fish catches as a major factor in this

poverty, and all stressed that the only skill they possessed was fishing and they had no other significant income generating activities besides those related to this profession.

The communities had little or no access to primary health care, sanitation and clean water, primary education, or credit. While all communities had some informal local groups of various types, none were very organised nor formalised. None of these groups had given the communities any voice at higher levels of local administration (Village, Parishad, District). And very few were engaged in any economic activity, let alone in savings and loan activities. In all communities seen by the MTE Mission but especially in the Muslim communities, involvement of women in income generating activities was very low, and their participation in decision making outside the home was apparently non-existent.

ECFC was designed to provide support in addressing all of these issues, and is thus highly relevant at local level. This was confirmed quite vividly through an on-site analysis undertaken by the project management team for its Inception Report of June 2001.

With regard to its relevance to the decentralised administration and to NGOs working in the District, as designed, the project provides some support to them as executing partners. However, it does not appear that the needs or constraints of these entities were at any time central to project formulation, which instead concentrated on participation only of local communities in the formulation process.

As detailed in the next section, it is the view of the MTE Mission that this group should be more central to the project objectives than they are, and that the relevance of project activities to their work should have played a greater role in project formulation. Ultimately, it is these institutional partners who will be responsible for ensuring replicability and durability of the project outcomes.

4. Project Design

Overall, the project design document is quite well prepared. The background and justification sections look closely at the existing situation and the implications of undertaking as complex and holistic a project as this one. The breakdown of the project into nine "generic steps" is a useful tool to understand the overall planned assistance while avoiding use of a "blueprint," incompatible with this type of participatory project.

The document (and this MTE Mission) would no doubt have benefited from a LogFrame Analysis, breaking down project objectives and activities into a logical framework table for easier reference when monitoring progress and evaluating outcomes. An effort in this direction was made in the text through the inclusion of "Success Criteria" for each immediate objective, and the document does list a number of quite valid "Risks" (assumptions). However, this information could usefully have been further refined and analysed in table form.

Within this generally satisfactory design, there are a few issues nonetheless worth noting in more detail. These relate to the identification of beneficiaries, the institutional setting of the project, the project workplan and timeframe.

4.1. Identification of Primary and Ultimate Beneficiaries of the Project

Project objectives indicate poor fisher folk in coastal fishing communities of Cox's Bazar District as the primary beneficiaries of project interventions. There is no doubt that the **ultimate** beneficiaries of the project are these fisherfolk, first in Cox's Bazar and later in other coastal areas in the country or elsewhere. However, the project is about developing and consolidating the *approaches and tools* to best assist this group.

The **primary** beneficiaries of this work in defining approaches are the **institutions** (government, NGO, international or private sector) which will go on working with these communities during and, especially, *after* the project. It is through transfer of experience and capacity to institutions that this type of project (with a limited budget in the face of near-unlimited need) can hope to reach the largest number of these beneficiaries. The project document clearly states that "*a crucial aspect of the project is on-line capacity building of GOs and NGOs to enable them to implement the project and to ensure replicability and sustainability.*"

While this may at first appear to be a minor distinction, it is important to stress that the project must maintain a clear focus on this target group - institutions - if it wishes to have a lasting impact on the poor fishing communities of Bangladesh. On the government side, this includes in particular the Marine Fisheries Division of DoF and the District and Upazilla offices of MoFL. It also includes all of the collaborating government ministries and divisions,[1] especially at District level. In addition to government, the project target institutions also include the 13 NGOs with which it is working closely, all of which must be specifically targeted with capacity building and support if they are to carry on the work of assisting poor fisherfolk beyond project closing.

[1] These include the Ministries of Environment & Forests, Agriculture, Water Resources, Land, Health and Family Welfare, Education, and Relief and Rehabilitation, as well as the Local Government Division, Rural Development and Cooperatives Division, the Disaster Management Bureau and Bangladesh Betar (radio).

4.2. Project Institutional Setting and the Nature of the Objectives

ECFC is nationally executed by the DoF of MOFL and its decentralised offices, supported by technical assistance from the Fisheries Department of FAO.

This institutional home of ECFC was the subject of much discussion during the MTE Mission, in particular with reference to the need to progress in steps through the three immediate objectives: (a) the more "political" part of the project relating to group formation and empowerment, (b) the "socio-economic" part relating to health care, education, water and sanitation, disaster preparedness and alternative livelihoods development, and (c) the more "scientific-technical" part relating to fisheries resource use, conservation and management. The bulk of project activities (10 of the 11 Outputs) are not directly related to fisheries activities of the coastal communities, but rather to social mobilisation and support to general livelihood improvement (including alternative income generating activities such as vegetable gardening, small livestock, sewing, drying *purchased* fish, and other non-fisheries activities).

In such a situation, there can be some question regarding the appropriateness of placing the project exclusively under the management of technical, "scientific" fisheries staff, both in government and in FAO. A weakness of the design document is its very superficial treatment of "Counterpart Support Capacity" (PD, page 37). No attention was paid to the weakness of the DoF and its decentralised officers in areas unrelated to fisheries.

The MTE Mission is of the opinion that the project should have made a clearer distinction between the three aspects of project activities - political, socio-economic and technical/fisheries - as the executing agency and the technical assistance agency both have a much greater need for capacity building in the first two than in the third. At the same time, with regard to the communities, although the three stages clearly overlap, the resource management part can only come chronologically after the empowerment and socio-economic activities have progressed sufficiently to diminish the urgency of these people's dependency on fishing for survival.

After having considered this issue at length and discussed it with many people at various levels and in various locations, the MTE Mission concluded that while the problems faced by DoF in carrying out this mission are significant, there does not appear to be any ministry department better placed to work specifically in *poor fishing communities*. DoF field staff are those who best know these communities and the issues they face. Even though they do not have occasion to interact much with the poorer communities in their normal work, they are nonetheless the government service most likely to know about the livelihoods of fisherfolk.

The challenge faced by this project (and others like it which deal with poor fishing communities, both in Bangladesh and elsewhere, for example Cambodia) is to build the capacity, awareness and sensitivity of this group of civil servants, introducing them to new responsibilities for facilitating the overall social and economic development of poor coastal fishing communities. This issue is insufficiently taken into consideration in the project design documents.

4.3. Project Workplan and Timeframe

Another issue (minor as a design issue, not as an implementation issue) concerns the workplan for the project. The design document does not provide a workplan, leaving that task to the project management team's Inception Report. While this approach is quite reasonable, it turned out that the project used a much longer inception period than originally envisioned - nearly two years! Much work was accomplished during this period, but it was

the work of a very incomplete project management team (only five - *socio-economist, aquaculture, marine fish processing, livestock and M&E experts*) of the 22 (GoB and FAO professional staff) planned professional staff and none of the NGO partners who came on board only at the end of 2002) and depended excessively on the energy and motivation mainly of one individual, the CTA. A detailed, agreed-upon workplan for at least the initial period, with milestones against which to measure progress, may have assisted in accelerating project start-up.

A related issue is the timeframe foreseen at design. This was of five years, from mid-2000 to mid-2005. Given the type of project which this is, based on iterative participatory planning, dependent on the formation and empowerment of effective community organisations as a necessary first step, working with very poor and isolated communities, it could have been envisaged that implementation might take longer than planned. In order to allow for this possibility, again, it would have been very useful to have included a workplan with time-bound milestones against which to measure progress and, if needed, adjust the project timeframe.

5. Project Implementation, Management and Efficiency

5.1. Project Activities

ECFC PMU and National and International Staff: The project commenced with the arrival of the Chief Technical Advisor/Team Leader and the appointment of the National Project Director (NPD) in December 2000. Subsequent appointments and recruitment of other staff including the Deputy National Project Director (DNPD) were made later, although some posts such as the Marine Fisheries Officer posts were not filled until the end of 2002. Social Mobilisation Officers were appointed only at the beginning of 2003 (February/March). Although, a number of staff changes have taken place in recent months for various strategic reasons, this has not hampered implementation due to the strength and commitment of the CTA. National Consultants to be attached to the Technical Advisory Group (TAG) were recruited from October 2001 onwards.

International consultant inputs commenced with an FAO Backstopping Mission in August 2001 followed by 16 Technical Assistance missions during the period from April 2002 through to November 2003. Some on-going consultancy is currently underway. See Annex g for a list of all consultancies undertaken by FAO.

Generic Steps: The project document was conceived with seven generic steps in mind. These were not to be implemented sequentially but rather logically and in some cases simultaneously. These steps are summarised below:

Generic Steps	Core Activity	Responsible
Step One	Orientation and Training of GOs and NGOs	TAG
Step Two	Social Mobilisation of Coastal Fishing Communities: Establishment of Village Management Information Systems (V-MIS); Establishment of Village Organisations for men and women; Identification of Community Activitists (CAs);	GOs NGOs
Step Three	Develop and Strengthen the Village Organisation (VOs) and Village Development Committees (VDCs): Savings schemes Training of VOs and CAs Possible matching grant from ECFC for Village Development Fund (VDF)	GOs NGOs TAG support
Step Four	Empowerment and Awareness raising: Based on CEP Value and purpose of VOs and VDCs Establishment of VDFs	GOs NGOs TAG support
Step Five	Community Based Management of Fisheries Resources and eco-system	TAG NGOs
Step Six	Economic Diversification: Alternative Income Generating Activities (AIGA) (originally credit but then latter converted as a Micro-Capital Grant (MCG) system for male and female VO members through Small Enterprise Groups (SEGs). Rural Enterprise Development Services (REDS)	NGOs Private Sector
Step Seven	Increase access to social and extension services Accountability of GOs Village Self-Reliance (initially for sub-areas of health and education)	GOs NGOs

Generic Steps	Core Activity	Responsible
Step Eight	Disaster preparedness	NGOs
Step Nine	Applied Research and Study	GOs (e.g. BFRI) and TAG

The project was envisaged to last five years and for the first phase to be implemented during the first 30 months in two "spells of villages" (the first spell took in 37 villages and commenced late in 2001, while the second spell started in the middle of 2003). During this time, 117 villages have been taken into the project and 248 Village Organisations (VOs) have been formed (of which 123 are male and 125 are female). According to recent project documentation over Taka 1.9 M has been saved through these VOs for a population of 206,119 (27,113 households) and in all eight Upazillas. The project is set to end in December 2005.

The vast majority of activities, and focus of the project, to date have involved training and workshops in social mobilisation, organisation, awareness raising of rights and demands that coastal communities have, micro-enterprise formation and organisational formation up of Government officers, NGO staff and village community members. Awareness raising of environmental law and disaster preparedness has also taken place. Micro-Capital Grant has been provided to support just under 100 projects during 2003. There has also been awareness raising of "bad-fishing practices" including over-fishing, fishing in breeding grounds for various species and the linkages of this with future diminishing income from a continuation of such practices.

With respect to fisheries research and study, this has been limited to a Marine Set-Bag Net Project and experimental aquaculture farming including piloting aquaculture in about 20 ponds at the village level in Chakoria Upazilla. This has been conducted by the Bangladesh Fisheries Research Institute (BFRI), in Cox's Bazar. Some experimental study has also been undertaken with respect to solar-drying of fish, which has proved quite successful.

Coordination and Steering: During the course of the project three National Steering Committee Meetings took place and one Tripartite Review Meeting was held. The arties to these meetings have included Government, (Ministries of Environment and Forestry, ERD and IMED, Planning Commission, LGRD), FAO, UNDP, ECFC PMU staff (NPD, DNPD, CTA). Other representation has been absent such as Health and Education.

5.2. Project Outputs

The project, to date, has undertaken a vast array of activities mainly in the form of "soft" development service assistance. That is to say, its activities have been focused on working with development partners based on changing government practices, engaging communities in discussion about the future, awareness raising about the role of government and services that can and should be expected from service providers and issues over disaster preparedness and education and health. In addition, various mechanisms have been set up to disburse funds to community level in the form of micro-capital grants as much as creating access by communities to diverse knowledge banks such as environmental law, improved fishing practices and micro-enterprise development.

The Immediate Objectives and their Outputs as described in the PD and are repeated for information reference purposes below:

Immediate Objective 1

To Help Communities To Empower Themselves To Collectively Address Their Problems And Needs, Through Organisation, Management, Access To Information And Improved Linkages With Local Government Institutions

- *Output 1*: Development partners (including GOs and NGOs) oriented to the content, strategy and approach of the project, and their capacity developed to undertake participatory rapid appraisals in participating communities.
- *Output 2*: participating communities socially mobilised to organise themselves into Village Organisations (VOs) including functional groups and formation of Village Development Committees (VDCs).
- *Output 3:* VOs and VDCs empowered to think through their problems and concerns and to address them in a self-reliant manner and through demanding their political entitlement.
- *Output 4:* Use of radio as an information and development tool, to provide a voice to the people in participating villages and communities and to assist the project in its implementation efforts.

Immediate Objective 2

To Enable The Enhancement Of Socio-Economic Well Being In Coastal Fishing Communities Through Organisation, Mobilisation Of Savings, Facilitation Of Access To Credit, Promotion Of AIG Enterprises, Improved Access To Extension And Social Services And Improved Capacity To Cope With Natural Disasters, In Order To Work Towards Sustainable Human Development

- *Output 1:* VOs and VDCs strengthened and their managerial capacity developed.
- *Output 2:* Increased access in coastal fishing communities to social and extension services provide by government organisations.
- *Output 3:* Increased access in coastal fishing communities to selected social services, through NGO interventions through VDC/VDF managed and financial efforts.
- *Output 4:* Increased access in coastal fishing communities to selected social services, school based education and community healthcare on particular through organised self-management, privatisation and VDC/VDF managed and supported efforts.
- *Output 5:* Improved capacity of coastal fishing communities to cope with natural disasters and their aftermath.

Immediate Objective 3

Facilitate Sustainable Conservation and Management of Coastal Marine and Estuarine Fisheries Resources and Habitats *through* strengthening of participatory, stakeholder and Community-Based Approaches, Organisation and Empowerment of Communities and Promotion of AIG Opportunities

- *Output 1:* Community based and stakeholder management of fisheries resources and habitats through reduction of fishing effort in over-fished fisheries, reduction of destructive fishing practices, protection/conservation/rehabilitation of fisheries habitats towards sustainable fisheries.
- *Output 2:* Coastal Fishing village economies diversified, alternative income generating enterprises established to increase incomes and reduce fishing pressure.

As stated earlier, this project is driven by the characteristics of being dedicated by "process" and not by blueprint in approach. This means that quantifiable change and output is more problematic to measure than qualitative change. With reference to Immediate Objective 1 and the corresponding outputs, it is possible to state that so far 117 village communities have been targeted, they have been assisted to form organisations through the use of training and awareness raising and that linkages with government services has been improved.

Thirteen NGOs have also been selected and contracted as Service Providers (SPs) to assist in developing strategies of community support. These thirteen NGOs are indicated in the following table (table supplied by ECFC), their thematic area and the geographic location in which they are operating:

NGO	Thematic Area	Geographical Location
GMF	Social Mobilisation	Cox's Bazar Sadar, Moheshkhali, Teknaf, Ukhiya, Ramu, Kutubdia
BASTOB	Social Mobilisation	Chakoria, Pekua
ISDE	Disaster Preparedness	Chakoria, Pekua
BDPC	Disaster Preparedness	Cox' s Bazar Sadar, Moheshkhali, Teknaf, Ukhiya, Ramu, Kutubdia
TARD	Income generation	Cox' s Bazar Sadar, Moheshkhali, Teknaf, Ukhiya, Ramu
TRIBEDI	Income generation	Chakoria, Pekua, Kutubdia
OSAD	School based primary education	Cox' s Bazar Sadar, Moheshkhali, Teknaf, Ukhiya, Ramu
CATALYST	School based primary education	Cox' s Bazar Sadar, Moheshkhali, Teknaf, Ukhiya, Ramu
CNRS	Community participation in coastal fisheries resource management	Chakoria, Pekua, Kutubdia, Teknaf
BCAS	Community participation in coastal fisheries resource management	Cox' s Bazar Sadar, Moheshkhali, Ukhiya, Ramu
BELA	Legal Aid Support	All Upazillas of Cox's Bazar
RIC	Primary health, water and sanitation	Cox' s Bazar Sadar, Moheshkhali, Teknaf, Ukhiya
CDS	Primary health, water and sanitation	Chakoria, Pekua and Kutubdia

For a list of services undertaken by GOs see Annex F.

Other outputs produced by the project to date include:

Data Collection: The project has also been gathering socio-economic data on households in the communities which should form the basis for measuring quantitative change. Data on indicators such as per capita income, household size, education and health status, as much as on marine resource change and marine stock are being recorded although analysis has not yet commenced. Analysis would be an important output as a measure of project impact and needs to start now.

Training: The project has been engaged in a large amount of training conducted through NGOs and GOs and in the communities themselves. The project has also sent a number of beneficiaries overseas to neighbouring India, Thailand and Vietnam on study tour.

Reports and Manuals: Various manuals and reports have been written by staff and consultants engaged on the project which cover various issues including fisheries management, MCG and REDS, VO selection and baseline survey preparations.

The MTE Mission could only review a sample of reports and manuals and found these to be generally thorough and of a high quality, although consultants would benefit if they shared their thoughts before hand more widely across the project and with other projects in the area. It would also be beneficial if other donors were consulted about initiatives such as livelihood analysis and MCG. The about to be launched Chars Livelihoods Programme of DFID would be an interesting model to examine in terms of fund management practices and models in this regard. Concept notes (such as for the MCG) and other working papers seemed to be rather rushed and not well distributed for comment. These new innovative areas would be best discussed more widely.

A full list of reports produced by ECFC is provided in Annex I. It would be beneficial for reports to be more effectively and efficiently circulated between the three key management partners of ECFC that is to say GoB, FAO and UNDP and a sharing of information with other projects in the area. This recommendation is discussed in the separate section on Recommendations for maximising project impact.

Research: The project has also supported at least three research projects located at the Bangladesh Fisheries Research Institute (BFRI) in Cox's Bazar. These are:

1. "Participatory Development of Appropriate Aquaculture Production in the ponds of ECFC project Area";

2. "Studies on the impact of marine-set bag net (MSBN) on the marine resources of Bangladesh": and

3. "Development of Low Cost Solar Dryer for the production of improved Quality Dry Fish"

5.3. Management Arrangements and Modalities

National Execution (NEX)

The project is nationally executed by the DoF, MoFL, GoB. The implementation of project activities is assisted by a Technical Advisory Group (TAG) provided by the Food and Agriculture Organization (FAO) of the United Nations. UNDP co-operation is extended in the form of financial and technical inputs.

The project has gone into implementation within the framework of national execution (NEX) modalities with National Project Steering Committee (NPSC) as the upstream policy direction body and Project Management Unit (PMU) as the management authority in the field. The Secretary of MoFL heads the NPSC and National Project Director (NPD) heads the PMU. The NPSC is functioning well since its formation and meets at regular intervals to review project progress and implementation and to sets policy direction for the future.

Project Coordination

A multi-sectoral and multi-dimensional involvement of several stakeholders with many different activities is one of the fundamental characteristics of this project. The operational success of the project is dependent on a very effective collaboration and coordination between UNDP, the UN Implementing Agency, FAO and GoB at the policy level. Project

management is provided through the Technical Assistance Group (TAG), NGO Service Providers, local level GoB officers and beneficiary organisations at the field level. All activities are required to be conducted in a coordinated manner so that the results could be linked with project objectives. The work plan and budget are also required to be objective driven within the framework of project document and TAPP.

A general lack of coordination could be observed at the policy level between UNDP, FAO and GoB in terms of taking decisions and then implementing those decisions. Project activities have suffered during the inception years due to a lack of timely decisions and prompt action on the part of policy making partners.

The project to date seems to have been run by a "***push"*** method instead of the "***pull"*** method. Many activities under the project seem to have been pushed by either UNDP or by FAO. Initiative at the field level, in the opinion of the MTE Mission, seems to be quite limited. Dependence on DoF for many administrative and general management decisions seems apparent. In addition a general lack of delegation of authority was also observed at both the policy and field levels. A free flow of information among the participating agencies was not observed. Many strategic decisions were also found to be unilaterally undertaken. The work plan based budgetary practice and control has also not be established.

Monitoring, Reporting and Communication Flow

The MTE Mission feels that many events are happening at different levels and with different styles with resultant poor monitoring taking place. Many activities are "push-based" and "budget-based" events, some of which are not the outcome of decisions taken in concert with all parties. Although monthly workshops at Upazilla level and District level to review the progress of previous month and adopt the work plan for the next period is well functioning, they do not develop as project management decisions. Programme functions and administrative functions at the project level get mixed up. Input-based and objective centred monitoring system have so far not been established.

Results from the input of international and local consultants are neither formally discussed in any conducive managerial forum nor culminate to utilised to assist management decision making.

5.4. Execution and Implementation Agencies

Project Implementation Partners

National Execution Context

The Department of Fisheries (DOF) is the National Executing Agency (NEA) of the ECFC project and is entrusted with the responsibility of co-ordinating and mobilising UNDP funds and their application in the most effective manner, in combination with government resources towards the attainment of project objectives. The Government, UNDP and FAO jointly share responsibility and accountability to see that prudent and judicious use of project resources is made.

The ECFC project document was signed in June 2000 and became operational in December 2000 when the NPD and Team Leader joined the project. The Project Management Unit (PMU) was established in Cox's Bazar within the locally provided offices of DOF.

The National Project Steering Committee (NPSC) was formed in MOFL and is headed by the Secretary of MoFL. The Upazilla Project Implementation Committee (UPIC) was established

in each Upazilla and is headed by the Upazilla Nirbahi Officer (UNO). UPIC was charged with the responsibility of planning, budgeting, supervision and monitoring of local level activities. Upazilla level government officers from various government departments/ agencies, development partners, VO and VDC representatives are members of the UPIC, while the Upazilla Fishery Officer (UFO) is the Member Secretary, and remains responsible for the co-ordination of project activities including those of VOs and VDCs.

ECFC personnel comprises 10 support staff under the NEX budget, 13 national consultancy support staff under the FAO budget and 17 GoB staff (MFO, UFO and AFO). International consultancy support, both short-term and long-term consultants, supplement the efforts of project personnel. The responsibility for implementation and co-ordination of the project as well as the day-to-day management of field level activities rests with the NPD who is supported by a full-time, field based, DNPD.

GoB

The NPD was involved with the project since the start of the project. The DNPD was appointed only in June 2003, some two and half years after the start of operations. The services of the UFOs and the Assistant UFOs for ECFC project activities was made available on a time share basis from the start. The Marine Fisheries Officers (MFOs) only joined the project in the l beginning of 2003.

The NPSC has so far met three times (6th September 2001, 25 September 2002 and 17 September 2003) to discuss policy issues such as revisions to the TAPP, the conversion of two senior SMO into seven junior Social Mobilization Officer (SMO) posts, the extension of the contract of the TAG Team Leader and the finalisation of the criteria for the selection of SPs.

UPIC meets once every month at the Upazilla level to review progress and co-ordinate project activities with the UNO generally chairing. The meeting is attended by all concerned at the Upazilla level, GoB and NGO officials, project officials and VO/VDC representatives. The meeting is generally conducted as a workshop and a monthly work plan for GOs and SPs is prepared during the session. The activities of the SPs are planned within the framework of the Letter of Agreement while the activities for the GOs are planned on the basis of proposals put forward by the VDCs, SMOs, and concerned departments. Decisions are taken on the basis of review of progress of the previous work plan and solutions suggested in case of non-performance under condition of a penalty in the case of successive failure by any party. A quarterly budget is also prepared within the framework of UPIC decisions under NEX. The UFOs coordinates the implementation of these activities in conjunction with the SMOs. Funds are then advanced to the UFO office under the NEX budget.

FAO

The Team Leader of the TAG joined the project in December 2000. The first batch of consultancy support staff joined the project in the last quarter of 2001 followed by others in subsequent period. The Social Mobilization Officers (SMO) joined the project in the first quarter of 2003. The service providers (SP-NGO) were fielded in November and December 2002. A total of 13 Non-Government Organisations (NGOs) are sub-contracted as development partners/agencies and service providers to supplement the PMU capacity in implementing several innovative project activities. A Task Force is established within FAO to review and monitor project activities. The FAO Representative chairs the meeting which is attended by representatives of DoF, MoFL, UNDP and PMU. Task Force meetings are held

as and when required. International consultancy support was made available only after mid-2002.

FAO's support is crucial to ECFC project implementation especially through the TAG which is responsible for overall programme development, implementation and supervision. A holistic problem solving approach involves integrated policy, co-ordination efforts and sharing responsibility amongst development partners under the general guidance of TAG. The first batch of consultancy support staff joined the project only in the latter quarter of 2001, a year after the project started. Likewise the SMOs joined the project only in the first quarter of 2003, while the SPs commenced their activities in the tail end of 2002.

UNDP

UNDP support is provided in the form of financial and technical inputs. Funding modalities were set up immediately after the NPD's appointment and quarterly advances are made regularly to the project account on the basis of the work plan and *Requests for Fund Advance (RFA).* Budgets have been revised a number of times which have accommodated revisions in the work plan and to allow for adjustments due to delayed start up of project activities. Project vehicles and other materials were procured as planned. Interfacing with other related projects like Global Environment Fund for bio-diversity management is arranged with activity and matching fund.

5.5. Project Budget and Expenditure

An analysis of the ECFC budget shows that up to September 2003 a total amount of about USD $1,653,164 has been utilised. This is about 26% of the total budget of USD $6,269,549 for the full five years ending in December 2005. FAO, as the UN implementing Agency is responsible for budgeted expenditure of USD $4,905,826 of which an amount of USD $1.425,225 has been spent during the first three years of operation.

Out of a total allocation of USD $1,156,020 for 2001 (Code 'C'), an amount of only USD $292,599.73 was spent on project activities. Similarly, an amount of USD $1,187,265.40 was been spent during 2002 against an allocation of $1,597,443 (Code 'H'). The rate of delivery has slowed down in 2003 recording an expenditure of USD $166,568.53 against budget allocation for the year USD $1,411,338 (Code 'I'). In terms of percentile achievement, this shows that the ECFC project has achieved a delivery rate of 25%, 74% and 16% during the years 2001, 2002 and 2003 respectively. This delivery rate is not satisfactory by any standard of implementation.

The unspent amount has been allocated to subsequent years creating a huge line allocation without a corresponding work plan. Indeed the work plans for 2004 and 2005 do not show any extra ordinary promise to manage expenditure of this accumulated and unspent amount. The budget has not been well rationalised over the period under review and necessary attention should be given to rationalise this budgetary allocation in view of the limited remaining time and planned activities and not in view of simply unspent allocation.

Year-wise comparative statement of budget and expenditure up to September 2003

Year	Code	Budget (USD $)	Actual Expenditure (USD $)	Percentage
2000	B	15,950	6,731.00	42%
2001	C	1,156,020	266,599.73	25%
2002	H	1,597,443	1,187,265.40	74%

2003	I	1,411,338	166,568.53	16%

Comparative statement of item-wise (major) budget and expenditure up to September 2003.

Budget Line Item	Total Budget (USD $)	Expenditure up to September 2003 (USD $)	%	Balance (USD $)	%
Project Personnel	2,178,967	867,037	40	1,311,935	60
Sub-contract	1,627,000	213,330	13	1,413,670	87
Training	1,116,930	195,440	17	921,490	83
Equipment	464,739	322,842	69	141,897	31

6. Progress towards Achievement of Project Objectives

6.1. Outcomes and Impact

The term "outcomes" here refers to the use made of outputs by the target group. "Impact" is the extent to which these outcomes represent progress towards the realisation of project objectives. The "success criteria" given in the project document provide a starting point for this assessment. These are presented below for reference:

DEVELOPMENT OBJECTIVE: The development objective of the project is to promote the livelihoods security of the poor through access to assets and resources. It will promote employment and foster skills among the poor. In order to achieve this it is imperative to establish environmentally sound sustainable coastal fisheries development programme through the empowerment and full participation of coastal population both in planning and implementation

Immediate Objective 1: To help communities to empower themselves to collectively address their problems and needs, through organization, management, access to information and improved linkages with Local Government Institutions.

Success Criteria:

a) The project counterparts, DOF staff, local authorities and development partners are fully familiar with the strategy and approach(es) to be followed/adopted in the project and committed for their successful achievement.

b) PRAs for participating villages successfully conducted and problems of the communities identified and prioritized within the framework of the project's objectives and capacity.

c) Participating community members VOs for men and women, and for functional/groups at village level and formed VDCs, and their effective and sustainable operation achieved.

d) Management Information Centres (V-MIS) established, managed and operated successfully VDCs and provided to VOs and VDCs with information for decision making, monitoring and evaluation.

e) Members of the VOs and VDCs elected through democratic principles.

f) Community Centres around existing fora such as temples and mosques or around women and youth-run enterprises such as tea-shops and clubs in the project sites established effectively utilized.

g) VOs and VDCs representative regularly participated in Project Implementation Committee Meetings at Village and Thana levels.

h) A well functioning Coastal Communities Radio Unit (CCRU) established in collaboration with Bangladesh Betar and provided regular radio programmes for coastal community.

Immediate Objective 2: To enable the enhancement of socio-economic well being in coastal fishing communities through organization, mobilization of savings, facilitation of access to credit, promotion of alternate income generation enterprises, improved access to extension and social services, and improved capacity to cope with natural disasters, in order to work towards sustainable human development.

Success Criteria:

a) Savings schemes developed by VOs and collateral-free institutional credit for VOs and community members established and successfully operated.

b) Increased GOs and NGO's social, extension, school based education and community health care services for the benefits through well functioning VDC/VDF managed and financed efforts.

c) Local health insurance scheme prepared and tested through the project.

d) Women's participation in income generating activities increased and their active participation in VOs/VDCs promoted.

e) Fishing Communities Strengthened the capacity to cope with natural disaster and their aftermath, and damage by natural disaster minimised.

Immediate Objective 3: To facilitate sustainable conservation and management of coastal marine and estuarine fisheries resources and habitats, through strengthening of participatory, stakeholder and community-based approaches, organization and empowerment of communities and promotion of alternative income generation opportunities.

Success Criteria:

a) Fisheries participated in PRAs of the marine eco-system and fisheries, and identified high priority fisheries and their need of management identified.

b) Facilitated and promoted fisheries to organize themselves into fisher VOs to look after their needs and to participate in stakeholder management approaches and a well functioning Fisheries Management Advisory Committees established.

c) Destructive fisheries gradually reduced and eventual ban achieved.

d) Advocacy movement initiated for pollution control, mitigation of damage and rehabilitation of habitats in the coastal waters and conservation of coastal ecosystems.

e) Promoted Thana, District and National configurations and associations of fishers.

f) Alternative income generation opportunities identified and promoted by NGOs through mobilization of VOs.

In spite of a slow start-up, the project has made significant progress in some areas, especially on the activities for achievement of Immediate Objectives 1 and 2. In a deviation from the original project document, which planned on initiating project activities in 71 villages from the very start, the project team instead started with a pilot set of 37 communities in late 2001, within the capacity of the still incomplete project staff. It then added a second set of 80 communities in mid-2003, when further staff and NGOs had been brought on board. This approach means that the first set of communities has been working under close attention of project staff for about two years.

The progress of the VOs in this first group is therefore at a point where the mission was able to make some observations with regard to outcomes already achieved, and make some predictions on expected longer-term impact. This was done by comparing the situation observed in the field with the immediate objectives.

Immediate Objective 1*: To help communities to empower themselves to collectively address their problems and needs, through organization, management, access to information and improved linkages with Local Government Institutions.*

This objective included the training and sensitisation of local government and NGO staff. The situation encountered in the field by the mission was quite impressive in this respect: with few exceptions, project, government and NGO staff appeared both well-informed of the

project's objectives and approach, and highly motivated to work with and assist the fishing communities to which they were assigned. This motivation was not limited to field staff, including also district staff and most of the UNOs.

PRAs had also been conducted in the project communities, and the MTE Mission was able to hear several presentations by villagers which demonstrated a new approach to problem analysis and prioritisation. Men's and women's VOs had been established in all communities and in the earlier ones, the VOs had invariably taken on a large number and variety of activities under the project.

While not easy to quantify, the MTE Mission repeatedly had the impression in the pilot villages that there had been a significant qualitative change in villagers' level of participation in the "political process" of decision-making and joint action. This was especially true for women's group members. There was also a clear change in the quality of relations between these poor fisherfolk and local government authorities, noted both by the villagers themselves and by the government staff posted at District and Upazilla levels. This is exactly what is meant by the word "empowerment" which is so central to the ECFC.

There were less tangible signs of a changing relationship between the fishermen and the boat and gear owners for whom they work. This is a delicate area due to the strong direct economic power exercised by the boat owners, but the project is making commendable efforts to co-opt this latter group into the empowerment process in order to avoid conflicts.

While some higher level federations of VOs had begun to be established with project support, this aspect was still at an infant stage and the MTE Mission could not clearly judge where it would lead. The strengthening of these groupings is the subject of one of this mission's main recommendations (see section on Recommendations, and in particular Recommendations 2 and 3 on page 49).

All the other success criteria of this objective have yet to be achieved to any significant degree, including the establishment of VDCs, the creation of community information centres, and the establishment of the "Coastal Communities Radio Unit" (CCRU). In this latter case, significant steps have been taken, including the start of a short programme on the local radio station twice a week, and the presentation of a proposal to the Ministry of Information, but much remains to be done.

Immediate Objective 2: *To enable the enhancement of socio-economic well being in coastal fishing communities through organization, mobilization of savings, facilitation of access to credit, promotion of alternate income generation enterprises, improved access to extension and social services, and improved capacity to cope with natural disasters, in order to work towards sustainable human development.*

The "large number and variety of activities" of VOs referred to above are those that come under this Immediate Objective. VOs in the first group of villages without exception, were involved in savings and credit and alternative income generating activities (including under the project's "micro capital grant" component), had significantly improved access to government and NGO extension and social services, had in most cases established a village primary school, had a trained village primary health care volunteer, and had undergone disaster response training. Women, as well as men, were heavily involved in all of these activities.

There can be no doubt that many villagers are benefiting from these activities, such as the families with children in the primary schools, those receiving medical care from the village volunteer, and those involved in alternative income generating activities. Some of these

effects of project activities are likely to leave a lasting change on the communities and households benefiting from them, regardless of whether the VOs survive, if only because of the short-term changes in the beneficiaries' socio-economic situation (though the entrepreneurial activities are still at too early a stage for the MTE Mission to judge their economic viability and future sustainability).

Immediate Objective 3: *To facilitate sustainable conservation and management of coastal marine and estuarine fisheries resources and habitats, through strengthening of participatory, stakeholder and community-based approaches, organization and empowerment of communities and promotion of alternative income generation opportunities.*

The resource conservation and management part of this objective has been the subject of a certain amount of external technical input and of some organised discussion with VO members as part of their project-related activities. A start has been made with the organisation of gear-based Fisheries Management Committees and a District Fishers' Federation, though these are still at a very early stage.

However, the MTE Mission was repeatedly reminded of the fact that these poor fisherfolk are not going to consider improved management of the fisheries resource, at least until their economic situation has significantly changed. These fisherfolk are making informed decisions with regard to the resource they are harming: they are fully aware that fishing fry and post-larval fish and shrimp threatens the reproduction of the fish stocks they live on. However, they are highly dependent on this resource for the most basic livelihood needs of their families; they have little alternative to this practice if they are to avoid falling into even deeper poverty. The problem is not lack of awareness, but lack of choice.

It is therefore difficult to speak of working toward this objective before having made significant and lasting progress in the accomplishment of the other objectives. This fact is implicit in project design (and in the project's very title), but tends to be given inadequate importance by the overwhelmingly fisheries-oriented project management staff. It is important for the project to clearly focus its attention on the achievement of the social, economic, and political empowerment of the beneficiary communities before gradually turning its attention to the issues of resource conservation and management.

It may be that the project time span will not leave very much time for this activity. However, the MTE Mission is convinced that expending too much time and resources on this aspect of the project at too early a stage is a mistake. It would be much better to lay down solid groundwork through effective and lasting empowerment of these communities, to be later built upon by the DoF and others working for more sustainable use of coastal resources. Hopefully this could be supported by further economic assistance, but it could be undertaken even without.

6.2. Outcome and Impact - Overall Contribution to Developmental Change

Overall, the MTE Mission can affirm that in the first group of 37 communities the project has definitely had a positive short-term impact on the "empowerment of coastal fishing communities" in Cox's Bazar.

The project has also had a definite positive short-term economic impact on participating communities and households (under Immediate Objective 2). However, the durability and sustainability of the project's social and political empowerment effects (under Immediate Objective 1) will have a much greater influence on the overall future of these communities (and ultimately of the resources they depend on - see below) than these short-term impacts. Prospects for this durability are still quite uncertain at this stage, among others because of

the unsustainable intensity of attention being provided to the VOs by the project. The MTE mission has suggested the development (together with the VOs) of a trial exit strategy over one year for the first group of villages, specifically to increase the chances that the empowerment effects can be made to last beyond project closure (see the section on Recommendations and in particular Recommendation 7 on page 50).

The effect and impact the project will have on the **management of the fisheries resource** is impossible to predict at this stage. Following the project's own internal logic (which is also that of many other fisheries related activities in Bangladesh and elsewhere), the improved social, economic and political situation of beneficiary communities should greatly facilitate the task of co-opting these fisherfolk into improving management of this common access resource. However, many factors could influence this logical consequence, including first of all the sustainability of these project effects themselves, as well as such external factors as the local, national and global economic and market situation, the extent to which government is able to regulate industrial fisheries and prevent piracy (which is a real concern in the open waters around the coast of Cox's Bazar and along the shared water border with Myanmar), and many others. This area of impact therefore remains to be examined by future evaluations.

6.3. External Factors Influencing Project Impact

Many external factors are having - and will have - an effect on the degree to which the project can hope to reach its development objective of **promoting the livelihoods security of the poor through access to assets and resources**. **These inevitably include occasional bureaucratic delays and inefficiencies on the part of all three parties to the project (GoB, FAO and UNDP).** Another factor is the institutional inertia in DoF which slows the adaptation to a new, much more people-centred approach to assistance to fisherfolk.

The difficult economic situation of Bangladesh as a whole, the shortage of formal financial services, and the lack of transport, marketing and communication infrastructure are all factors which make it more difficult to improve the economic situation of the poor. A rigid and centralised political system reduces the impact of empowerment activities at local level.

On the positive side, globalisation is offering the coastal fishing communities of Bangladesh several new opportunities in the form of *niché* markets for such products as jellyfish, mud crabs, mussels and others. Also on the positive side, the new national Marine Fisheries Policy currently being discussed includes policy support for many of the project actions which are not supported by the existing policies, such as the emphasis on a multidisciplinary and holistic approach to the livelihoods of fishing communities as the entry point for better management of coastal fisheries resources.

As the recently received (November 2003) report by FAO on Community Based Fisheries Management (CBFM) suggests the District and Upazilla Fisheries Federation (DFF and UFF) for example, have been active in promoting rallies and protests of poor fish practices as well as being engaged in beach cleaning exercises and have seen active participation by local fishers. The report lists a number of areas of concern however and states that:

"While these initiatives are laudable, discussion with fishers provided the following feedback:

- None of the villages had a clear plan of operation where community based gear restrictions were concerned.
- Fishers in one village indicated that, while they were distressed over the use of the shrimp fry beach seines, they were unwilling to prevent their use in the absence of official support. However, discussions with other community heads

indicated that they would be willing to operate on a unilateral basis, using force, if necessary, to prevent use of destructive gear.

- None of the villages had a clear plan of operation where community based gear restrictions are concerned.
- Fishers in one village suggested that, while they were distressed over the use of destructive gear, they were unwilling to actually prevent their use in the absence of official support. However, discussion with other community heads indicates that they would be willing to operate on a unilateral basis.
- The general expectation of the fishers that their efforts will stop the use of the shrimp fry nets appears misplaced. While it will certainly discourage its use, shrimp fry collection will only cease when the seed trade is better controlled and the perceptions of buyers are modified. However, this is beyond the capability of the fishers themselves and would need to be pursued by Department of Fisheries and other relevant agencies."

(page 7, Gopinath Nagaraj, Community Based Fisheries Management Consultant, October 2003)

It would seem, therefore, that although organisation has taken place at village, Upazilla and even District levels, project impact is tempered by the absence of supporting mechanisms which would be required to persuade fishing communities to manage, more sustainably the natural resources around them.

7. Cost Effectiveness

7.1. Value for Money

Is the project delivering assistance on a "value for money" basis? The answer, however, is not straight forward nor are the findings easy to analyse.

Currently, the project value stands at USD 6.2 M of which about a quarter (as indicated on page 21, under § 5.6 of this report) has been spent to date. Activities commenced in 2002 with a first round of 37 villages and approximately 50,000 people. With the additional 80 villages brought on stream in a second spell of village activities, the project population has risen to approximately 200,000. On a per capita basis this represents USD 15.5 per person or fifteen days of work on a dollar a day basis for an average income. It might be argued that through economies of scale teaching, demonstration, awareness raising and organised activities such as disaster preparation drills have been achieved.

It is very poignant to refer to the Independent Management and Financial Audit report of September 2003, in this matter. The report states that, "the project input delivery is very slow. Lack of initiative from the top management is observable. Only 11.48% input has been delivered out of [the] NEX budget in the first two years of project commencement. The delivery of the third year is also not that encouraging. The discussion with NPD could not throw any light on the aggressiveness of future activity plan." (page 13).

It is very difficult to assess if the project is truly delivering value for money services when it is considered that this no services existed prior to the project. There is no doubt though that the project is making a significant contribution in the way that people are relating to each other and the way in which GO and NGO service providers work together. From a social accounting point of view the project is probably providing value for money as to a means to encourage organisation in a cost–effective way using NGOs and GOs as service providers across all eight Upazillas of the District. The MTE Mission hopes that this "tri-partnership" of GO, NGO and VO will continue as enthusiastically as before.

7.2. Alternative Means

ECFC is one of the first projects to test out NEX as an implementation modality. It is also one of the first projects to work with community empowerment issues, accountability, responsibility and raising political awareness. It is also one of the first projects to tackle the issues of alternative livelihood strategies in a holistic way as well as considering private sector-community partnerships innovatively.

The communities are remote from urban decision-making centres, vulnerable to the natural and human elements and social exploitation and highly dependent on one or two core economic activities. The fact that many of the communities have not before been aware of their citizen rights and are entitled to services from Government makes this project highly appropriate. The approach adopted by the project is intuitively the correct one. The slow delivery of activities has been an inevitable consequence of working with communities suspicious of "outsiders", conservative and in-ward looking. There were probably few alternative means to reaching the point of achievement today. The question is could the project activities been arrived at earlier? Probably not all that much earlier. Selecting villages, working with villagers and selecting and working with institutions takes time. For partnership and trust to be established would require at least a year or more. It is hoped that with the experience now generated by those involved the next *tranche* of villages and partner institutions the project has benefited from this gained knowledge making the step to withdrawal easier.

8. Findings and Conclusions

The findings by the MTE Mission are considered in the following headings, Main Findings and Conclusions. The main findings are split into various sub-headings which relate to the institutional set up and operation of the project, the future of VOs and the savings accumulated to date, the issue of the grant component of REDS and the Micro-Capital Grant activity and management. In addition, the MTE Mission has highlighted the need for the project managers to develop an exit strategy and maximising the project impact.

The MTE Mission's final key finding and comment relates to the project's executing agent and appropriateness.

8.1. Main Findings

PMU: The PMU has not yet emerged as a formally structured unit with the responsibility of managing overall project activities. The project office is generally considered the PMU but has no formal hierarchical authority. Activities are planned at different levels and forwarded to the project office for release of funds. The proposed activities are approved on an *ad-hoc* basis by the NPD in consultation with the CTA/Team Leader. Actions taken at project level do not culminate into PMU decisions and subsequent dissemination and documentation do not follow. The PMU does not meet formally to discuss progress, project and staff work plans and project budgetary expenditure. As such, it is unlikely that the Team can ensure that the targets can be achieved. Previous experience has shown that a centralized authority becomes *de facto* and possible misuse of project funds follows unchecked. The recent Independent Management and Financial Audit revealed a serious lack of transparency and accountability in project financial management as well as financial irregularities. It was observed during the audit that:

- Expenditure was not guided by standard financial propriety. The NPD procured all materials in violation of NEX procurement rules and procedures;
- There was a violation of GoB "rules of business" for procuring goods and services of significant volume without a system of formal or informal tender, either published or displayed for suppliers' attention and participation;
- Procurement was undertaken through a group of common bidders using only the letterheads but with fake addresses and identities;
- No receipts against payments were received and large payments were made in cash;
- Effective systems and controls were not put in place at both the sanctioning level and at the spending level;
- Receipts for purchased goods were created in the stock register through fake "goods received" notes and fake "goods delivered" notes, although such goods were never actually purchased, nor delivered;
- Systems of project management and reporting were not based on reliable procedures and controls. Expenditure in some budget lines overrun in several consecutive quarters, while expenditure of some activities were charged to the wrong budget lines deliberately
- Recruitment of relations and family friends took place; and

- Non-submission of vouchers against advances taken by the NPD and DNPD occurred.

The MTE Mission feels that many of these incidents of misuse of project funds have been a direct result of over concentration of authority in one post and the presence of a non-functioning PMU.

In addition, the previous NPD's lack of interest in project activities and progress was observed by the MTE Mission. His long absences of between 10 and 15 days at a time, from the project site each caused the NPD to a secondary role in programme management. It was also observed that there was a greater dependence on the Team Leader and the TAG in project implementation. The project's success has depended on the Team Leader's drive and enthusiasm. Contrary to his role as advisor and facilitator, the Team Leader's role has *de facto* become one of co-ordination with a consequent negative impact on TAGs performance and delivery. The NPD's diminished role in the project has also impacted negatively on team building and subsequent project delivery. Much of the planned project equipment could not be put in distributed in a timely fashion as a result of delay in processing procurement requests for direct payment either from UNDP or FAO. Similarly, other local procurement was not carried out correctly or in a timely fashion or purchased at a competitive price.

The current NPD remains busy with meetings in Dhaka and other places while the Team Leader remains busy with many of the NPD's work supported by the DNPD. The result is that the activities of the project remain unguarded. This raises important concerns relating to the project management abilities to co-ordinate administrative functions of the NPD and manage the advisory functions of TAG.

Financial Management and Double Signatory System: The absence of a double signatory system has put too much responsibility in one location. According the NEX Guidelines, a double signatory system would entail greater security of project funds and involve a signature from both the NPD and the CTA (where present). The MTE Mission is in agreement with this and recommends this be accepted as "good practice".

Terms of Reference (TOR) for NPD and DNPD: An analysis of the TOR from the PD shows that the NPD is responsible for overall planning, management, implementation, monitoring, supervision and reporting of the project activities but on a part-time basis. The NPD shall guide and supervise the DNPD and project staff in the achievement of the overall project objectives who in turn under the supervision of the NPD should undertake necessary administrative and managerial responsibility for project implementation, including personnel and financial management of the project at the field level.

According to the PD the CTA/Team Leader will establish, manage and supervise the Technical Advisory Group and provide assistance, guidance and training inputs to the project, particularly in the area of empowerment of communities, promotion of alternate income generating opportunities and conservation of fisheries resources. The CTA shall lead a professional team of local consultants who in turn shall be responsible to bring about output in their respective areas.

In the absence of a formalised PMU, human resource and equipment inputs are not being fielded in a timely fashion leading to slower project progress and consequent impact. With the absence of a *de jury* DNPD and a crew of SMOs (originally this was two but was latter converted to seven), during the initial two and half years of project commencement, the CTA has had to supplement many of the administrative services while National Consultants have had to take charge of much of the field coordination.

8.1.1. Institutionalisation of Community Organisations

The fishing communities in all 117 villages of the project to date are effectively mobilized into three-tire organizational units. Both men and women of the community are encouraged to establish VOs, a Upazilla Fisher's Federation (UFF) and an umbrella District Fisher's Federation (DFF) for Cox's Bazar.

VOs: A total of 248 VOs have so far been formed (*ca.* 13% of the total population of Cox's Bazar and *ca*. 68% of the target population). An Executive Committee is formed in each VO with democratically elected/selected office bearers. Savings are mobilized and deposited into a bank account opened for each VO and operated by VO designated office bearers.

UFF: The UFF is the second tier community organization represented by office bearers of men and women VOs. A seven member Executive Committee has been formed in each Upazilla by consensus from the office bearers of all the men and women VOs in each respective Upazilla.

DFF**:** The DFF is the district level apex body of fishing communities and is represented by all Upazilla committees and VO committees.

Apart from forming vertical organizations constituted by with fisherfolk of both men and women, horizontal organizations such as the Village Development Committees (VDCs), Disaster Preparedness Committees (DPCs) and a gear-based Fisheries Management Organization (FMO), have been formed to contribute to empowerment, development and the conservation/protection of fisheries resources.

Findings: The sustainability of community development depends on organizational strength and as such is gradually established through an institutional framework. The process of institutionalisation of the community organisations remains absent. The following two areas need to considered:

Internal Structure: the office bearers, their roles and responsibilities, reporting system, their relationship with Upazilla and/or district federations do not structure the management of individual VOs around formal rules and procedures such as tenure of office. Most of the activities are generally conducted by word-of-mouth. The situation with the UFF and the DFF are equally weak.

Legalisation: The fishing communities are organized into homogenous social groups but are not yet formally institutionalised through legal registration.

8.1.2. Savings Management

VO members currently contribute between Taka 10 and Taka 20 into VO savings, Taka 1 for Upazilla and District Fisher Federation administrative expenses and Taka 5 for insurance. The amount accumulated so far is, however, lying idle in a bank account in Cox's Bazar and not accumulating interest nor being considered, for example, as a revolving capital fund.

Findings: *As the savings are not invested as capital, the objectives of savings are neither achieved nor facilitate empowerment. The capacity of the VOs to manage this fund has not developed. The use of VO funds in alternate income generating activities has not yet started and the objectives of social mobilization remain limited to group formation. The institutionalisation process has not yet commenced. However, the purpose of the starting these savings schemes is justified on the basis that it encourages members to "get into the habit" of saving for the future.*

Savings for the DFF is premature. Fund raising in the name of the DFF towards insurance is somewhat vague and on the whole all such activities seem to have been culminated by rushed decision making. Institutionalisation is the foremost task for the community and will contribute to sustainability.

8.1.3. Micro-Capital Grant

The conversion of the Micro-Capital Credit into a Micro-Capital Grant fund, following a UNDP evaluation of all its project credit activities, which recommended avoiding this type of activity, has overcome various issues dealing with a *de facto* informal banking system. These issues relate in principle to areas such as interest rates to be charged for lending, repayment schedules and recording and monitoring of the systems. Post-conversion from a Micro-Capital Credit system to a Micro-Capital Grant system has led to the development of guidelines, proformas for the micro-enterprise and some basic training in business planning. To this end over USD 141,000 has been disbursed to 95 projects in all 8 Upazillas of the project. The vast majority of these projects have been for the purpose of establishing a Village Resource Centre (35). The next highest number of projects have been net making project and then cattle fattening schemes. However, total disbursement during 2003 (and since the start of NGO operations from December 2002) represents only 18% of the total earmarked budget of USD 744,700 for MCGs as USD 35,000 is allocated to Line 72 Advocacy.

This is a new and novel modality of disbursing funds that is well targeted and is in line with project objectives one and two. As grant funds are small and to which a counter-part contribution is made by the beneficiary Small Enterprise Group is highly appropriate as involved beneficiaries are unable to make the leap into larger commercial activities alone. Excluding the establishment of resource centres which average Taka 160,000, many of the projects are more modest in financial value ranging from Taka 16,000 to 90,000.

There are two areas of concern however with respect to MCG relating to MCG Operational Guidelines and the Operational Management by ECFC. These are detailed below:

MCG Operational Guidelines: In cases where the MCG is used to finance a profit making activity, such as net making or sewing, standard agreements have not yet been drawn up to cover areas such as percentage share of profit, who will get paid, when payments will the be made, and what happens if the small enterprise collapses.

Operational Management of MCG by ECFC: Currently seven SMOs manage a collective portfolio of some 95 projects (on average this is 13 projects per SMO). The administrative complications of managing an increased portfolio will be problematic unless a system is developed where this task is a dedicated piece of work. It may be that some existing non-MCG activities of the SMOs will have to be "toned down" to enable them to manage this properly. Other competitive grant models need to be looked such as those programmes of DFID or the EC for micro-financed activities and some projections and target number of MCG schemes needs be undertaken. For example, if the current rate of projects coming on stream increase, the project will have funded over 1,200 projects based on an average grant project value of USD 500 and over USD 650,000 still left in the MCG fund budget). This is a huge number of projects to record, manage and monitor even more so as most of the projects will be short in duration.

8.1.4. Rural Enterprise Development Services (REDS)

The REDS component is highly interesting as a modality for developing linkages between commercial business and those who are vulnerable and insular. Originally conceptualised

as “a three person team with backgrounds and experience in management and establishment of small enterprises, credit technology transfer and marketing”, activities were planned to commence after beneficiaries have been trained and awareness has been raised of commercial practices. In terms of timing, this is intuitively correct although does need time for establishment. The MTE Mission has no issue with the first component of REDS i.e. that part which deals with business development services and support. The MTE Mission believes this part of REDS should continue.

There are, however, issues of concern with respect to the entrepreneur-VO business partnership component which are specifically discussed below.

Commercialisation: The problem is the assumption that communities will be able to respond to a commercial activity that will involve a leap from USD 500 for current SEG type activities to an order of magnitude 60 times this size as envisaged by the documentation developed for the REDS grant aspect of activities. The MTE Mission believes that this is too soon, and too great a leap for SEGs to make.

Developing non-exploitative relationships with Urban-based businesses: ECFC has commenced a call for expressions of interest from entrepreneurs to participate in the project as partners in the REDS grant component (whereby 80% of the project proposal will be grant and 20% will be equity capital from the entrepreneur). Although the risk involved for the entrepreneur is small there is nevertheless a possibility that control of the project will rest with the “outsider”, thereby removing community and SEG empowerment as market information and business knowledge rest with the entrepreneur.

8.1.5. Defining the Project Exit Strategy Held

An area of concern for the MTE Mission is the degree of sustainability in the changes being foreseen and whether these “drivers” can sustained. The MTE Mission has argued that currently the process is very “project driven” and dependent on a one or two key staff members only. For sustainability purposes a transfer of “ownership” needs to take place from project to beneficiaries.

In order to approach the question of durability and sustainability of project achievements effectively, action should begin now. This means the development of an **exit strategy** for project interventions, first at community level and later at district and national level.

At community level in particular, the project has already created an unplanned element to facilitate this process: it has been implemented in multiple phases (two for the moment). There are thus 37 communities which have been working with the project since late 2001 and another 80 which joined only in July-August this year (2003).

8.1.6. Maximising Project Impact on GOs and NGOs

Regarding the exit strategy from GOs and NGOs at Upazilla, District and National levels, the project again should carefully plan an exit strategy with corresponding transfer of capacity, knowledge and experience to these institutions and groups.

While project objectives indicate poor fisher folk as the primary beneficiaries, it is through transfer of experience and capacity to **institutions** that this type of project (with a limited budget in the face of near-unlimited need) can hope to reach the largest number of these beneficiaries. The project document clearly states that "*a crucial aspect of the project is on-line capacity building of GOs and NGOs to enable them to implement the project and to ensure replicability and sustainability*."

While several activities are related to providing the first type of capacity, to "enable them to implement the project" more effectively, in the view of this MTE Mission insufficient attention is being paid to the second aspect: "replicability and sustainability" of project results.

8.1.7. Extension

The MTE Mission believes that the project would benefit from a budget neutral extension of at least one more year beyond its current scheduled completion date. The strength of the project rests on its process approach. Although the PD does not use the term “process” to describe its character, it has proven to be faithful to this description. The social character of the project is difficult and changing a “mind-set” to takes time. The PD states that:

“Project Strategy: This project, by the very nature of the problems it seeks to address, and their configurations and interactions, need a continuous learning process based on the past experience by doing and from others, experimenting and taking judicious risks, enhancing, existing and evolving new approaches and methodologies. Project documents can suggest approaches, provide a wide menu of alternatives, recommend guidelines but it cannot and should not pin down the exact activities and strategies, *a priori.* Further, the precise strategy cannot be pinned down to fine detail in a participatory activity, which should be driven by the people from the communities by their needs, concerns and aspirations” (page 21).

And further,

“The task this project sets out to undertake is a complex one involving several sectors and a complement of government agencies and departments. Holistic problem solving using integrated policy, coordinated efforts and sharing of responsibilities amongst government agencies is as yet an approach the government is not very familiar with” (page 33).

As there is sufficient money in the budget given its slower than expected delivery of project activities, an extension in time would be budget neutral. This approach is in any case in line with the philosophy of flexibility of the project and may allow it to consolidate the process achieved so far or even expand to capture further villages. It may also be appropriate to blend activities more fully during this extension with projects such as GEF which themselves extend beyond 2007.

8.1.8. Leadership of a Social Development Programme by a Technical Fisheries Agency

Artisanal coastal fisheries account for 95% of the total marine catch in Bangladesh. This means that any action aiming to manage or conserve the marine fisheries resource must necessarily be targeted at artisanal fisherfolk. However, government development efforts in this sub-sector have thus far mainly targeted industrial fisheries in spite of the country's rather limited number of trawlers.

Coastal fisherfolk are (rightly) accused of fishing destructively in the shallow waters that form the majority of the breeding and nursery grounds for Bangladesh's marine fish and shellfish species. Thus the approach of the national marine fisheries policy (and practice) to artisanal fisheries is mainly aimed at preventing traditional fisherfolk from fishing, for example, by outlawing and condemning the fishing gear which they most commonly use, including push nets and set bag nets.

These fisherfolk are, however, making informed decisions with regard to the resource they are harming: they are fully aware that fishing fry and post-larval fish and shrimp threatens

the reproduction of the fish stocks they live on. However, they have little alternative to this practice if they are to avoid falling into even deeper poverty. The problem is not lack of awareness, but lack of choice. Therefore the policy of preventing them from fishing through unenforceable criminalisation of their livelihoods only puts them in an even more precarious situation (as criminals) without having any impact on the amount of fry being collected.

Recognition of the ineffectiveness of this approach, together with the strong national development emphasis on poverty alleviation for the poorest sectors of the population, has finally begun to push Department of Fisheries to approach these very poor communities with assistance which seeks to help them find alternative means of livelihood. The hope is that this will take pressure off coastal fish and shellfish populations. The project under examination (along with some others like it) attempts to stop or diminish fishing activities of traditional fisherfolk by converting them to other occupations ("alternative income generating activities").

Providing alternative livelihoods to very poor fisherfolk is a commendable activity. There remains, however, an issue with the ability of the Department of Fisheries to undertake this activity as lead agency. This work implies that the DoF is called on to take up social development activities in fishing communities. Most of these activities have little or nothing to do with fisheries directly, and the scientists and technicians of the DoF are poorly prepared to undertake them.

After having considered this issue at length and discussed it with many people at various levels and in various locations, the MTE Mission concluded that while the problems faced by the DoF in carrying out this mission are significant, there does not appear to be any ministry better placed to work specifically in *poor fishing communities*. The Department of Fisheries field staff are those who best know these communities and the issues they face. Even though they do not have occasion to interact much with the poorer communities in their normal work, they are nonetheless the government service most likely to know about the livelihoods of fisherfolk.

The challenge faced by this project (and others like it which deal with poor fishing communities, both in Bangladesh and elsewhere) is to build the capacity, awareness and sensitivity of this group of civil servants, introducing them to new responsibilities for facilitating the overall social and economic development of poor coastal fishing communities. The ECFC project has made significant progress in this complex task, though it still has a long way to go.

8.2. Conclusions

8.2.1. Relevance

In terms of relevance ECFC is a very relevant project to the circumstances found in Cox's Bazar. It is highly targeted and appropriately implemented to engage communities in the management of their lives. There is little doubt that the project has had a positive impact on the lives of those fisherfolk who have been beneficiaries of project activities. There is also little doubt that service agents such as GOs and NGOs have also been beneficiaries in terms of the changes seen in the way their staff are beginning to approach the problem of villages that are resource poor, have few livelihood alternatives to fishing and have limited skills and knowledge and perceived rights to assistance from the State. The project strategy and follow through activities of engaged participation is intuitively correct.

8.2.2. Adequacy

The project is not about quantity although in the Bangladesh context, the one area which is overwhelming is the population as are the number, type and degree of difficulties being faced by poor people. The project has tried to target highly vulnerable, coastal fishing communities. If the total original target population was considered to be about 300,000 people, to date the project has succeeded in involving two thirds of this number (ie 117 villages or some 200,000 people). In terms of adequacy the project may be trying to do too much, in too wide an area with the result being a spread of resources which cannot deliver sufficiently on its mandate. The project managers may try and consolidate some of the activities.

8.2.3. Efficiency

The project is not being particularly efficiently implemented in terms of internal operations or external delivery. As a process project it requires time to be able to allow people and people in established institutions to accept necessary responsibility changes and for fisherfolk to build up a portfolio of alternatives to fishing dependency.

Internally, the project lacks a strong organisational set up with core decision-makers that work with each other. Performance by the past NPD suggested that financially the project had "leaks" which went unaccounted for some time. These issues have been dealt with. The transfer to a system of NEX implementation was not a "profitable" choice although intuitively a move in the correct direction.

Some linkages have been established with existing institutions such as BFRI and other projects such as DFID's SUFER and ICZM. It would be a necessary move for the project now to develop these links further by looking at transfer and subsequent uptake of research into the field. This would apply to non-project contracted NGOs as well.

8.2.4. Effectiveness

The project has been effective in demonstrating that focusing initially on community development as a means to promote environmental concern has been sensible. To date it has not been possible to determine if the behaviour of the targeted coastal community has altered and positively impacted on the marine and estuarine environment.

The process approach of "learning whilst implementing" by the project has been effective as it has moved at the pace at which coastal people, who have up until this point been on the margins of decision-making, can absorb change. Initial contact by project staff (CTA/Team, Leader and DNPD) was treated with suspicion although changed as the perceived threat converted into one of partnership. Although coastal communities have an internal identity and association with the village they have lived in for many years, new forms of organisation and social gathering have been important forms of options that these communities need. Without seeing the range of possible social organisation, a system may remain in place for many years albeit one that works badly and undemocratically. ECFC has successfully demonstrated an alternative organisation which may or may not last for ever, but nevertheless is an example of a different way of managing limited resources and the social relationships between people.

8.2.5. Design Strengths and Weaknesses

Strengths: The project was originally well conceived and conceptualised by the project designers. The emphasis was on trying to tie three critical elements together these being

Community Empowerment and Social Development, Economic Welfare and Fisheries Resource Protection and Management. The end result was a community development project which placed people at the centre of the initiative.

The modalities of contracting in Bangladesh service providers and developing partnerships between GOs and NGOs has been positive. Capacity has been built and the experience as well as exposure to this "new" development practice has had positive results. Although NGOs have only been under contract for just under a year the working relationships being formed between Government staff and NGO staff is mutually supportive. This is not to say that work in practice has been eventless but that the foundation for future collaboration, partnership and burden-sharing is being laid down.

Weaknesses: A weakness of the project was the assumption that activities could be carried out in a short space of time. Social change cannot be instilled quickly at the best of times. Working with communities that were not engaged in dialogue with Government or other formal support providers is necessarily difficult. The project design needed to take this more into account.

Other weaknesses in design relate to the omission of an exit strategy for the project as well as developing further mechanisms for managing grant funded assistance (ie the MCG). Both these elements are discussed under the Recommendations section below in more detail).

8.2.6. Critical Issues

During the course of the MTE Mission several critical issues arose. These relate to:

- The PMU Structure and Burden Sharing of Implementation and Accountability Responsibility;
- The Grant Component of REDS and issues of appropriateness, possible commercial opportunism;
- Management implications of the MCG for the project staff;
- Development of an exit strategy;
- Mobilisation of savings from VOs; and
- Institutionalising VOs, Upazilla and District Federations.

These matters are dealt with in next section on recommendations.

9. Recommendations

The following recommendations are based on the MTE Mission findings and issues identified.

9.1. Key Recommendations

Recommendation 1: The PMU should be formally established with clearly defined roles and lines of responsibility in the form of clear Terms of Reference (TOR). The MTE Mission feels strongly that the PMU should comprise the NPD, CTA/Team Leader, DNPD and that UNDP and FAO should be represented as a regular member of the PMU.

The PMU should be headed by the NPD while the DNPD act as Member Secretary. The responsibility of individual members should be drawn from the PD approved TOR. The PMU should be considered as the formal decision making authority with management, supervision and monitoring responsibility. Decisions taken at PMU level should be properly documented and disseminated. A suggested Organigram is presented below as Figure 2. Figure 2 illustrates the PMU as a clear unit, with clear co-signatory lines of responsibility. Currently, the new NPD splits his time 50% between being the NPD of ECFC and that of the post of District Fisheries Officer (DFO). The DNPD maintains responsibility for administration and the provision of support and administrative services to the CTA, the TAG, international consultants, SMOs and NGOs for 50% of his time. Up to 50% of the DFO's time would be is spent supervising Upazilla Staff. The CTA has lines of authority for national consultants (who constitute TAG), international consultants, SMOs and NGOs. He also provides support to the DNPD.

A double signature system needs to be introduced as a form of good project practice.

Responsible: CTA, NPD, UNDP, FAO, MOFL

Recommendation 2: (1) The internal structure of VOs should be finalised as soon as possible. (2) Steps should be taken for the registration of the DFF with the appropriate government social development authority. A need based and law supported rule system and procedures should be formulated and practiced across all current and future VOs, UFFs and the DFF. (3) Formalisation of relationships between UFFs should be started.

Responsible: NPD, CTA

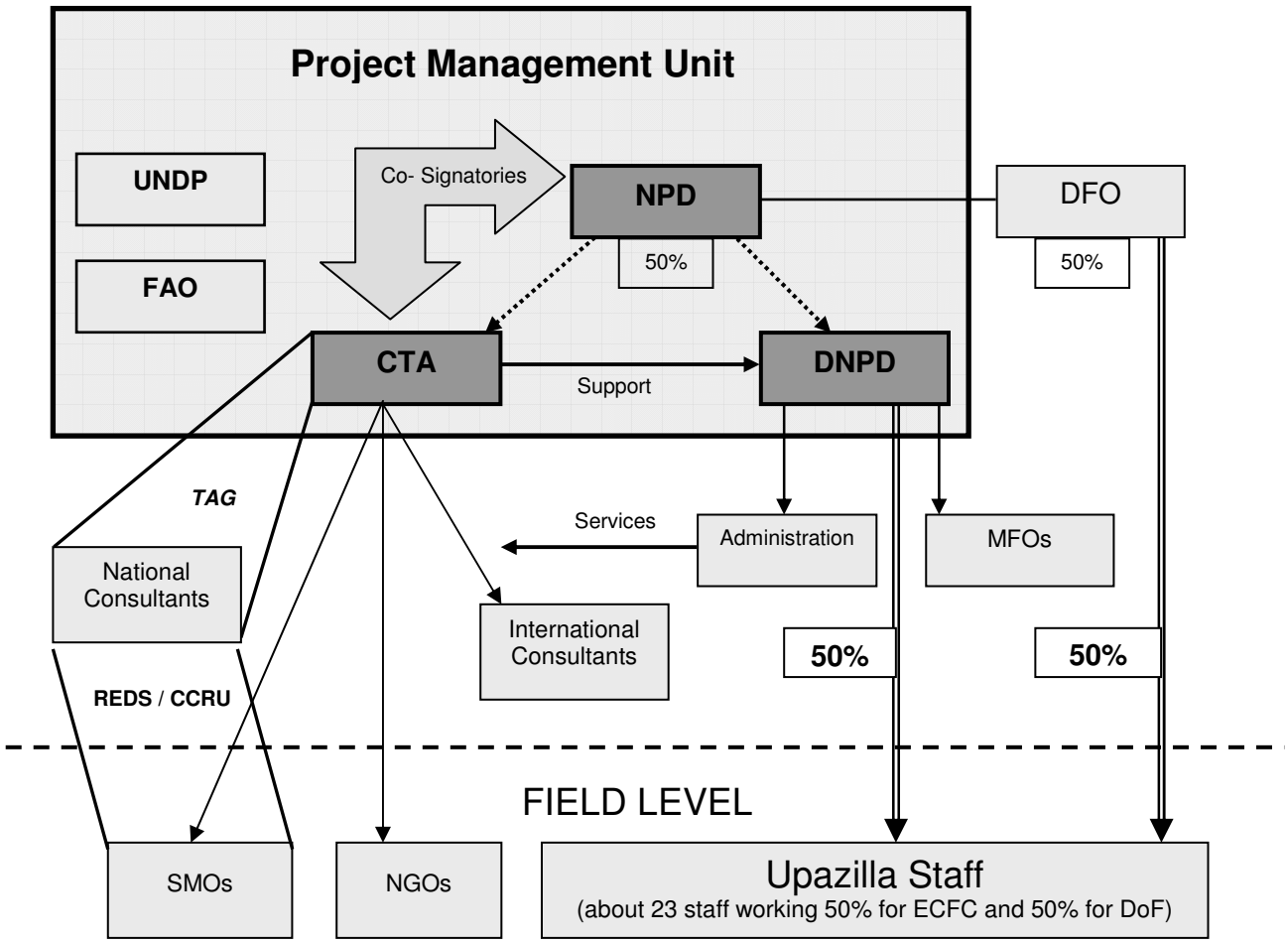
Recommendation 3: Necessary initiative should be taken to start mobilizing savings into capital for alternate income generating activities. It is most likely that the Mirco-Enterprise Development Expert has the experience to take this on board although he will probably need some support from a micro-credit specialist as well. It may be worth exploring the experience gained by BRAC for example in this regard. Empowerment of VO members can only be fostered though a formally structured fund management process.

Administrative expenses of the Federation should be borne by VOs and not by the individuals. Collection of such expenses should also be made within a very structured set of rules and procedures and following budgetary allocation.

The purposes of raising funds for the DFF needs to be better-defined and insurance companies need to be consulted.

Responsible: NPD, CTA, TAG

Figure 2: Suggested new PMU and Project Organogram



Recommendation 4: Although guidelines have been drawn up that describe the MCG system, they need to be developed further to include areas of concern identified under the Findings sections above.

Responsible: CTA, TAG

Recommendation 5: Develop clear guidelines and operational procedures for portfolio management of the MCG projects for the next round of MCG projects. It may be possible to release some funds from the MCG budget to allow recruitment of 3 or 4 additional staff to become dedicated MCG Portfolio Managers.

Responsible: NPD, DNPD, CTA

Recommendation 6: With reference to the grant fund element of REDS only and not the business support services which should remain, the grant element of REDS should be transferred to the MCG budget line. Business support services could continue under REDS. This would necessitate a shift of funds from Budget Line 21 to Budget Line 72 (which would be a correction in any case as these funds should not have been placed as a Contract Consideration cost item, but instead as "seed money" i.e. as if were a grant). Although the MCG would now have the capacity to fund many more small projects, its own management system would need to be revised accordingly.

Responsible: NPD, DNPD, CTA, UNDP, FAO

Recommendation 7: The MTE Mission considers that the project should take the initiative of developing a **trial exit strategy from the "first spell" communities**. This strategy should be developed and discussed **together with the VOs concerned**, as well as the local government bodies, GOs and NGOs involved with the community in question.

The target date for complete cessation of project-supported assistance might be set at the end of 2004, with a **clearly mapped-out work plan** for the gradual withdrawal of the various aspects of project support.

This support would be replaced by a consolidated and self-aware community capacity to, for example:

- Seek assistance directly from local government and GOs at Village (Gram Sarkar), Union Parishad or Upazilla level;
- Contact and negotiate directly with traders or other private sector counterparts;
- Interact effectively with such formal institutions as research institutions, banks, police or others; and
- Seek representation and make their requests heard at Union level or above, etc.

Following complete withdrawal of the project, a system would be set up for the project to periodically and unobtrusively **monitor the communities**, checking progress to see and understand the strengths and weaknesses of VO and SEG groups without direct support. The objective of this monitoring would be to validate the exit strategy or suggest where it should be modified to leave behind more effective groups.

Should the project be extended or go into further phases in the future, this exit strategy could then be applied to each successive group of communities (second, third, fourth spell) during their third year of assistance.

Responsible: NPD, DNPD, CTA

Recommendation 8:

Training: Training of GO and NGO staff in the project approach and experience, both at project and at higher levels. As project experience is refined and analysed, a training programme (carried out in the project area, with field visits to project communities) can be developed before project termination in order to enable others to see and learn to use this approach. ECFC should also be learning from other projects of a similar nature either nationally or internationally;

Awareness building and information sharing: Awareness building and information sharing for others outside of the project through such activities as publications, a newsletter, seminars or workshops. The project needs to publicise its positive experiences and outcomes, and thus contribute to building awareness of problems of poor artisanal fishing communities and possible solutions, as well as their relation to depleted coastal and marine fisheries resources. This should possibly be taken up by UNDP or FAO to carry forward and build awareness nationally;

Documentation: Careful **documentation of project processes, experience and approaches** in the form of lessons, guidelines or manuals for use of others. The project is building a strong body of experience in its work with these communities, much of it

developed or improved through "learning by doing." It is important not to lose this capacity after disbanding of the project institutions. This work needs to be documented in a pragmatic, targeted way through the development of guidelines, manuals, training materials, presentations, etc., aimed at specific potential users (GOs, NGOs, village and community organisations, federations, donors and others)

This culminates into the development of a clear C*ommunication Strategy* which adopts a structured approach respecting the balance between communication, dissemination and publicity for the different levels respectively grassroots, upazillas/District, and at the national level which would develop relevant policy.

Responsible: Project Staff, facilitated by MOFL, UNDP, FAO.

Recommendation 9: Given the above and based on our recommended exit strategy there is justification to allow a budget neutral extension of activities beyond the end date of December 2005, to at least December 2006. This would not involve a budgetary increase as the rollout of villages and contracting of NGOs is still embryonic and needs to be allowed the chance of success.

Responsible: UNDP, FAO, NPSC

9.2. Sub-Recommendation Areas

The sub-issues listed below in the interest of completeness and thoroughness.

Village Organisation membership: The field visit identified that on occasion some VO Presidents were richer or more powerful than other VO members. In some cases they were boat owners or, as seen on one occasion, a Gram Sarkar Chief. This contradicts the philosophy of the VO, which empowers the “unempowered”. This needs to be monitored more closely by the SMOs (e.g. St. Martin).

Integration of the VOs and local government: It is foreseen that the VDCs will act as a bridge between the VOs and village and union government levels. The MTE Mission did not see evidence of this integration, which is very important. It is therefore recommended that specific attention be given to the VDC process.

Communication weaknesses: It is recommended that communication on progress be improved. Project progress, knowledge of the timing of missions and their outputs should be circulated with a reasonable degree of advance notice. The establishment of the PMU as recommended by this MTE Mission should assist in overcoming this issue to a great extent.

Linkages with other projects and programmes: More formal linkages with development and policy formulation programmes such as ICZM and appropriate research projects such as the SUFER need to be developed. Currently there is awareness and only some collaboration and sharing of information and experience. Research findings and experiments under DFID’s SUFER project should be considered as important AIGAs options to enhance post-harvest fishing activities.

Targeting the right audience for reports: Reports that are produced need to find the right audience if policy decisions are to be informed.

Maximising value added from consultancies: The project needs to better rationalise and utilise consultancy resources in order to increase the effectiveness of this expensive project

input. As an example, marine fisheries expertise should have been programmed for a later stage of the project when Generic Step 9 (Objective 3) is fully entering implementation.

Duplication of work in villages by NGOs: In some cases ECFC is working in villages where other NGOs are working. This may be complementary but it may have a damaging effect, as there is duplicate effort and institutionalised competition to engage fishers in the programme.

Terms of Reference ECFC staff: The TORs of national consultants need to be better defined with clearer tasks indicated.

Blood Donation: The donation of blood is a very complex area of work and one, which could lead to legal and health related complications. Although commendable, taking all things into consideration, none of the project stakeholders are medically qualified to oversee or manage blood donation and it is therefore strongly recommended that the PMU stops this activity. It may be possible to hand this initiative over to qualified organisations such as the Ministry of Health or international agencies such as WHO. In principle the MTE Mission has no objection to the project supporting "good causes" but taking a direct lead is to be avoided.

Radio Broadcast and Communication for Development:: This shows great potential and could be promising but should be elevated in prominence. It might be suggested to develop a radio-series of programmes based on the thematic areas of the project and possibly bringing in the national radio station which has experience in rural development broadcast shows. The establishment of the Coastal Community Radio Unit (CCRU) within the project and originally designed should be encouraged and finalised as soon as possible.

10. Lessons Learned

There are several lessons that can be learned from the experiences of ECFC and which are important for the future development of Bangladesh and the ways in which Government attempts to provide services at the village and household levels. It is also important from the point of view of transparency of operations at the project level and the need for the implementation partners to realise that burden sharing in the form of cross checking expenditure for example is not to be treated as a diminishment in the status of decision-makers. On the contrary, burden sharing is to be applauded as it means that responsibility for delivery does not rest on one pair of shoulders only but rather across two or three pairs collectively. Within the corporate world, double signatory systems are common place and in the public world this should be even more important and visible as a "good practice" to be implemented.

The following lessons are worth considering:

Lesson 1: Participatory development works even though it may be slower than other forms of development. By involving people at the village and household levels a sense of partnership and therefore ownership by those involved is created. This contributes to sustaining positive change. The "gap" between local communities and local government can be filled with the use of the participatory approach discussed by building skills, awareness and appreciation of the service delivery constraints as much as service delivery needs at household and village levels.

Lesson 2: Government services are not well trained for multi-tasking. Government departments are designed along subject matter lines and as such staff in these departments find it difficult to view problems holistically. Appropriate training and focus on cross-subject development and appreciation are important to ensure that organisations do not become too narrowly focused and myopic in finding solutions to natural resource problems.

Lesson 3: ECFC has been a process project moving at the pace set by acceptance levels in the communities. The fact that communities have embraced village organisation as a tool to control their livelihoods more effectively demonstrates that project managers have been right not to force the pace of increasing the number of villages too early. Community development and change needs to travel slowly especially if projects are located in rather conservative areas.

Lesson 4: Burden sharing of responsibility needs to be seen as a positive management approach to handling public sector money. Burden sharing, for example, of financial expenditure is good public sector practice. It ensures that issues are reviewed collectively and a decision or expenditure is not taken by an individual thereby reducing the possibility of challenges to sensible and necessary payments.

Lesson 5: Projects with five years or more duration periods need an opportunity to develop sensible exit strategies long before the end of the project. This is especially the case with complex, social development projects such as ECFC whereby issues such as sustainability need to be explored early.

Lesson 6: There is nothing problematic with experimentation in a project. However, experimentation needs to be proportional to the size of the project. The grant component of REDS, for example, is grossly out of proportion to the experiment being developed. The concerns of the MTE Mission centre around the size of funds to be used as a grant and the fact that insufficient controls have been built into the partnership exercise between villages

and entrepreneurs. The experiment is simply too premature for the level of development in the villages. The lesson here is proportionality.

Lesson 7: Partnerships can work between GOs, NGOs and VOs given the right circumstances and degree of capacity built and education received. ECFC is a good example of this although this area still needs to be developed further. The uncertainty is the variability of skills amongst the service providers and the ability of villagers to absorb too much too quickly. There was certainly a feeling that partnership had been established although this will need to be explored further during implementation.

Annex A

Terms of Reference

Annex A - Terms of Reference

Empowerment of Coastal Fishing Communities for Livelihood Security : (BGD/97/017) Mid-Term Evaluation

1. Background

Context

With a population of around 140 millions Bangladesh is the 8th most populous nations in the world. Nearly 84 percent of the total population live in rural areas and are directly or indirectly engaged in a wide range of agricultural activities. The share of agriculture in the country's GDP declined from about 50% during the 1970s to 30% in the late 1990s. Within this, crops contribute 71% of the agriculture sector, (livestock 9%, fisheries 10%, and forests 10%) Agriculture sector generates employment for about 63 percent of the labour force. In 2001-2002 agricultural exports of primary products constituted 9.4 % of total exports of the country.

Fisheries sector acquires unique status in the national economy, socio-cultural settings, rural livelihoods as well as food and nutritional security of Bangladesh. Because of its vast span, conducive agro-climatic conditions and immense potential for development, the sector continues to provide direct and indirect livelihood opportunities to a large number of people. It is estimated that about 1.28 million people depend directly on fisheries and 3.08 million on aquaculture for their livelihoods. Besides, about 12 million people are also indirectly involved in the sector. The country produced a total of 1.78 million tons of fish during 2000 - 2001[2]. Out of this about 40,000 tons of fish and fish products were exported. The sector thus contributes significantly to the national GDP[3] (5.98%), export earnings (6.28%) and food security. The sector's development goal is to attain fish self sufficiency, socio-economic enhancement of fishing communities and fish farmers, earning hard currency and poverty reduction through conservation and sustainable utilization of fisheries and aquaculture resources.

Fishery being a renewable natural resource, deserves careful and cautious approach for managing the resources to ensure that fish are harvested on a sustainable basis. Signs of stress is becoming visibly apparent in capture fishery resources due to several reasons including poverty driven destructive and over-fishing, large scale damage of seed of finfish and shellfish incidental to shrimp seed collection along the coast and estuaries, discard of by-catch in deep sea and exploitation of fish below forty meter depth range by trawler operators, mangrove destruction and resultant erosion, pollution, flood protection and urbanisation related developments and other human induced activities.

Although marine fish production indicates a levelling off trend in recent years, the catch per unit effort (CPUE) and the size class clearly show a declining effect. Effort has been increasing with the ever-increasing number of fishing fleets and fishers.

Small-scale or artisanal inshore fishermen, whose livelihoods are declining with the degrading coastal fisheries resources and dwindling inshore fish stocks, rank among some of the poorest people in the country. They are also vulnerable to recurrent natural disasters

[2] **Fisheries Week Report – 2002. DOF.**
[3] **Bangladesh Bureau of Statistics Pocket Book, 2002. 475 p.**

and sea borne accidents while they are sea borne on their job. Besides, they are also deprived of various support and social services provided by the government as they are highly disorganised and live in remote and far flung areas. They are completely cut off from the main stream of national development process and information flow. Consequent to all these, they have become an ignorant lot, remain in absolute poverty and are subjected to exploitation by various vested interest groups.

The Project BGD97017-Empowerment of Coastal Fishing Communities (ECFC)

The project is justified with reference to the need to assist the fishing communities to bring about positive qualitative and quantitative changes in their existing strategies resulting in significant and sustainable reduction in their vulnerability through improvements in livelihoods. The development objective of the project is to promote livelihood security of the poor coastal fishing communities. The three immediate objectives of the project are to:

- Assist the communities to empower themselves to collectively address their problems and needs.
- Introduce various economic and community welfare activities which are operated and managed by their community organizations.
- Facilitate sustainable conservation and management of coastal marine and estuarine fisheries resources and habitats through strengthening of community-based management of the resources.

Strategy and Approaches

The project concept is based on the Sustainable Livelihood Approach whereby the intervention will be aimed at its different dimensions. These include the vulnerability context, peoples' coping and adaptive strategies, the livelihood assets / capitals, the policy and governance environment, and the livelihood outcomes. The project strategy includes the enhancement of access to information, assets and resources as well as employment and skills for the fishing communities. It involves promotion of self managed village level organization for men and women separately, improved access to extension and social services, promotion of alternative income options including technologies and enterprise development, mobilization and facilitation of access to financial resources through institutional credit organizations, strengthened capacity for community based disaster management, and finally, strengthening community based management for sustainable coastal fisheries.

The project envisages a partnership approach to identification of needs and opportunities, the planning, implementation, supervision, monitoring and evaluation of the services/ activities that will involve GO departments, NGOs, and the communities. The Service Providers (SPs) will work in close cooperation with the Officers / staff of the development departments of the Government {DOF (Department of Fisheries) in particular as Executing Agency}, partner NGOs and the PMU. The SPs have been engaged to provide livelihood related support services to the fishing communities.

Target Groups

Women, children and men from the coastal fishing communities who are the poorest and disadvantaged segment of the population and most prone to recurrent natural disasters, are the primary target group of the project. The target households are those from which male members undertake fishing in the sea, along the shore, in the channels and in the estuaries. It includes mostly the fishing labourers and non-motorised boat owners and their families.

The secondary target group is the personnel of the developmental agencies of GoB and NGOs deployed in the project location, whose skills in community mobilization and participatory methods will be enhanced.

Location

The project covers a total of 117 villages and paras (hamlets) where fishing communities constitute the majority of the population, and be implemented in all 7 Upazilas of Cox's Bazaar district. It covers the off shore islands of Kutubdia, Moheshkhali and St. Martin's as well as the coastal upazilas of Pekua, Chokoria, Sadar, Ukhyia, Ramu, and Teknaf.

Current status of project implementation

The project is in operation since middle of December 2000. Required experts and project staff were fielded within the first one year period of the project. To start with attempts were made to build a strong, cohesive, professional and versatile implementation team with capacity to enter, immerse and motivate the fishing community to organise themselves and initiate their own development. This was followed by confidence building actions at the community level. Considerable time and energy were also spent to change their aid-addicted attitude to realizing their own potential and strength. Almost all the planned activities have been undertaken in all the 117 project villages. However, initially project activities were launched in only 37 villages. Experienced thus gathered through a gradually process of learning and doing with major emphasis on social mobilization (key factors of the project) helped in smooth expansion of activities. The project has undertaken and initiated various interventions through combined efforts of both GO and NGO partners.

Major activities include facilitating village level organizations (VOs) separately for men and women for working at the community level and Village Development Committees (VDCs) for making decisions at the village level. These committees have been playing tremendous role in coordination activities and representation of the communities at various levels and platforms. Full participation of costal communities in planning and implementation of project activities has been ensured. Members of VOs have initiated savings which they are managing through operating bank account. With the increase in volume of their savings they have better sense of security and confidence. Coastal fishers' focussed radio programme and Newsletter provide desired information and a voice to the community. Efforts have also been made for enhanced role of the communities in conservation and management of fisheries resources by organising gear based Fisheries Management Organizations (FMOs), Fisheries Management Advisory Committee (FMAC) and undertaking mangrove plantation activities. PRAs have been found useful in identifying problems & priorities, opportunities for alternative / additional income generating activities beyond traditional ones for secured livelihoods. Such programmes are supported through Micro Capital Grants (MCGs) and Rural Enterprise Development Services (REDS). A variety of social welfare related activities viz. community latrine, hand tube-well for drinking water, school based primary education, legal aid support/conflict resolutions, etc. have been supported by the partner GOs and NGOs.

Objectives of the Evaluation

In accordance with the policies and procedures of UNDP and FAO a mid-term evaluation of the project by a joint evaluation-team was foreseen in the project document. The UNDP, FAO and GoB wish to assess the progress of implementation and resultant outcomes and effects of the project in order to come forward with appropriate modifications, if any, in the overall design and orientation of the project; prepare detailed work-plans for the remaining period; and suggest about the desirability and modalities for expansion of project coverage.

To this end the Mission will make recommendations for the future course of the project, including any adjustments or re-orientations required. Detailed proposals will be made for:

- the future plan of work;
- the need and potential for expanding project activities and a set of criteria for selecting the areas for future expansion; and
- additional support to the project, if any.

The Mission will draw attention to any lessons of general interest.

Scope of the Evaluation

The evaluation must be result oriented and include systematic and objective assessments of the relevance, performance and success of the project interventions. The evaluation will assess the progress of the project to date, and the usefulness of its overall approach, specifically through:

- relevance of the project to development priorities and needs of the coastal fishing communities;
- clarity and realism of the project's development and immediate objectives;
- making an in-depth review of the project design, execution / implementation modality and its efficiency, institutional arrangements and their adequacies;
- assessment of input requirement, availability, supply and utilization;
- assessing outputs in relation to inputs and objectives, outcomes generated so far and their sustainability against clearly defined indicators;
- Indicating progress and / or lack thereof in the achievement of the project objectives;
- identifying constraints to efficient implementation including operational and financial aspects of project management; and
- assessing support services provided by development partners

The Mission should record successes and failures, best and worst practices, and future challenges and constraints. Any significant lessons that can be drawn from the implementation of the project should also be indicated to guide future development interventions. Focus should be on relevance, performance, and success of the project while recording measures or implementation strategies that are "good lessons, or "bad lessons" so that the later is addressed in future. In such case, the Mission should also provide remedial measures/ recommendations. They should also provide a broader basis of generic steps if any.

The joint evaluation Mission will thus evaluate:

a) Relevance of the project to development priorities and needs, in particular the people's priority as identified in Project Document and the Common Country Assessment (CCA) framework of Bangladesh.
b) Clarity and realism of the project's development and immediate objectives including specification of targets and identification of beneficiaries and prospects for sustainability.
c) Quality and clarity of project design and adequacy of input and services provided with regard to:

    - logical consistency between inputs, activities, outputs and progress towards achievement of objectives (quality, quantity and time-frame);
    - specification of prior obligations and prerequisites (assumptions and risks);

- external institutional relationships, and in the managerial and institutional framework for implementation and the work plan / working strategy; and
- likely cost-effectiveness of the project design.

d) Efficiency and adequacy of project implementation including:

- management arrangements and modalities of the executing and implementing agencies;
- availability of funds as compared with budget for both the donor and national component and the over-budgeting issue;
- the quality and timeliness of input delivery by UNDP, FAO and the Government;
- work efficiency and implementation difficulties;
- adequacy of monitoring and reporting;
- the extent of national support and commitment;
- the extent of assistance provided by NEX support staff
- the quality and quantity of administrative and technical support by FAO.

e) Project results, including a comprehensive and systematic assessment of outputs produced to date (quantity and quality as compared with workplan and progress towards achieving the immediate objectives). The Mission will especially review, the:

- technical reports, training manuals, studies, surveys and publications in terms of quality, validity or acceptability, quantity and coverage (geographical / population);
- extent to which the processes and methods pursued by the project were designed and implemented to facilitate sustainable impact on livelihoods of poor households;
- targeting of beneficiaries;
- whether adequate mechanisms are in place in the project for consulting with and obtaining feedback from the stakeholders.

f) The prospects for sustaining the project's results by the beneficiaries and the host institutions after the termination of the project. The Mission should examine in particular:
   - the sustainable impacts on the livelihoods of the poorest and women headed households;
   - the extent to which the project could establish itself as strategically important project for MOFL, GoB based on its specificity and scope of activities and impact achieved so far.

g) The cost-effectiveness of the project.
h) In view of the results of the project the feasibility and desirability of expanding its work into other coastal areas of the country / region.

Reporting

The main output of the evaluation will be an independent and comprehensive report for which the Mission is fully responsible for and which may not necessarily reflect the views of the Government, the donor or FAO. The report will be of sufficient detail and quality, with annexes and working papers as required, covering a detailed review of the entire project in line with usually accepted standards and requirements of UNDP and FAO. The report will be prepared in approximate conformity to the following headings:

- Executive Summary
- Introduction
- Project Context

- Project Objectives and their Relevance
- Project Design
- Project Management and Implementation
- Project Activities and Outputs, outcomes and impact
- Progress towards Achievement of Project Objectives and Sustainability
- Cost effectiveness of the project
- Findings and Conclusions
- Recommendations
- Lessons Learned

Recommendations will clearly be based on findings and stated in operational terms. They will address all issues identified by the evaluation Mission including changes in modalities, processes and ways of working and, in particular the purposes or the evaluation, i.e.:

- the future plan of work;
- the need and potential for expanding project activities and a set of criteria for selecting the areas for future expansion; and
- additional support to the project, if any.

Methodology / Evaluation Approach

- Under the leadership of the Team Leader, the Evaluation Mission will work independently and will keep UNDP, FAO and the GoB informed about the progress in the evaluation. Weekly review meetings will be held.
- The evaluation team will prepare a work plan in consultation with the GoB, UNDP, FAO and the project team.
- The Mission will review all relevant Project/FAO/UNDP documents and relevant secondary materials such as: Project Document (Prodoc), TAPP, Audit Reports, PIP, Quarterly Progress Report, relevant files, correspondences, documents connected with the project.
- The Mission will consult with Government especially those departments related to the project and those government agencies involved in Fisheries activities.
- The Mission will get in touch with major donors and CSOs/NGOs (if found relevant) and national institutions involved in Fisheries activities. Finally the Mission will maintain close liaison with the UNDP.
- The Mission should obtain the views of the target groups, direct beneficiaries and other stakeholders on how the project is affecting them and their recommendations for addressing relevant issues.
- Checklist of queries to be asked in the field as defined in **Annex A** (UNDP guidelines for the evaluation report) may be used to capture the whole range of information needed.
- The draft Evaluation Report should be prepared well in advance of the end of the evaluation period and submitted to UNDP, GoB and all relevant parties. The evaluators will be responsible for the contents, quality and veracity of the report.
- A wrap-up meeting will be convened for all concerned during which the evaluators will present the Independent Evaluation Report to the Executing Agency (the draft report will be circulated to all concerned at least 48 hours in advance). Comments from all stakeholders will be noted for incorporation into the final report. The evaluators will be responsible for finalisation of the report and submission to UNDP.
- UNDP will ensure circulation of the report to all concerned.

Composition of the Mission

A four-member Mission will conduct the evaluation jointly. The members should not be directly involved with the management of the project in order to ensure the independence/impartiality of the evaluation. Thus the team should include:

- National members representing the MOFL, IMED, ERD and the Planning Commission
- A representative from FAO (International Technical Expert)
- A representative from UNDP (Team Leader-International Consultant)

The Team Leader-International Expert (UNDP)

The candidate should have higher degree (Masters/PhD) in sociology / community development / development management / economics or related fields. The incumbent should be sufficiently competent as an evaluator with at least 10 years prior experience in evaluating community development and food security related projects. Preferably (s)he has experience in assessing the ratings for overall project outputs, outcomes and development impacts. Experience in economic analysis of the various project components and of the project as a whole is essential. Experience in the South Asian context and familiarity with UNDP programmes would be an added advantage. Excellent proficiency in English is a must.

International Expert (FAO)

Higher degree (preferably PhD) in the field of fisheries / aquaculture or related fields. Minimum fifteen years working experience in the field of fisheries management / aquaculture / fisheries extension. He/she should have proven ability to assess technical aspects and components of the project as inputs to evaluation team. Experience in the South Asian context and familiarity with UNDP and FAO programmes would be an added advantage. Excellent proficiency in English is a must.

Members Representing GoB

Objectivity and independence as well as competence as evaluators –previous experience in monitoring and evaluation of development projects– are the principal criteria to be used in selecting the representatives. However, the persons nominated for evaluation should not been directly involved in the design, appraisal, approval or implementation of BGD97017-ECFC project.

Implementation Arrangement

Timeframe

The duration of the evaluation will be 4 weeks starting from October 2003.

- The evaluators will study the Terms of Reference and submit a work plan (within 2 days).
- The evaluator will review the materials and consult with all stakeholders to seek feedback (12 days, including field visits).
- The evaluators will prepare a midway issues report (1 day)
- Well in advance of the end of the evaluation they will prepare the draft Independent Evaluation Report (4 days)

- The evaluators will organise a wrap-up meeting (1 day) (the draft report will be circulated to all concerned at least 48 hours in advance).
- At the end of the period the evaluation team will finalise the report (4 days).

Consultations in the field

The expenses for conducting the evaluation will be borne by the project (BGD97017 project budget lines BL: 16.02 and 16.03) and the remuneration of the hired consultants will be according to standard UN rates. Evaluation Mission members nominated by the GoB will be entitled to DSA while away from their duty station. The budget line for the Mission costs is managed by both FAO and UNDP. Payment of fees to the Consultants of the team will not be concluded until the final report has been accepted.

Background documents for the Mission

The following background documents will be made available the Mission on arrival.

- CCF 1996-2000; CCF 2001-2005
- CCA, 2000
- Project Document: BGD/97/017, ECFC
- TAPPs
- Audit Reports
- Annual Progress Reports
- Quarterly Progress Reports
- Workplans
- Reports of the Annual Tripartite Review Meetings
- Results Oriented Monitoring Indicators (ROMIs)
- Latest Approved Budgets and Letters of Agreement
- CO SRFs/ROAR

In addition to the above, the Evaluation Mission will have access whenever necessary to project files and other pertinent miscellaneous documents, correspondence and reports.

Annex B

Mission Itinerary

Annex B - Mission Itinerary

	Date and Day	Programme	Team Member
1st week	**DHAKA - ORIENTATION, BRIEFING AND ASSEMBLY OF TEAM**		
	1-11-03 Saturday	Arrival of Team Leader Meeting with UNDP	PS/HuR
	2-11-03 Sunday	Arrival of FAO Expert Meeting with UNDP/FAO/ DOF Meeting with DFID	DS PS/DS/HuR PS/DS
	3-11-03 Monday	Meeting with ICZM MTE Team Meeting with MOF	PS/DS PS/HuR
	COX'S BAZAR – FIELD WORK		
	4-11-03 Tuesday	Departure to Cox's Bazar- (Dhaka to Chittagong by air, Chittagong to Cox's Bazar by road) Meeting with Project personnel (afternoon) Meeting with UNHCR, CARE, BFRI, District Administration	PS/DS/HuR
	5-11-03 Wednesday	Field visit : Cox's Bazar Sadar Meeting with Project Staff	PS/DS/HuR
	6-11-03 Thursday	Familiarisation with project documents and reports Meeting with UNHCR Participating in regular event : Monthly District Level Progress Review Meeting Meeting with Field personnel : UFOs and SMOs Meeting with DC and Scientists of BFRI	PS/DS/HuR
	7-11-03 Friday	Desk work Afternoon: Meeting with Fisheries Management Committee (FMC) & District Federation of Fishers (DFF)	PS/DS/HuR
	8-11-03 Saturday	Participating in Public Hearing Programme at Chakaria Meeting with UNO other GO officials Meeting with project Coordinators of NGOs	PS/DS/HuR
2nd Week	9-11-03 Sunday	Field visit – Group 1: Moheshkali villages Field visit – Group 2: Chakaria/Pekua/ Kutubdia villages and meeting with UNO and other officials Arrival of MTE members from Government join the team Meeting with project Coordinators of NGOs	MdS/HuuR/RI
	10-11-03 Monday	Group 1: Field Visit to Ramu and Ukhia Group 2: Field Visit to Teknaf	PS/MdS/Huur DS/HuR/RH
	11-11-03 Tuesday	All team to St Martins Island, Teknaf Village visit in Teknaf Meeting with Upazilla Federation of Fishers and VO leaders / Meeting with UNO and other GO and NGO officials at Moheshkhali Field visit: Moheshkhali villages	PS/DS/HuR/MdS HuuR/RH

	Date and Day	Programme	Team Member
	12-11-03 Wednesday	Preliminary Findings Paper – desk work Visit to commercial hatchery in Cox's Bazar	PS lead PS
	13-11-03 Thursday	Preliminary Findings Meeting in DoF Conference Facilities – Cox's Bazar Departure for Dhaka	
	DHAKA – DESK WORK AND REPORT PRESENTATION		
	14-11-03 Friday	Desk work	All
3rd Week	15-11-03 Saturday	Meeting with ICZM/SUFER Project Management/IMED and Planning Commission (Danida/DFID)	PS/DS/HuR
	16-11-03 Sunday	Desk work	All
	17-11-03 Monday	Desk work	All
	18-11-03 Tuesday	Desk work	All
	19-11-03 Wednesday	Wrap-up meeting Departure of FAO team member	All DS
	20-11-03 Thursday	Desk Work – final meetings	All
	21-11-03 Friday	Departure of Team Leader	PS
Finalisation	22-11-03 through to 15-12-03	Preparation and submission of Final Report by Team Leader	PS (lead and finalisation) HuR - Support DS – Support

Key:

PS Paul Schoen
DS Daniel Shallon
HuR Harunur Rashid (Dr)
MdS Md. Golam Sarwar (Dr)
HoR Md. Harun Or Rashid
RH A.T.M. Rafiqul Haque

Annex C

People Consulted

Annex C – People Consulted

Empowerment of Coastal Fishery Communities for Livelihood Security Team		
Name	**Organisation**	**Position**
Zafar Ahmad	ECFC	National Project Director (as of November 2003)
Dilip Kumar (Dr)	ECFC	FAO CTA to ECFC – Cox's Bazar
Ashoke Kumar Das	ECFC	DNPD – Cox's Bazar
Nowshed Alam (Dr)	ECFC	National Consultant – Fish Processing Expert
Wajed Ali Shah (Dr)	ECFC	National Consultant – Monitoring and Evaluation Expert
Ishrat Zakia Sultana	ECFC	National Consultant – Radio Programme Development
Nurun Nabi Talukudar	ECFC	National Consultant – Enterprise and Marketing Specialist
Farque Ahmed	ECFC	National Consultant – Socio-Economist
Zillar Rahman	ECFC	National Consultant – Livestock
Shampa Barmon	ECFC	SMO – Chakaria and Ramu
Jharna Shawli	ECFC	SMO
Hasina Musfiqua	ECFC	SMO
Sohel Ahmed	ECFC	SMO
Kamal Banajee	ECFC	SMO
Purabi Sengupta	ECFC	SMO – Cox's Bazar Sadar

Short Term Consultants to ECFC		
Name	**Organisation**	**Position**
Revathi Balakrishnan (Dr)	FAO	Senior Officer – Gender and Development (FAO – Bangkok)
V.S. Murty (Dr)	Independent	Marine Fisheries Management Expert
M.A. Upare	Independent	Micro-Enterprise Development and Management

Other Persons Consulted		
Name	**Organisation**	**Position**
Bui Thi Lan (Dr)	FAO – Dhaka	Resident Representative
Subash Dasgupta	FAO – Dhaka	Assistant Representative
Philip Thompson	Fourth Fisheries Project Consultant (DFID)	Study Team Leader on Alternative Income Generating Activities
Mohd Abdul Huq	MoFL	Secretary
Md Nasir Uddin Ahmed	MoFL	Director General – Department of Fisheries
Shireen Kamal Syeed	UNDP	Assistant Resident Representative
Aminul Islam	UNDP	Sustainable Development Adviser
Ayshanie Labé	UNDP	Programme Officer – Dhaka
Ali Ashraf	UNDP	Assistant Resident Representative- Programme Support Unit, Dhaka
Jørgen Lissner	UNDP	Resident Representative - Dhaka
Larry Maramis	UNDP	Deputy Resident Representative – Dhaka
Boonsham Sangfai	UNHCR	Head of Sub-Office Cox's Bazar

Other Persons Consulted		
Name	**Organisation**	**Position**
Md. Jalilur Rahman (Dr)	BFRI	Senior Scientific Officer – MSBN Project on ECFC
S.B. Shah (Dr)	BFRI	Senior Scientific Officer- Aquaculture Project on ECFC
Lindsay Saunders	Consultant	Evaluation Team Leader - Dutch Aid/DFID - Evaluation of ICZM
Jock Campbell	Consultant	Evaluation Member - Dutch Aid/DFID – Evaluation of ICZM
Duncan King	DFID	Fisheries Advisor - Dhaka
Martin Leach	DFID	Rural Livelihoods Adviser – Dhaka
Chris Morrice	Consultant to DFID	Team Leader - Project Coordinator Support for University Fisheries Education and Research – SUFER
Akhter Jahan Chowdhury	DOF	Assistant Chief – Planning Implementation Unit
	ICZM	Consultant
M Rafiqul Islam (Dr)	ICZM	Consultant
Abu Kamal Uddin (Dr)	ICZM	Team Leader/Consultant
Chris Maurice	SUFER (Support for University Fisheries Education and Research	Team Leader/Consultant to DFID

VILLAGES VISITED	
Upazilla	**Village Visited in Upazilla**
Cox's Bazar Sadar	West Kotubdia Para
Ramu	Hinchari Para Karachi Para Daklin Para
Teknaf	St. Martin's Island-Dakhinpara Mohila Sangathan Nilla Union - Natmor Jaledas Para
Kotubdia	Dhurung Jalapara Kotteh Para
Moheskali	
Ukhia	Uttam Sarnu Para (NEE) Chhoto Unnani (Small Unnani) (non-ECFC Village)
Chakoria	Paurasava Lakarchar
Pekua	Sairakhali Jaladaspara

Annex D

References Consulted

Annex D – References Consulted

- Overview – The Common Country Assessment, Bangladesh, United Nations July 2000
- Minutes of the First Meeting of the National Steering Committee of ECFC – 6 September 2001
- Minutes of the Second Meeting of the National Steering Committee of ECFC – 25 September 2002
- Minutes of the Third Meeting of the National Steering Committee of ECFC – 17 September 2003
- Minutes of the First Tripartite Review Meeting, 11 July 2002
- ECFC (BGD/97/017/I/01/99) - Budget Revision 11 June 2003
- ECFC (BGD/97/017/I/01/99) Annual Program/Project Report - 28 November 2001
- ECFC (BGD/97/017/I/01/99) Annual Program/Project Report - 28 November 2002
- Country Programmes and Related Matters – First Country Cooperation Framework for Bangladesh – 13 November 1996
- Extension to the First Country Programmes and Related Matters – First Country Cooperation Framework for Bangladesh – Note by the Administrator – 23 June 1998, New York
- Second Country Cooperation Framework for Bangladesh (2001-2005) – 13 December 2000
- Auditor's Report on The Accounts of "Empowerment of Coastal Fishing Communities for Livelihood Security Project" Financed by UNDP for the year 31 December 2002 – Foreign Aided-Project Audit Directorate, Segunbagicha, Dhaka
- Poverty Alleviation Fund Guidelines Revised – UNDP – Final Version 9 June 2003, UNDP, Dhaka
- Project Inception Report, ECFC 2002.
- Memorandum of Understanding (MOU) Between Local Partnerships for Urban Poverty Alleviation Project (LPUPAP) and Serajganj Pourashava – UNDP/LGED/BGD/98/006:MOU 20 July 2002
- Micro-Capital Grant Agreement – Between the BRDB-CEP-II Dhaka and Kholahati Utter Baruipara Kamar Padma Dal – UNDP Document – 8 June 2003
- Project Organisation Development, ECFC – November 2003
- Independent Management and Financial Audit of GoB/UNDP/FAO (BGD/97/017) Empowerment of Coastal Fishing Communities for Livelihood Security Project, Prepared by Dr M. Harunur Rashid, Transvent International Ltd, Financial Advisory Firm (FAF), Dhaka September 2003. Commissioned by UNDP, Bangladesh.

- Rural Enterprise Development Services (REDS) – Operational Manual – Conceptual Framework for Building Community Entrepreneurial Capacity, 13 November 2003 M.A. Upare FAO Consultant to ECFC

- Project Monitoring and Evaluation in Agriculture – Denis Casley and Krishna Kumar, World Bank Publication, Second printing 1990, FAO/IFAD/World Bank

- The Collection, Analysis, and Use of Monitoring and Evaluation Data - Denis Casley and Krishna Kumar, World Bank Publication, Second printing 1990, FAO/IFAD/ World Bank

- Economic Analysis of Agricultural Projects, Second Edition, J. Price Gittinger, EDI Series in Economic Development, EDI of the World Bank, Johns Hopkins University, 1994 (fifth paperback printing)

- National Fishery Policy 1998, Ministry of Fisheries and Livestock, GoB, 1998

- Draft – Marine Strategy, Department of Fisheries, Matshya Bhaban, Ramna, Dhaka, GoB, July 2003

- Project Document (and Annexes) - BGD/97/017/I/01/99 - Empowerment of Coastal Fishing Communities for Livelihood Security Project, 18 June 2000.

- Various reports produced by national consultants of ECFC covering Socio-Economics, Livestock, Radio and fish processing. Lists were also consulted on Service providers, villages visited and covered by the project, Government led support service for VOs in project villages. Other lists included all missions undertaken by FAO consultants and technical backstopping staff since the project commenced, and maps produced of the District drawn up by BCAS.

- Micro-Capital Grant (MCG) – Operational Guidelines - Empowerment of Coastal Fishing Communities for Livelihood Security Project, November 2003

- Technical Backstopping Mission Report, Heiko Seilert, 27 August to 5 September 2001

- Activities Report on Coastal Based Fisheries Management (CBFM) Produced by PMU of ECFC. 7 November 2003-11-25

- Technical Assistance Project Proforma (TAPP) - Empowerment of Coastal Fishing Communities for Livelihood Security Project, March 2002 revised version.

- Newsletter “Jo” for more fish Year: 01 Vol: 02 August 2003

- Mission Report - Community Based Fisheries Management - 8th October 2003 To 21st October 2003-10-26, Gopinath Nagaraj, Consultant to FAO

Annex E

Study Methodology

Annex E – Study Methodology

The study methodology was determined by the duration of the mission and by the fact that the task at hand ie to conduct a MTE. The MTE Mission duration was from 1 to 21 November 2003 with the bulk of data collection and interviews conducted in Cox's Bazar. Although the Team was to be composed of seven members, of which four were to be Government nominated staff, in actual event only three Government staff joined the team and then only eight days after the MTE Mission commenced fieldwork. This in essence meant that Government evaluation colleagues were continuously always trying to catch-up with the other three mission members.

Meetings were held in Dhaka with UNDP, FAO, DFID, Department of Fisheries and the Secretary of the MOFL prior to travel to Cox's Bazar.

None of the Mission members were involved with project implementation which meant that the only methodology open to the team to gather data was by study of documentation including the PD, annual progress reports and contextual documentation such as the Common Country Assessment for Bangladesh. In addition, and in view of time constraints, the only other study method available was by interview of ECFC staff, Local Government staff, Service Providers (ie NGOs and GOs), villagers in both participating and non-participating villages and communities, examination of micro-projects funded by the project and discussion with consultants, and donor agencies involved. Interviews with individuals outside the project such as private sector operators in Cox's Bazar also assisted in the build up of knowledge of the project area and the impact such a community development project could be having.

The mission tried hard to discuss the project with as many people as possible giving them a chance to present their views in reply to open-ended questioning on various aspects being explored. To this end the mission visited about 15% of all the villages in the project (17 villages out of 117 villages).

The MTE Mission strongly supported the participatory nature of the project and encouraged this during the duration of the field visits. To this end the MTE Mission encouraged village participation in all interviews, although this proved difficult as village members were trying to present their views almost simultaneously. The Field Wrap-up Meeting held on 13 November at MoFL's conference room in Cox's Bazar invited village representatives and those from Upazilla and District based organisations, SMOs, NGOs (SPs), MFOs, Government staff, project staff, UNDP, FAO and MoFL representatives. The meeting began with the distribution of a Preliminary Discussion Paper and follow through discussion of field findings. This method elicited additional material which was subsequently included in the Summary Report and distributed prior to the Wrap-Up Meeting in Dhaka.

The project was based on very limited economic and financial data and as such commenced without a base line from where to measure change in purely economic and financial terms. The project to date has not proceeded to build a quantitative knowledge base and as such lacks some rigor and therefore the ability to have provided to the MTE Mission with detail on "hard" changes that have taken place over the last three years of implementation. This limited the MTE Mission methodology to rely on perceived qualitative changes that have taken place. Although not unusual the MTE Mission took a pragmatic approach to this and accepted that in social development projects where "organisation" of village members is the important criteria for success then this was taken as a key indicator or performance of the project. With the "basic building blocks" put in place by the project staff and contracted SPs

active quantitative data sets can be generated easier than in the past. This in itself is an achievement.

The MTE Mission made use of various important documents which were critical to understanding recent events including the Tripartite Review Meeting Report and the Independent Management and Financial Auditor's Report which highlighted areas of corruption and mismanagement.

Annex F

GO Led Support Services for the VOs in the Project Villages

Annex F – GO led Support Services for the VOs in Project Villages

Government Department	Services delivered at Village level
Department of Public Health and Engineering	Arsenic testing Sanitary latrines One deep tube-well for safe drinking water
Department of Youth	Training in dress making Training in net making
Women and Child Affairs	Training in tailoring Training for poultry farming
Department of Livestock Services	Training for poultry farming, goat rearing and cow/beef fattening Vaccination of poultry Training and provision of vaccination kit Training of duck farming
Department of Agricultural Extension	Training in vegetable gardening Training in plant nursery
BRDB	Training in organisation development Group formation and savings mobilisation Credit for AIGAs (non-fish)
BDRCS	Mass awareness training on pre-disaster management
Cooperative Department	Training on organisation development Assisting in bye-law drafting
Primary Education	Procured books for primary schools Established satellite primary schools in project villages
Social Welfare Department	Provided loans to disabled VO members Training of VO members (?)
Department of Health and Family Planning	Sensitisation workshop on primary health, family planning and EPI Emergency services for men and women
LGED	Community latrines established Established a solar power station for village electricity Developed a local road
Department of Fisheries	Training in pond fish culture and carp nursery
Upazilla Administration – Upazilla Nirbahi Office	Project planning and review meetings coordination

Annex G

FAO Missions Undertaken to Date

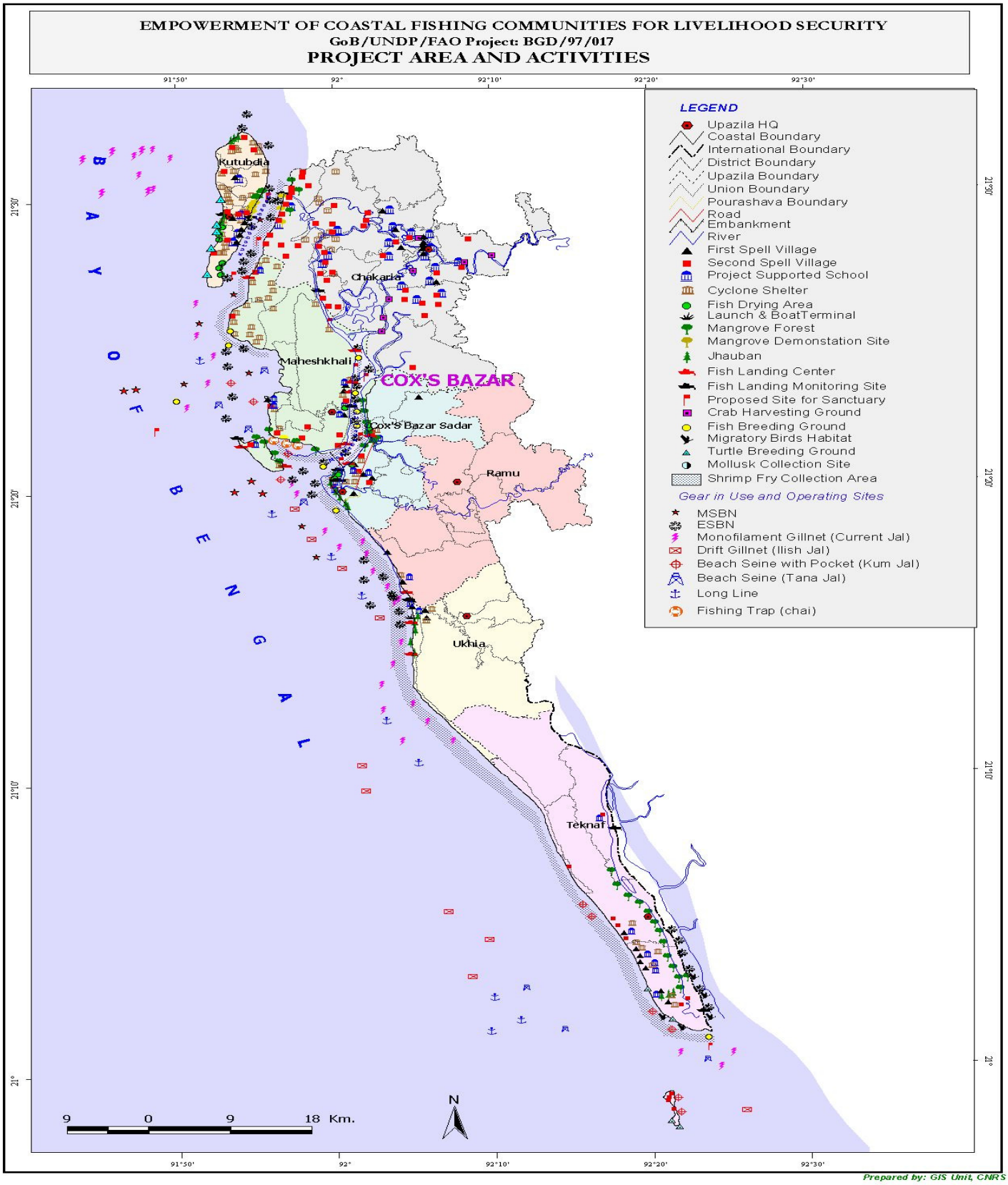
Annex G – FAO Missions Undertaken to Date

Name	Specialist Area	Date of Mission
Lolita Villereal	Micro-Enterprise Development	8 Apr to 15 May 2002
Le Thanh Luu (1st Mission)	Coastal Aquaculture Opportunity Analyst	12 May to 12 Jun 2002
Le Thanh Luu (2nd Mission)	Coastal Aquaculture Opportunity Analyst	20 Oct to 20 November 2002
M.A.Upare (1st Mission)	Micro-Enterprise Development and Management	5 May to 31 Dec 2002
M.A.Upare (2nd Mission)	Micro-Enterprise Development and Management	18 Oct to 19 Nov 2003
Ivor Clucas (Dr)	Post Harvest Fisheries	22 Feb to 13 Mar 2003
Rathin Roy (Dr) (1st Mission)	Fisher Folk Radio Development and Training	8 to 22 Mar 2002
Rathin Roy (Dr) (2nd Mission)	Fisher Folk Radio Development and Training	Jan 2003
Shiva (Dr) (1st Mission)	Conservation and Management of Biodiversity and Natural Resources in the Marine Environment	16 Nov 2002 to 1 Jan 2003
Shiva (Dr) (2nd Mission)	Conservation and Management of Biodiversity and Natural Resources in the Marine Environment	20 Oct to 5 Dec 2002
V.S. Murty (1st Mission)	Marine Fisheries Management	15 Nov to 25 Dec 2003
V.S. Murty (2nd Mission)	Marine Fisheries Management	16 Oct to 18 Nov 2003
STS Technical Backstopping Support		
Gopinath Nagraj (Dr)	Community Based Fisheries Management	7 to 21 Oct 2003
Bishan Singh (Dr)	Participatory Planning Expert	7 Oct to 6 Nov 2003
Revathi Balakrishnan (1st Mission)	Gender Mainstreaming	16 to 26 Sept 2002
Revathi Balakrishnan (2nd Mission)	Gender Mainstreaming	27 Oct to 8 Nov 2003
FAO Technical backstopping Missions		
Heiko Seilert	Technical Backstopping	27 Aug to 5 Sept 2001

Annex H

Project Site Map

Annex H – Project Site Map



Supplied by ECFC Project – November 200

Annex I

List of ECFC Reports

Annex I – List of ECFC Reports

S#	Title
	Reports
1	Inception Report
2	First Half-yearly Report
3	Second Half-yearly Report
4	Third Half – yearly Report
5	Fourth Half – yearly Report
6	Fifth Half – yearly Report
7	First round PRAs (First spell villages)
8	First round PRAs (Second spell villages)
9	Project Launching Workshop
10	Project Grounding Workshop
11	Procedure and criteria for the selection of project villages
12	Project Sensitization Workshop
13	Orientation training Workshops
14	Second Round PRAs (Formation of VOs)
15	Third and Fourth round PRAs - Identification, prioritization and planning for Income Generation
16	Wealth ranking in Project Villages through PRAs
17	Traditional practice of fish drying in coastal areas of Cox's Bazar
18	Stakeholders' Workshop – Marine Fisheries Management for Sustainable Livelihood Development
19	Baseline survey on fish processing
20	Audience profile and Preference for Radio Programme
21	Audience profile and information need assessment for Coastal Fishing Community Radio Prog.
22	Ability to Pay – Preliminary Result from Household Census
23	Fisheries Resources Survey – Review of Survey Instruments
24	Assessing Impact on Livelihood – A concept paper
25	Formation of gear based Fisheries Management Organizations (FMOs) and FMC
26	FMOs for CBFM in Cox's Bazar
27	Major Gear based Fisheries of Cox's Bazar
28	Report – Comprehensive Extension training for GOs / NGOs
29	Report – Orientation Training for SPs / GO Field Staff
30	Information Sheets for Social Mobilization
31	Observation on present status and scope of Nag-pi in Rakhayan villages
32	TOT – Community based First Aid
33	TOT – Sea Safety
34	Inception Training for GO / NGO Partners
35	Participatory Training – Entry to fishing communities
	Baseline Survey
36	Baseline survey related to fishing practices (First spell 37 villages) – Report under elaboration
37	Socio-economic Baseline Survey – Survey completed – data entry in process
38	Baseline survey – Primary Education – OSAD
39	Baseline survey – Primary Education – CATALYST

40	Baseline survey – Primary health care and sanitation – RIC
41	Baseline survey – Primary health care and sanitation - CDS
42	Baseline survey – Disaster Preparedness – BDPC
43	Baseline survey – Disaster Preparedness – ISDE
44	Baseline Survey (Fisheries Resources) – CNRS
45	Baseline Survey (Fisheries Resources) – BCAS
46	Baseline Survey / Need assessment (Legal aspects) – BELA
47	Baseline survey – Potential of aquaculture in project villages
Mission Reports	
48	Mission Report – Coastal Community Radio Expert – Strategy for establishment of CCRU
49	Mission Report – Post harvest Expert
50	Mission Report – Mission 1 - Aquaculture opportunity analysis
51	Mission Report – Mission 1 - Aquaculture opportunity analysis
52	Mission Report – Marine Fisheries Management -
53	Mission Report – Mission 1 - Enterprise Development Expert
54	Mission Report – Mission 2 - Enterprise Development Expert
55	Mission Report – Mission 1 – Biodiversity Expert
56	Mission Report – Community based Fisheries Management
57	Mission Report – Mission 1 - Gender Expert
58	Mission Report – Participatory planning Expert
Guidelines	
59	Guideline for conducting Second round PRAs – facilitating VO formation
60	Third and Fourth Rounds PRAs
61	Socio-economic Base line survey
62	MCG – Operational Guidelines
63	ROMI for Impact Evaluation
64	VO constitution – in Press
65	Selection of NGOs
Manual	
67	Comprehensive Extension Training
68	Fish Processing – 11 Manuals
69	Newsletter
Periodical Reports of National Consultants	
70	Halfyearly Reports – 12 Reports

List supplied by ECFC November 2003.

Annex J

Summary Curricula Vitae of Evaluators

Annex J – Summary Curricula Vitae of Evaluators

Core Team Members

Paul Schoen – Team Leader

Mr Schoen is a natural resource economist with over 14 years of international experience in development projects. After undertaking three university degrees (Hull University, London School of Economics and Wye College in the UK) he completed various long and short term assignments in Papua New Guinea, Bangladesh as well other parts of Asia, Africa, Latin America and the Caribbean and CIS States. He is experienced in economic and financial analysis, agricultural project identification, project-preparation, appraisal and evaluation and cost-benefit analysis. Although mainly natural resource based he has completed missions that have included fisheries, sustainable livelihood analysis, business development planning, environmental economics, irrigation and water economics, agricultural economics, small farm business development and management improvement. He has worked with, led and managed multi-disciplinary consultancy teams for bilateral and multilateral agencies as well as the private sector. A recent consultancy was as Project Design Economist for DFID in Bangladesh on the "Chars Livelihoods Project". He has undertaken numerous project management and supervisory missions for UNDP, DFID, EC, Tacis, Phare, IFC and Dutch Aid-Senter. He is an economist with Agrisystems Limited in the UK.

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Telephone: +44 1227 700825 (UK)
Email: pauls@agrisystems.co.uk

Daniel Shallon – Evaluation Specialist

Mr. Shallon is a rural sociologist working in the Evaluation Service of FAO in Rome. He has over 17 years' experience in various aspects of development work. He has worked extensively in sociological analysis, planning and evaluation of rural development projects and policies, with particular experience in the areas of people's participation and mobilization, targeting of the rural poor and poverty alleviation, decentralised management of natural resources (forestry, irrigation, watershed management), gender and development, and project monitoring and evaluation systems. He has had five years of experience in the management of a large-scale global development programme in participatory forestry. He has spent over 14 years residing in developing countries including India, Iran, Turkey, China and Senegal, as well as working on short-term assignments in some 27 other countries in all regions.

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Telephone: +39 06 57054169 (Italy)
Daniel.Shallon@fao.org

Harunur Rashid (Dr) – Financial Management Specialist and Auditor:

Dr Harunur Rashid is a Project Financial Management Specialist / Donor Reporting Specialist. He completed his studies in commerce and accounting at the University of Dhaka and his PhD at the University of Calcutta, India in 1987. His subsequent education was in Advanced Research Methodology, Bureau of Economic Research, University of Dhaka, Introduction to Data Processing, Department of Statistics, University of Dhaka and Financial Management Training Methodology, BASC, Dhaka and MAS, USA. His consultancies have concentrated in recent years on NEX implementation modalities in

Bangladesh for UNDP. Other consultancies have included work for DFID in Vietnam and the Philippines covering the design of evaluation methodology, field Survey and report management. Dr Harunur Rashid has published widely on the subjects of corporate accounting and social responsibility as well as credit and loan systems in Bangladesh. He is also a member of various Bangladesh and international accountancy associations and is also the In-Country Director, Marie Stopes Clinic Society, Bangladesh (Partner, MSI UK). He continues to be Senior Lecturer at the University of Dhaka in accountancy and corporate responsibility.

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Government Resource MTE Team Members

Md. Golam Sarwar (Dr)	Planning Commission	Deputy Chief
A.T.M. Rafiqul Haque	MOF	Deputy Secretary
Md. Harun Or Rashid	MOF	Assistant Chief