



The Caribbean Development Bank's

# Basic Needs Trust Fund

**OPERATIONS  
MANUAL**

UPDATED  
2021







The Caribbean Development Bank's Basic Needs Trust Fund

Operations Manual

Updated 2021

# CONTENTS

TABLES AND FIGURES	vi
ABBREVIATIONS	vii
FOREWORD	1

## **CHAPTER 1: INTRODUCTION TO BNTF DESIGN** **3**

1.1 Background	4
1.2 The BNTF Structure	6
1.2.2 Roles and Responsibilities	8
1.2.2.1 What is the role of the Beneficiary government?	
1.2.2.2 What is the role of the CDB?	
1.2.2.3 What is the role of the OE?	
1.2.2.4 What is the Role of the IA?	
1.2.2.5 What is the role of the Project Manager?	
1.2.2.6 What is the role of the CLO?	
1.2.2.7 What is the role of the AO?	
1.2.2.8 What is the role of the PMC?	
1.2.2.9 What is the Role of the M&E Officer?	
1.2.2.10 What is the Role of the Project Engineer?	
1.2.2.11 What is the Role of the Consultants and Contractors?	
1.3 Talking Points: Understanding the BNTF	10
1.4 BNTF Priority Focus	11
1.5 Key Considerations	12

## **CHAPTER 2: THE COUNTRY POLICY FRAMEWORK** **15**

*What is the purpose of the CPF?  
What should the CPF do?*

2.1 Multi Year Financing Plan	17
2.2 Appraisal by CDB	17

**CHAPTER 3: THE SUB-PROJECT APPRAISAL AND APPROVAL PROCESS**

*Step 1: Project Identification*  
*Step 2: Country Policy Framework*  
*Step 3: Sub-Project Proposal/Preparation*

3.1	Preparing Supporting Documentation for the Sub-Project Profile	26
3.1.1	Community Needs Assets Assessment (CNAA)	26
3.1.2	Organisational Needs Assessment (ONA)	29
3.1.3	Gender Checklist	29
3.1.4	Environmental Screening Checklist	32
	<i>Step 4: Sector Portfolio</i>	
3.1.5	Multi Year Financing Plan	35
3.1.6	Guidelines for resource allocation, informed by the CPF	35
3.1.7	Sector Quality	37
3.2	Approval	37
3.2.1	Acceptance Criteria	37
3.2.2	Education and HRD	37
3.2.3	Water and Sanitation	38
3.2.4	Basic Community Access and Drainage	38

**CHAPTER 4: BNTF PROGRAMME IMPLEMENTATION AND MANAGEMENT**

4.1	Good Practice in Enhancing BNTF Implementation Performance	40
4.1.1	A community participatory approach to:	40
4.1.2	Capacity-building activities to:	40
4.1.3	Investment approaches to:	40
4.2	Country Projects	41
4.2.1	Sub-Project Grants	41
4.2.2	Sub-Project Requirements	42
4.2.3	Sub-Project Categories	42
	<i>(a) Education and Human Resource Development</i>	
	<i>(b) Water and Sanitation Systems Enhancement</i>	
	<i>(c) Basic Community Access and Drainage Improvement</i>	
	<i>(d) Livelihoods</i>	
4.2.4	Project Management Support	45
4.2.5	Sub-Project Implementation Support	45
4.2.6	Institutional Development	46
4.2.7	Project Monitoring and Evaluation (M&E)	46
4.3	Regional Coordination	46
	<i>Programme Management Support</i>	
	<i>Programme Implementation</i>	
	<i>Programme M&amp;E</i>	
	<i>Building Sustainability</i>	

<b>CHAPTER 5: CROSS-CUTTING THEMES</b>	<b>49</b>
5.1 Gender Equality	50
5.1.1 Education and HRD	51
5.1.2 Water and Sanitation Systems Enhancement	51
5.1.3 Basic Community Access and Drainage Improvement	52
5.1.4 Tools for Gender Mainstreaming in the Sub-Project Lifecycle	52
5.1.5 Tools for Gender Mainstreaming in the BNTF Sub-Project Lifecycle	53
5.2 Partnerships	54
5.3 Environmental Sustainability and Climate Change	56
5.3.1 Potential for Environmental Impact	56
5.3.2 EIA Overview	56
5.3.3 Specific EIA Framework for BNTF-Type Projects	58
5.3.4 Areas for Inclusion in an EIA Framework	59
<i>Socio-economic Impact</i>	
<i>Gender Issues</i>	
<i>Environmental Mitigation Measures</i>	
<i>Natural Hazard Impact Assessment</i>	
5.4 Maintenance	66
5.4.1 Maintenance Steps	66
5.5 Community Participation and Empowerment	67
5.5.1 Building Community Cohesion	68
<b>CHAPTER 6: GOVERNANCE OF SUB-PROJECT IMPLEMENTATION</b>	<b>71</b>
6.1 Governance	72
6.2 Procurement	73
<i>Pre-Qualification</i>	
<i>Procurement Methods</i>	
6.3 Methods for Procuring Consultants	75
<i>Quality and Cost-Based Selection</i>	
<i>Least Cost Selection</i>	
<i>Selection Based on Consultant's Qualifications (CQS)</i>	
6.4 The role of the IA in procurement	77
6.5 Risk Assessment and Management	78
6.5.1 Risk Checklist	78
6.6 Selection of Sub-projects	78
6.6.1 Grievance Mechanism	78
6.6.2 Maintenance Issues	78
6.7 Completion, Hand Over and Operation	79
6.7.1 Guidelines	79
6.7.2 The Handing-over Process	79

<b>CHAPTER 7: MONITORING, EVALUATION, AND IMPACT ASSESSMENT</b>	<b>81</b>
7.1 Effectiveness and Managing for Results	82
7.2 The Five Principles of MfDR:	83
7.3 Using the MfDR Toolkit: Results-based Monitoring and Evaluation	85
7.4 Developing the Results Monitoring Framework (RMF) for a Sub Project	86
7.4.1 Indicators	86
7.4.2 Baseline data	86
7.4.3 Logic Model	86
7.5 M&E Framework	88
7.5.1 What is Monitoring?	88
7.5.2 Implementing a Results-Based Monitoring system	90
7.5.3 Types of Monitoring	92
7.5.4 Evaluation	93
7.6 The Mid-Term Review Process	94
<i>Project Completion Reports</i>	
<i>Reporting on Performance</i>	
<i>Data Collection</i>	
<b>CHAPTER 8: MANAGING KNOWLEDGE AND COMMUNICATION</b>	<b>99</b>
8.1 Advocacy, Engagement and Communication for Development	102
8.1.1 Advocacy	102
8.1.2 Lobbying and Communication	102
<i>Steps in the Engagement Process</i>	
8.1.3 Communication for Development	104
<i>Steps in the Communication Process</i>	
<i>Storytelling</i>	
8.1.4 Take-away Message	105
8.1.5 Channels	105
8.1.6 Evaluation	105
8.2 Communities of Practice and Networking	105
8.2.1 What are Communities of Practice?	105
8.2.2 What do Communities of Practice Look Like?	106
8.2.3 How Can the Concept be Applied to the BNTF Programme?	106
8.2.4 Possible Approaches and Activities That Can be Adopted by COPs	106
8.3 The Role of ICT in Communication	107
8.4 BNTF Management Information System	107

 Click this icon to download related files and resources.

# TABLES

1	Guide to the Criterion and Associated Weights . . . . .	23
2	Preparing the CNAA . . . . .	26
3	ONA Format . . . . .	29
4	Resource Allocation for (INSERT NAME OF SECTOR) Portfolio – (INSERT NAME OF COUNTRY) . . . . .	37
5	Education and HRD sub-project types . . . . .	42
6	Water and Sanitation Systems Enhancement sub-project types . . . . .	44
7	Basic community access and drainage sub-project types . . . . .	44
8	Environmental mitigation measures . . . . .	61
9	Examples of natural hazard experienced in PCs . . . . .	65
10	Summary of BNTF 9 Programme Design and Monitoring Framework (DMF) . . . . .	89
11	Monitoring system for an education project . . . . .	90
12	Monitoring Plan for a Transport Sector Project . . . . .	91
13	Results and Financial Monitoring . . . . .	92
14	Schedule of Reporting. . . . .	95
15	Data Collection Processes . . . . .	96
16	Reporting to various Audiences . . . . .	101

# FIGURES

1	BNTF organisational chart . . . . .	7
2	Preparation Appraisal Stages. . . . .	17
3	Sub-Project Lifecycle . . . . .	20
4	Sub-Project Appraisal & Approval Process . . . . .	21
5	Sub-Project Profile Form - part 1 . . . . .	24
6	Sub-Project Profile Form - part 2 . . . . .	25
7	Sample of Gender Checklist for Sub-Project Selection. . . . .	30
8	Sample of Gender Checklist for Sub-Project Design. . . . .	30
9	Sample of Gender Checklist for Sub-Project Implementation . . . . .	31
10	Sample of Gender Checklist for Beneficiary Impact. . . . .	32
11	Sample Multi-Year Plan . . . . .	35
12	Resource Allocation Plan for sector Portfolio. . . . .	36
13	BNTF Cross-Cutting Issues . . . . .	50
14	Gender considerations at key stages of the BNTF Project cycle . . . . .	52
15	Stakeholder contribution to EMP . . . . .	63
16	Pillars of BNTF participation . . . . .	68
17	Results-based Monitoring: Adult Literacy . . . . .	85
18	An illustrative logic model for water and sanitation . . . . .	87

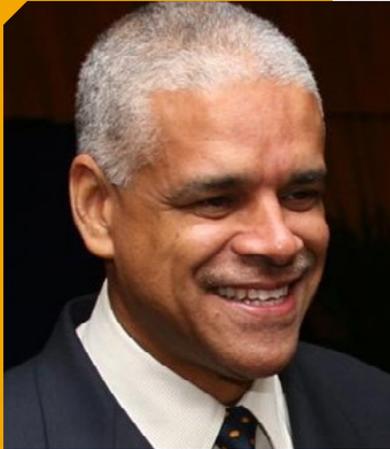
# ABBREVIATIONS

<b>A</b>	AO	- Administrative/Accounts Officer
	APPR	- Annual Project Performance Report
	AWPB	- Annual Workplan and Budget
<b>B</b>	BHN/ESP	- Basic Human Needs/Employment Sector Project
	BMC	- Borrowing Member Country
	BNTF	- Basic Needs Trust Fund
	BNTF 4	- Basic Needs Trust Fund – Fourth Programme
	BNTF 5	- Basic Needs Trust Fund - Fifth Programme
	BNTF 6	- Basic Needs Trust Fund - Sixth Programme
	BNTF 7	- Basic Needs Trust Fund - Seventh Programme
	BNTFO	- Basic Needs Trust Fund Office
	BOD	- Board of Directors
	BSIF	- Belize Social Investment Fund
	BZE	- Belize
<b>C</b>	CA	- Consultant Agreement
	CBO	- Community-based Organisation
	CDB	- Caribbean Development Bank
	CDD	- Community Demand Driven
	CLO	- Community Liaison Officer
	CMDG	- Caribbean Millennium Development Goal
	CNAA	- Community Needs Assets Assessment
	COP	- Community of Practice
	CPA	- Country Poverty Assessment
	CPCR	- Country Project Completion Report
	CPP	- Country Project Portfolio
	CQS	- Selection based on the Consultant’s Qualifications
	CSP	- Country Strategy Paper
	CTSC	- Caribbean Technological Consultancy Services
<b>D</b>	DOM	- Commonwealth of Dominica/Dominica
	DRM	- Disaster Risk Management
<b>E</b>	EA <sup>1</sup>	- Environmental Assessment
	ECD	- Early Childhood Development
	EIA	- Environmental Impact Assessment
	EOI	- Expressions of Interest
	EMB	- Environmental Management Plan
<b>F</b>	FP	- Financial Proposal
<b>G</b>	GC	- Gender Checklist
	GDP	- Gross Domestic Product
	GRN	- Grenada
	GUY	- Cooperative Republic of Guyana/Guyana
<b>H</b>	HM	- Hazard Mitigation
	HRD	- Human Resource Development
<b>I</b>	IA	- Implementing Agency (formerly referred to as the BNTF Office)
	ICT	- Information and Communication Technology
	IP	- Implementation Progress
<b>J</b>	JAM	- Jamaica
	JSIF	- Jamaica Social Investment Fund

<sup>1</sup>. (Environmental Assessment (EA) is a synonymous term with EIA that is also used by many researchers, and the terms are used interchangeably in relevant literature. For this BNTF Operations Manual, the term EIA is used.

<b>K</b>	k	- thousand
<b>L</b>	LCS	- Least Cost Selection
	LFA	- Logical Framework Analysis
<b>M</b>	M&E	- Monitoring and Evaluation
	MDG	- Millennium Development Goal
	MfDR	- Managing for Development Results
	MIS	- Management Information System
	mn	- million
	MON	- Montserrat
	MOU	- Memorandum of Understanding
	MTE	- Mid-term Evaluation
<b>N</b>	NCB	- National Competitive Bidding
	NGO	- Non-governmental Organisation
	NHIA	- Natural Hazard Impact Assessment
	NPRS	- National Poverty Reduction Strategies
<b>O</b>	OE	- Oversight Entity (formerly referred to as Project Steering Committee)
	OECS	- Organisation of Eastern Caribbean States
	OM	- Operations Manual
	ONA	- Organisational Needs Assessment
<b>P</b>	p. a.	- per annum
	PC	- Participating Country
	PCR	- Project Completion Report
	PM	- Project Manager
	PMC	- Project Monitoring Committee
	PO	- Planned Outcomes
	PPES	- Project Performance Evaluation System
	PRAP	- Poverty Reduction Action Plan
	PRS	- Poverty Reduction Strategy
	PRSP	- Poverty Reduction Strategy Paper
	PY	- Project Year
<b>Q</b>	QCBS	- Quality and Cost-based Selection
<b>R</b>	RBM	- Results-based Management
	RFP	- Request for Proposal
	RFQ	- Request for Quotation
	RMF	- Results Monitoring Framework
<b>S</b>	SA	- Special Accounts
	SDF(U)	- Special Development Fund (Unified)
	SDF(U) 7	- Seventh Cycle of the Special Development Fund (Unified)
	SIA	- Social Impact Assessment
	SKN	- St. Kitts and Nevis
	SPCR	- Sub-project Completion Report
	SPMR	- Sub-project Monitoring Report
	SPR	- Sub-Project Register
	STL	- St. Lucia
	SVG	- St. Vincent and the Grenadines
<b>T</b>	TA	- Technical Assistance
	TCD	- Terminal Completion Date
	TDD	- Terminal Disbursement Date
	TCI	- Turks and Caicos Islands
	TOR	- Terms of Reference
	TP	- Technical Proposal
	TVET	- Technical and Vocational Education and Training
<b>U</b>	US/USA	- United States of America
<b>W</b>	WRM	- Water Resource Management

# FOREWORD



Eradicating poverty is the greatest global challenge and an indispensable requirement for sustainable development. This is at the core of the United Nations 2030 Agenda for Sustainable development. The mandate of the Caribbean Development Bank (CDB) is “Reducing Poverty, Transforming Lives in a sustainable and socially inclusive manner”. CDB’s regional Basic Needs Trust Fund (BNTF) Programme is its principal grant-funded Programme for direct poverty reduction. BNTF has been in operation for over four decades, developing direct social and human capital through a unique, socially inclusive development process that empowers the poor and vulnerable in targeted communities and supports institutional development.

The information presented in this Operations Manual (OM) has been compiled to provide the staff of BNTF Implementing Agencies and members of the BNTF Oversight Entities in each BNTF-participating country with a thorough understanding of the scope, processes and operation of this unique Programme. The contents comprise a description of the principal design features of its community development modalities and draw on the experiences shared by both CDB supervision staff, key stakeholders and direct beneficiaries. It is strongly recommended that this OM be read carefully with all cautions noted and observed before moving through the stages of implementation. We consider it to be a ‘living document’ that will be updated as BNTF cycles progress and new priorities emerge.

Every effort has been made to make the operation of the Programme as simple and reliable as possible. Should any clarification be necessary, however, call or contact your Country Supervisor for assistance.

With best wishes,

**George L. W. Yearwood Jr.**

Portfolio Manager  
Basic Needs Trust Fund  
Caribbean Development Bank  
Barbados





# CHAPTER 1: INTRODUCTION TO BNTF DESIGN

## 1.1 Background

Since its inception in 1979, the Basic Needs Trust Fund (BNTF) Programme, the flagship poverty reduction initiative of the Caribbean Development Bank (CDB), has helped to reduce the incidences of poverty in targeted communities in Participating Countries (PC) by providing infrastructure and livelihood enhancement services nationally and regionally. CDB-designated Group 2 Borrowing Member Countries (BMCs) of the Bank all qualify to participate in the Programme. BNTF provides targeted approaches to poverty reduction on behalf of communities and groups characterised by low income, vulnerability and social exclusion. These include youth, elderly, women, persons with disabilities (PWDs) and indigenous populations.

BNTF is a cyclical programme, usually over a four-year period, tied to the phases of the Bank's Special Development Fund. As at February 2017, there were eight BNTF Programme cycles, implementing over 2,750 sub-projects to directly impact the lives of more than 3 million people. Over the past four decades, sub-project interventions have provided access to enhanced social infrastructure

***The overall objective of BNTF is to reduce the incidence of poverty in low income vulnerable communities by improving access to quality education and training, water and sanitation, basic community access and drainage, livelihood enhancement, and human resource development services.***

***The CDB's mission (strategic plan 2020-2024 is "Reducing Poverty and Transforming Lives through Sustainable, Resilient and Inclusive Development"***

(health posts, markets, resource centres, educational and other facilities); upgraded the quality of services provided by water, sanitation and drainage systems, roads, bridges and footpaths; and provided skills training towards certification at various levels to enhance employability and income generation capability.

These services were previously unavailable or inaccessible to the targeted beneficiary communities. These BNTF programmes support a socially inclusive development process that empowers the poor and vulnerable and supports institutional development.

Community participation is essential to every intervention as this facilitates local buy-in, supports organisational development, strengthens project management and enhances social capital and resilience within each community.

Successive BNTF Programmes have undergone design modifications and increased resource contributions.

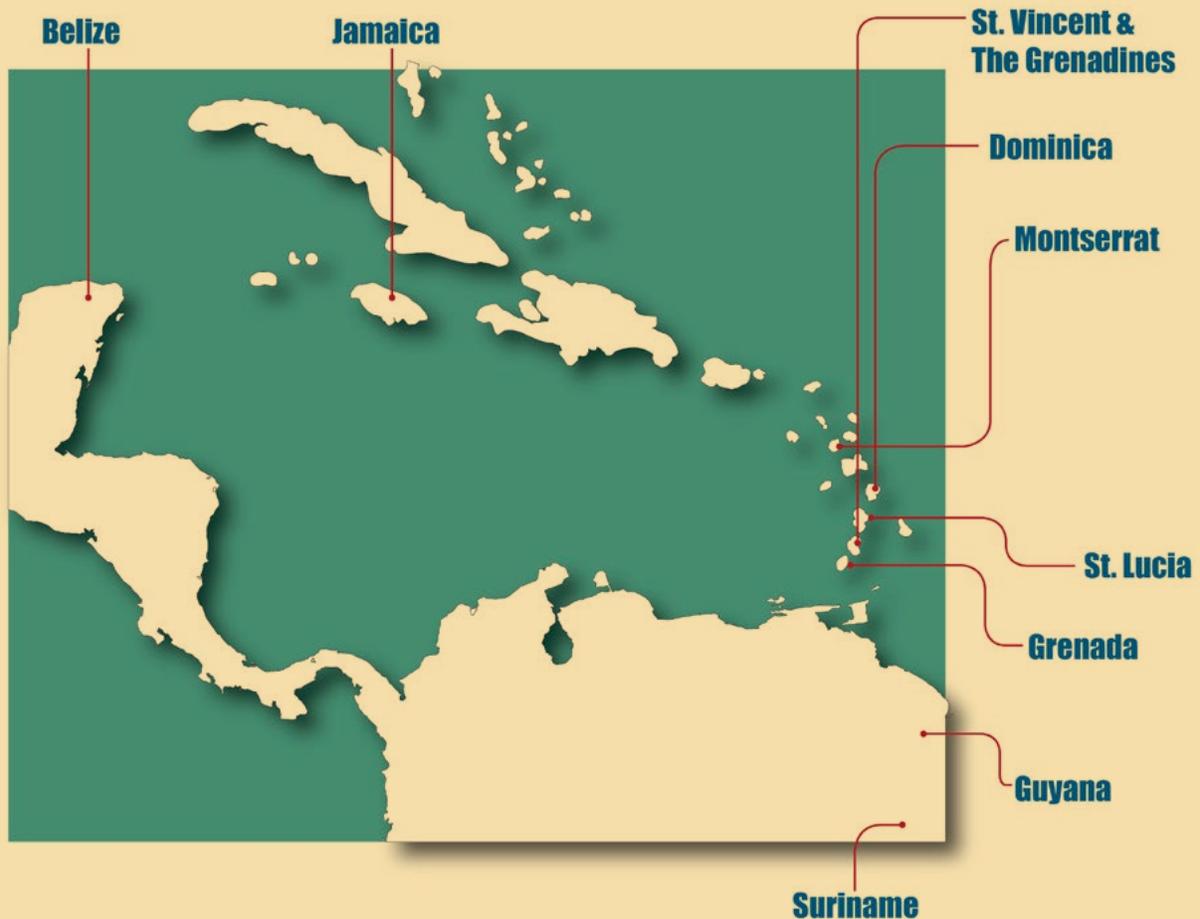
The BNTF Programme continues the focus from previous cycles on community development and has expanded its poverty reduction mandate that addresses efficiency, effectiveness, and sustainability

beyond the lifecycle of the individual sub-projects. Partnerships, intermediaries, and compliance are at the core of the BNTF programme.

**A World Bank report indicates that multiple aggregate shocks, including natural disasters, crime, violence and epidemics, pose major challenges for the most vulnerable residents in the region, particularly in the current context of low economic growth and rising government deficits and places the ... Caribbean one disaster away from falling back into poverty.**

*("Shaking Up Economic Progress: Aggregate Shocks in Latin America and the Caribbean", 2017)*

## BNTF 9 Participating Countries



**Responding to the multidimensional nature of poverty, inequality and vulnerability requires investing in people, the environment, sustainable and affordable energy, institutional efficiency, stability and security as these are key factors to boost economic growth and build social and economic resilience.**

UNDP Caribbean Human Development Report (2016)

## 1.2 The BNTF Structure

There are two components to the BNTF programme:

### Component 1: **Country Projects**

Within PCs, the BNTF Programme is referred to as a Country Project or a Project. Each PC's Project comprises allocations for a number of sub-project interventions; and non-sub-project allocations for local project management support, institutional development, project monitoring and evaluation and project implementation support.

### Component 2: **Regional Coordination**

At the Regional level, the Programme is managed by CDB and comprises allocations for Programme Management Support, Programme Implementation Support and Programme Monitoring and Evaluation (M&E).

There are six main organisational units that shape the BNTF Programme, as follows:

1. **CDB** has responsibility for overseeing the entire BNTF Programme and granting sub-project approvals and other no-objections to the use of Grant funds.
2. The **Oversight Entity (OE)** has overall accountability and responsibility for the coordination of a Country Project in compliance with requirements, standards and covenants set out in the Grant Agreement between each PC Government and CDB.
3. The **Implementing Agency (IA)/Executing Agency** administers and coordinates all functions related to the BNTF Project, including data gathering, procurement, M&E, performance reporting, quality control and management of monitoring and fiduciary systems.
4. The **Project Monitoring Committee (PMC)** participates in the identification, design and monitoring of the implementation of the sub-projects on the community's behalf.
5. **Beneficiary Governments** shall carry out the sub-projects with due diligence and efficiency, in conformity with appropriate administrative, financial, architectural, engineering, and other appropriate standards and practices and in accordance with the sub-project proposals

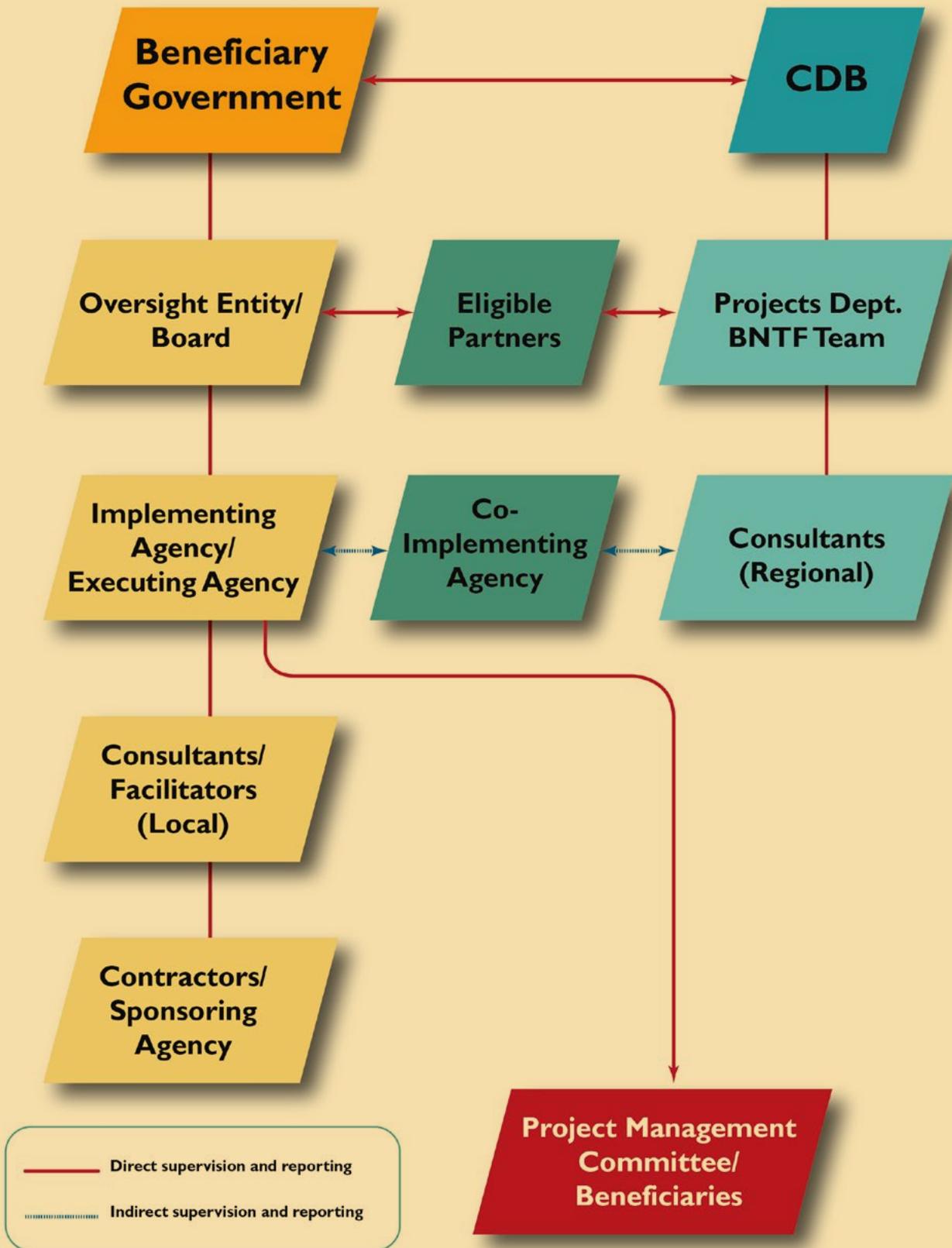
approved by the Bank. The Beneficiary government is obliged to review jointly with the Bank, the membership and role of the OE, select and engage consultants to support the implementation of the Project and the Country Project Completion Report (CPCR).

6. **Eligible partners agencies that** specialise in particular support services and can provide a bridge to more asset-building capital. These can be considered co-implementing agencies. For example, in HRD sub-projects, Ministries of Education (MOE) would be a co-implementing agency.
7. **Consultants** are engaged by the IA to provide design and technical supervision of infrastructure sub-projects. Other consultants may be engaged to support the implementation of the Country Project.
8. **Contractors** engaged for the implementation of approved infrastructure sub-projects.

The relationship between these entities and other stakeholders is detailed in the BNTF Organisational Chart (in Figure 1) and underscored by the principles of good governance.



# BNTF Organisational Chart



**Figure 1: BNTF organisational chart**

## 1.2.2 ROLES AND RESPONSIBILITIES

### 1.2.2.1 What is the role of the Beneficiary government?

The Beneficiary shall carry out the sub-projects with due diligence and efficiency, in conformity with appropriate administrative, financial, architectural, engineering and other appropriate standards and practices and in accordance with the sub-projects proposals approved by the Bank.

The Beneficiary government is obliged to review jointly with the Bank, the membership and role of the OE and select and engage consultants to support implementation of the Project.

### 1.2.2.2 What is the role of the CDB?

The Caribbean Development Bank (CDB) is the administering agency for the BNTF Programme. Its main responsibilities are for the coordination of the Regional component of the Programme. Three main activities coordinated include Programme implementation, monitoring and evaluation and providing management support. Such activities include but are not limited to:

- Conduct project launch workshops in each PC
- Review and give No Objection to requests
- Appraise and approve Sector Portfolios of sub-projects
- Provide project supervision (both desk and country/field visits and review of monitoring reports)
- Select consultants (as required) and administer consultancy service contracts
- Train/attach project staff and CDB staff
- Provide opportunities for consultations and seminars
- Employ a core of support professionals in the BNTF Unit to include Engineers, Gender Specialist, Social Analyst and Programme Assistants; additional resources may be drawn as necessary from other divisions within CDB and/or through external consultancies
- Conduct a Mid-term Evaluation report and a Programme Completion Report of each BNTF Programme cycle

### 1.2.2.3 What is the role of the OE? Ⓡ

The Oversight Entity (OE) is established by the government of the PC, and has overall responsibility for the execution of the Project in compliance with requirements, standards and covenants set out in the Grant Agreement between the Government and CDB. The Chairperson will report directly to the Permanent Secretary of the Executing Ministry.

### 1.2.2.4 What is the Role of the IA?

The Implementing Agency (IA) administers and coordinates all functions related to the BNTF Programme including data gathering, M&E, performance reporting, quality control and the management of monitoring and fiduciary systems.

### 1.2.2.5 What is the role of the Project Manager? Ⓡ

The Project Manager (PM) heads the IA and has oversight for the management of staff and other resources, including consultants and other technical experts. The PM is an ex-officio member and Secretary of the OE. Through the Chairperson of the OE, the PM will report on the day-to-day operations of the IA. The PM will be responsible for establishing and maintaining contact with the relevant government ministries, non-governmental organisations (NGOs), civil society organisations and the private sector and for negotiating integral partnerships. As head



of the IA, the PM will have ultimate responsibility for managing project resources and all IA staff and supervising the implementation of all sub-projects.

#### 1.2.2.6 What is the role of the CLO? Ⓡ

The Community Liaison Officer (CLO) in the IA is responsible to the PM for facilitating the active involvement of communities in the identification, formulation and implementation of all sub-projects funded by the Project. The CLO is expected to take the lead for the IA team in project cycle activities related to skills training sub-projects.

#### 1.2.2.7 What is the role of the AO? Ⓡ

The Administrative/Accounting Officer (AO) is responsible to the PM for the operation of the financial and administrative systems, preparation of budgetary and financial reports, financial statements, the annual budget, withdrawals and disbursement requests and preparation of inputs for the financial and performance audits.

#### 1.2.2.8 What is the role of the PMC?

The Project Monitoring Committee (PMC) provides the means for community participation and a focal point for community contact during the sub-project lifecycle (identification, preparation, implementation and operation phases) of each sub-project.

#### 1.2.2.9 What is the Role of the M&E Officer? Ⓡ

The Monitoring and Evaluation (M&E) Officer reports to the PM and is responsible for evaluating project performance and impact.

#### 1.2.2.10 What is the Role of the Project Engineer? Ⓡ

The Project Engineer (PE) is responsible to the Project Manager (PM) for the preparation, formulation and implementation of all infrastructure sub-projects funded by the Project. The Project Engineer is expected to take the lead within the Implementing Agency (IA) in project cycle activities related to infrastructure sub-projects.

#### 1.2.2.11 What is the Role of the Consultants and Contractors?

Each IA should maintain a database of pre-qualified contractors (containing information on the technical and financial capacity of contractors, type and size of suitable contract, and the contractor's geographical/location availability).

Consultants and local contractors can make valuable contributions to BNTF-supported initiatives. Moreover, employing local people contributes to the BNTF strategy of helping people to escape from poverty – through their participation in the sub-project, they can learn new skills and earn additional income. These people may be women or men, youth or adults, artisans, skilled and semi-skilled craftsmen, and services providers. The IA takes responsibility for selecting and hiring suitable consultants and contractors for each sub-project.

#### Consultant - Project Preparation Specialist Ⓡ

The Project Preparation Specialist (PPS) works as a consultant and reports to the Project Manager (PM). The PPS is responsible for assisting with the preparation of BNTF sub-projects that satisfy quality at entry standards for appraisal.

#### Consultant - Project Implementation Support Specialist? Ⓡ

The Implementation Support Specialist (ISS) works as a consultant and reports to the Project Manager. The ISS is responsible for implementing BNTF projects to best practice standards so that they can achieve maximum outcomes and impacts as quickly as possible.



## 1.3 Talking Points: Understanding the BNTF

### DESCRIPTION

- ✦ A CDB grant-funded programme with counterpart contributions from PCs
- ✦ Started in 1979
- ✦ A key CDB instrument for addressing poverty reduction
- ✦ Provides access to basic social and economic infrastructure and services for disadvantaged, specific geographical or communities of interest
- ✦ Aligned with Sustainable Development Goal (SDG) 1: Ending Poverty in all its forms as well as SDGs 4, 5, 6, 7, 8 and 17
- ✦ Anchored on meaningful community participation
- ✦ Consistent with the ninth cycle of the Special Development Fund theme of strengthening poverty reduction and human development
- ✦ As at February 2017, implemented over 2,700 projects directly impacting more than 3 million people
- ✦ PCs are CDB Group 2 Borrowing Member Countries

### EXPECTED OUTCOME

- ✦ BNTF is expected to improve access to quality education, water and sanitation, basic community access and drainage, livelihoods enhancement and human resource development services in low-income, vulnerable communities.
- ✦ These countries are likely to achieve better access to basic public services through social and economic infrastructure improvements and to develop skills that enhance employability, community management and engagement.

### APPRAISAL

- ✦ Sector Portfolio approach to sub-project preparation and appraisal.
- ✦ Sub-projects with similar outcomes are grouped together within a sector appraisal document.
- ✦ This achieves efficiency and effectiveness gains and also positions BNTF intervention in the sector. Further, it anticipates the likely results of BNTF interventions holistically from the outset.

### FOCUS

- ✦ The BNTF targets its resources at the poor, marginalised and most vulnerable.
- ✦ A demand-driven and outcome-based approach to training and livelihood enhancement for vulnerable youth and marginalised communities

### APPROACH

- ✦ Meaningful community engagement throughout the project lifecycle is integral to the BNTF programme approach.
- ✦ Community engagement facilitates ownership, maximises project impact and enhances social capital.



## 1.4 BNTF Priority Focus

The BNTF priority areas of focus are detailed below:

### EDUCATION, HRD AND LIVELIHOODS ENHANCEMENT

- ✦ The quality of education is improving, thanks to the ongoing prioritisation of teaching efficiency, enhancing the learning environment and related BNTF initiatives such as the CDB/UNICEF “Caribbean Early Childhood Good Practice Guide” published in 2016.
- ✦ Early Childhood Development (ECD) participation rates are low, particularly for the 0-2 age cohort (data shows less than 40% gross coverage for day-care services, and 70% for pre-school provision).
- ✦ ECD is largely private sector-led, characterised by relatively high cost and variable quality; this severely affects children in economically depressed communities.
- ✦ BNTF’s investment in the sector spanning Cycles 5, 6, 7 and 8 included approximately 374 sub-projects amounting to approximately \$62.7 mn.
- ✦ Certifying skills training programmes serve to enhance the employability of trainees
- ✦ Livelihoods and entrepreneurship interventions provide assets, facilitate micro-finance and strengthen wrap-around services to build collaboration among service providers to improve the lives of beneficiaries.

### WATER AND SANITATION SYSTEMS ENHANCEMENT

- ✦ Given the risks associated with lack of access to potable water supply and sanitation services, participating countries have (over the past two cycles of the programme) made significant demands on BNTF water and sanitation funding.
- ✦ Given the severe health risks associated with lack of access to potable water supply and sanitation services, \$31.2 mn, representing 238 sub-projects, was invested under BNTF 5, 6, 7 and 8 to assist with the mitigation of these risks.
- ✦ For many participating countries, climate change negatively impacts both the supply and demand of water resources, through an increase in the severity and incidence of extreme weather phenomena such as droughts and floods.
- ✦ This further complicates the processes of development and management of water resources; the poor (especially women and children) invariably continue to be the most affected.
- ✦ Provision of solar powered water pumps and solar panels in the design of water systems in remote hinterland areas of Guyana improved sustainability. These components saved scarce resources by avoiding the purchase of diesel generators and fuel thus reducing hydrocarbon emissions and maintenance costs.
- ✦ BNTF country projects have increasingly emphasised climate change mitigation focused on promoting the use of renewable energy and energy efficiency.



## 1.5 Key Considerations

### BASIC COMMUNITY ACCESS AND DRAINAGE IMPROVEMENT

- Key issues facing the road infrastructure sector are inadequate funding and attention to preventative, routine, and periodic maintenance.
- Secondary or minor roads not prioritised for development which leaves poor residents and communities vulnerable.
- The lack of proper roadside drainage structures
- The higher cost and vulnerability of road networks and infrastructure in both mountainous and low-lying areas (more prone to landslides/slippage, flooding and storm surge damage following extreme weather events)
- Under BNTF 5, 6, 7 and 8 approximately \$22.9 mn was invested in the construction of 216 sub-projects in poor, vulnerable communities.
- In all sectors, the absence of a culture of maintenance depletes the quality of the stock of community facilities.



### GENDER EQUALITY

- Women account for 67% of the economically inactive population and are over-represented among the unemployed.
- Only 55% of adult women are in the labour market, versus 78% of men; there is a wage gap (the ratio of the wage of a woman to that of a man in a similar position) and income gap (the ratio of the total wage and non-wage income of women to that of men)
- Women are significantly disadvantaged in accessing credit, land, and/or financial products, which stymie opportunities for them to start businesses or make a living by managing assets.
- Across the region, women increasingly migrate from rural areas for in search of employment opportunities as “domestic workers” in private households in small firms/less profitable sectors of the economy, or in the informal sector with little protection or job security
- In rural communities, women typically work as unpaid family labourers and on small farming plots.
- The burden of care is increased for poor women, as living conditions and the welfare of poor families are challenged by inadequate provision of basic services (including potable water supply) and ongoing erosion of social safety nets.
- Gender-stereotyping in skills area selection has resulted in the under and over-representation of women in a number of fields.
- A greater percentage of female-headed households than male-headed households are in poverty as female-headed households have more dependent persons of working age and their households tend to be larger in size.

## POVERTY

- Over a period of 20 years, CDB's Country Poverty Assessments (CPAs) have shown that income poverty continues to be a major developmental challenge for CDB-categorised Group 2 countries (despite decreasing poverty levels in some countries).
- CDB's experience also points to the complexity of the poverty challenge (beyond just income) which requires attention be paid to the multiple facets of the poor's experience of deprivation. (Multidimensional poverty considerations).
- Poverty is prevalent in at-risk groups: indigenous people, the elderly living alone, those affected by disability, children/school-aged youth (especially those in female-headed households), single parent households, and households with large numbers of youth and elderly dependents, indigenous and maroon groups. These groups also experience the highest level of social exclusion and vulnerability in the Caribbean.
- There is also the need to build resilience to mitigate the risks associated with environmental vulnerability, which exacerbates the social vulnerabilities and could reverse years of progress of families and communities, thus contributing to the poverty challenge.
- Country specific poverty and consumption expenditures data reveal that vulnerability and inequality levels remain high among BMCs (CDB, 2016).
- Poverty rates are higher for women than men especially.

## YOUTH AT RISK (YAR)

- Youth unemployment in the Caribbean is among the highest in the world and was estimated to be over 25% when compared with other regional groups, with employment among young females and males standing at 30% and 20% respectively.
- All youth (especially at-risk young males) face critical challenges that typically result in under-participation in the education sector, significant academic gaps, high unemployment, a growing sense of disenchantment, marginalisation and social exclusion.
- Vulnerable young females also face challenges of low skills, gender stereotyping in the labour market, and teenage pregnancy.

## ENVIRONMENTAL SUSTAINABILITY, CLIMATE CHANGE RESILIENCE AND DISASTER RISK MANAGEMENT

- Climate change is a major obstacle to continued poverty reduction efforts.
- The sectors financed by the BNTF Programme are particularly vulnerable to climate variability and climate change.
- Adaptation to climate change is a priority for ensuring the long-term effectiveness of investment in poverty reduction and sustainable development.
- Climate change mitigation efforts focused on promoting the use of Renewable Energy and Energy Efficiency (RE EE) are being increasingly emphasised

**Only 55% of adult women are in the labour market, versus 78% of men.**

## PARTNERSHIPS

- ✦ The partnership thrust is geared towards facilitating long term social impact and economic development in the PCs while generating returns for companies and governments.
- ✦ Partnerships can take a number of different modalities, both financial and non-financial support for implementation or secondments from the private sector to IAs.
- ✦ There is also the potential for 'knowledge' partnerships with universities and think-tanks.
- ✦ Funds can be received at the Programme level through a contribution agreement negotiated and executed with CDB.
- ✦ Funds can be provided to a BNTF Country Project in a BNTF participating country, by financial agreement between the local BNTF Implementing Agency (Government's representative) and the eligible partner, for application to a sector portfolio of interventions in one or more of the three sectors currently supported by the Programme (Education, Water and Sanitation and Transport)
- ✦ Funds of a smaller magnitude can be provided, by financial agreement between the local BNTF Implementing Agency and the eligible partner, for the benefit of one particular intervention/sub-project in a Country Project.
- ✦ Eligible partners for BNTF are classified as CDB member governments, Agencies, Regional and international organisations such as the Food and Agriculture Organization, Green Climate Fund and Adaptation Fund, and agencies which specialise in particular support services; NGOs; charities and civil society organisations (for example, Rotary Club); business associations; chambers of commerce; and private companies through their corporate social responsibility (CSR) programmes (especially those which emphasise environmental, social and governance investment considerations).

## LIVELIHOODS

- ✦ Livelihoods sub-projects are specifically designed to generate sustainable income, directly promote asset ownership and accumulation, and enhance food security.
- ✦ While BNTF has promoted livelihoods over previous cycles, the expanded livelihoods enhancement mandate places the assets-poverty relationship at the core.

## RENEWAL ENERGY AND ENERGY EFFICIENCY

- ✦ BNTF encourages building awareness among stakeholders on green building standards, the use of renewable energy technology, energy efficiency and energy conservation techniques in sub-project design.
- ✦ Climate change mitigation efforts focused on promoting the use of renewable energy and energy efficiency are being increasingly emphasised in BNTF country projects. To date, BNTF sub-projects include Photo Voltaic (PV) components, generating electricity for schools and health centres, and facilitating efficient and cost-effective distribution of water to villages and residents.

### QUICK LINKS TO RESOURCES:

- ✦ [Draft TOR – The Oversight Entity](#) ⬇
- ✦ [Draft TOR – Project Manager](#) ⬇
- ✦ [Draft TOR – Community Liaison Officer](#) ⬇
- ✦ [Draft TOR – Administrative/Accounting Officer](#) ⬇
- ✦ [Draft TOR – Monitoring and Evaluation Officer](#) ⬇
- ✦ [Draft TOR – Project Engineer](#) ⬇
- ✦ [Draft TOR – Project Preparation Specialist](#) ⬇
- ✦ [Draft TOR – Implementation Support Specialist](#) ⬇



## CHAPTER 2: THE COUNTRY POLICY FRAMEWORK

The Country Policy Framework (CPF) prepared by each PC serves to operationalise the country strategy by converting it to a practical set of project priorities that conform to overall policy priorities attached to a financing plan for the BNTF project cycle.

The CPF is intended to be an evidence-based framework that reflects wider national policies aimed at reducing poverty. Data is derived from national poverty reduction strategies, economic strategy papers, CDB country strategy papers, consultations and other relevant sources.

#### What is the purpose of the CPF?

The CPF helps to explain and analyse the strategic intent and direction of the country's BNTF Project, and to prioritise sub-projects for completion. It is a BNTF Project Portfolio Management tool which supports centralised management of the national project. Moreover, it highlights the contribution of the BNTF national project to poverty reduction goals that are closely aligned with national targets.

#### What should the CPF do?

- List and describe the priority sectors and the indicative sub-projects on requests received [link to sub-project request form] or sub-project proposals which are expected to comprise the BNTF portfolio, based on the findings of an evidence-based prioritisation of resources
- Organise and establish the planning of the national BNTF Project
- Match resources to poverty-reduction priorities in specific sectors and other key areas, and

contribute to a more streamlined preparation and appraisal process

- Present the BNTF Project as an in-country poverty reduction instrument
- Note that Preparation of Risk Assessment and Management is carried out when developing the CPF.

## FAQ: WHAT IS THE VALUE OF THE CPF?

To provide a practical proposal for:

### 1. Resource allocation - which projects are forecast for what activities:

#### *Community social infrastructure (investment projects)*

- \$ Water and sanitation
- \$ Access roads
- \$ Schools
- \$ Renewable energy and energy efficiency

#### *Livelihoods (assets, capabilities & skills, self-efficacy, training, legislation)*

- \$ Asset distribution projects
- \$ Access to credit
- \$ Technical skills training, life skills, counselling
- \$ Entrepreneurship and market skills
- \$ Improving the 'doing business' environment for the most vulnerable

### 2. Disbursement and expenditure forecast: how much will be disbursed and when?

## CPF → CNAA Sector Portfolio



## 2.1 Multi Year Financing Plan

Additionally, the Multi-year Disbursement Forecast is included in the CPF at the beginning of a BNTF Programme cycle. This forecast should specify the activities to be undertaken in the years ahead, along with the expected output and expenditure-based budgeted costs.

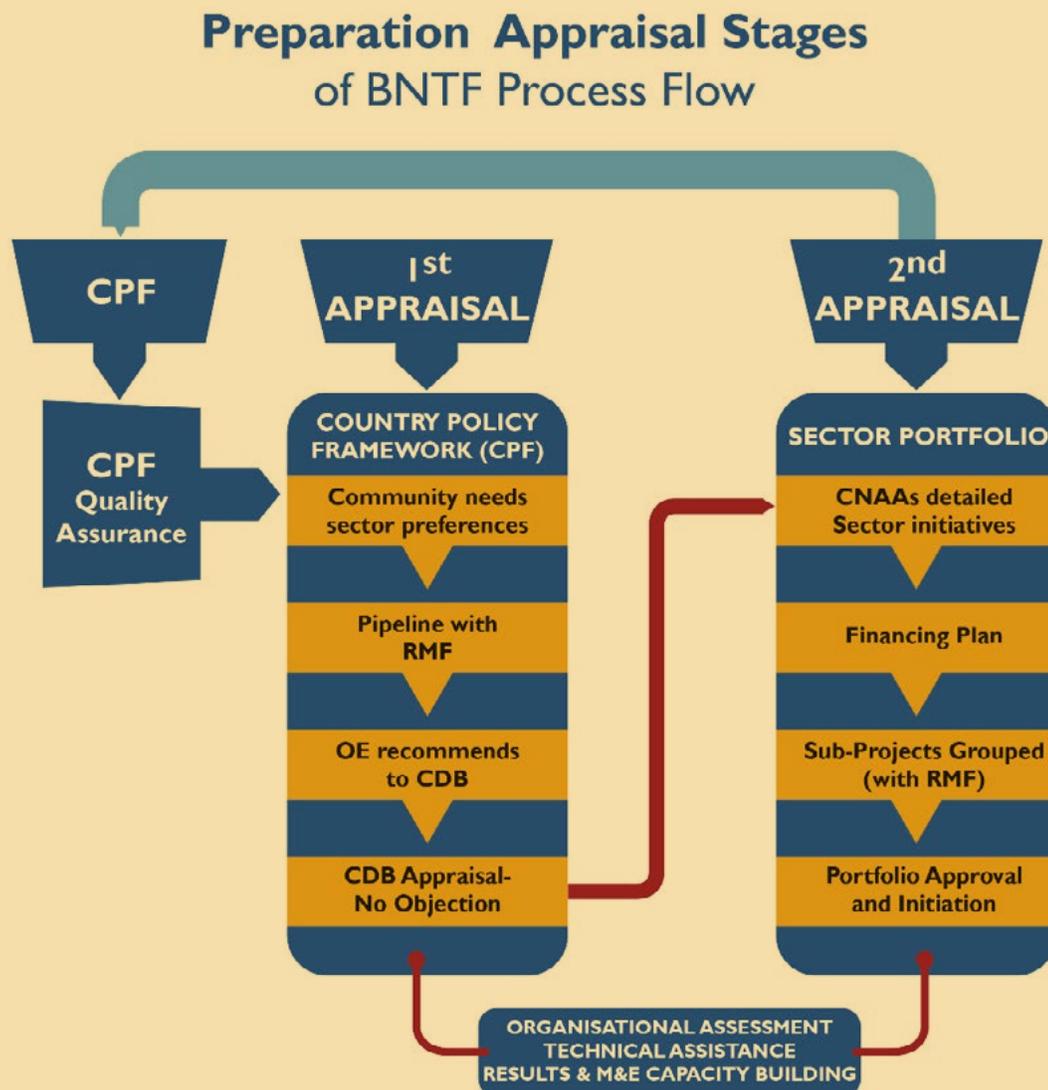
In November every year, up to the end of the BNTF Programme cycle, the IA should review and re-submit this forecast.

## 2.2 Appraisal by CDB

Appraisal takes place at two levels: CPF level and the Sector Portfolio level.

CDB staff and consultants support IAs in preparing the CPF with a notional programme of support within each identified sector. Agreed acceptance criteria guide the selection of interventions in each sector, and within the context of sector strategies, while ensuring the participation of communities and stakeholders.

The two main stages of the preparation and appraisal phase are explained in detail here in Figure 2: the CPF and the Sector Portfolio.



**Figure 2: Preparation Appraisal Stages**

## KEY POINTERS TO THE APPRAISAL AND APPROVAL PROCESS

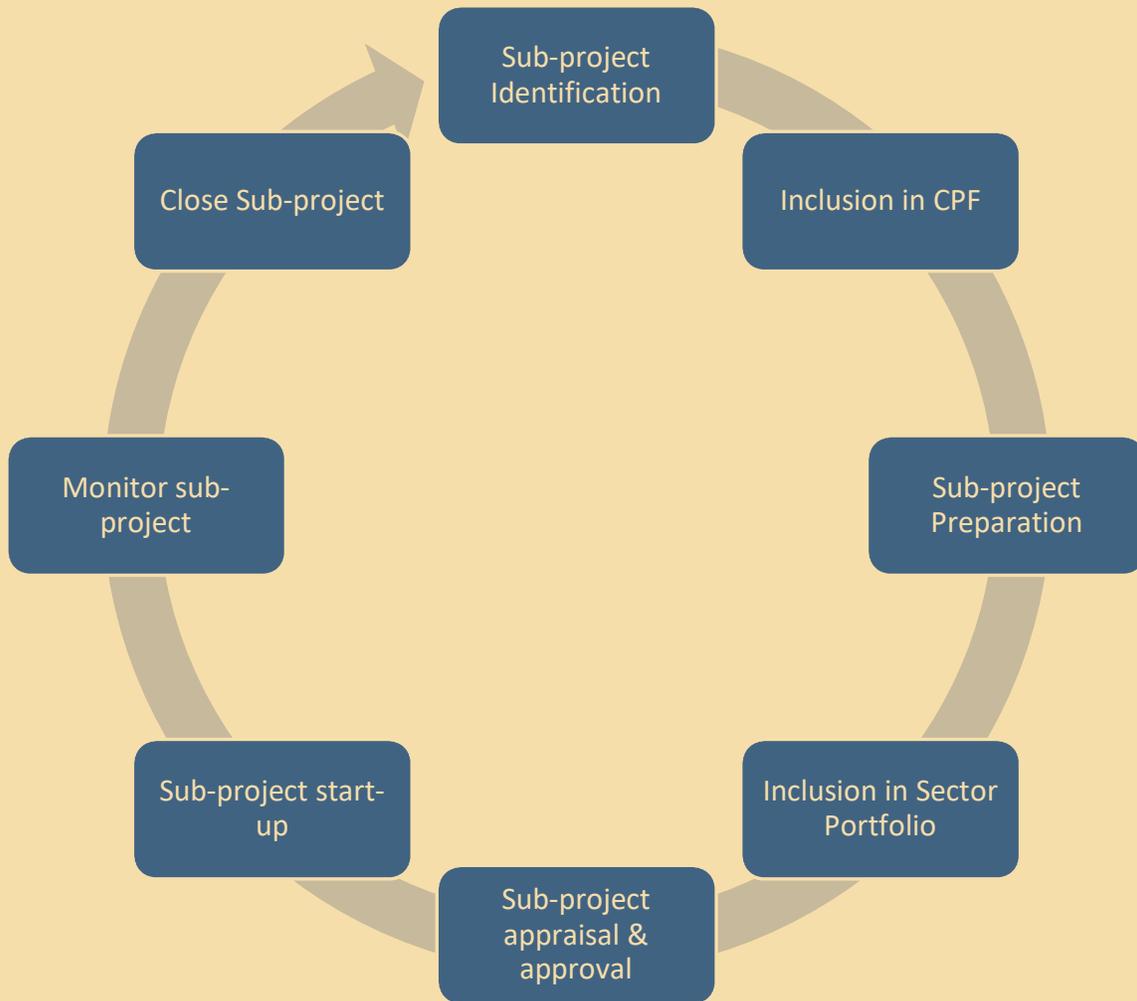
- 🔑 Stakeholder dialogue at project/sub-project identification and preparation
- 🔑 Acceptance criteria to be provided by CDB
- 🔑 Baselines to be developed with indicators
- 🔑 Sub-project proposals to demonstrate clear linkages to sectors plans
- 🔑 At a regional level, CDB may support measures to improve participating country (PC) capacity
- 🔑 At the country level, CDB incorporates technical assistance into the design of projects to support improved maintenance management



## CHAPTER 3: THE SUB-PROJECT APPRAISAL AND APPROVAL PROCESS

All BNTF supported sub-projects go through a number of steps along their lifecycle as outlined below in figure 3, moving from sub-project identification

through proposal and preparation, appraisal, approval to implementation, to monitoring and evaluation and to close-out.



**Figure 3: Sub-Project Lifecycle**

Figure 4 sets out the **four critical steps** (activities and decisions) that are required in order to advance a sub-project through from identification to approval.

**Step 1: Project Identification**

It is easy for a group representing a geographical community or community of interest to submit a request for specific support or intervention using the sub-project request form. The request must be logged,

along with all other sub-project requests received whether considered for funding or otherwise, in the Sub-Project Register (SPR).

The SPR will be reviewed periodically by the OE and CDB staff as part of supervision.

**Step 2: Country Policy Framework**

As discussed in Chapter 2, the CPF is an evidence-based framework that should provide the following:

# Sub-Project Appraisal & Approval Process

From Identification to Approval



**Figure 4: Sub-Project Appraisal & Approval Process**

- Reflect the country’s approach to alleviating, mitigating and/or reducing poverty in the short to medium term
- Detail the country’s poverty situation, based on an analysis of existing or new data
- Based on the country’s national development priorities and available resources, it should state the poverty-reduction priorities in the short to medium term, and the strategies that are to be implemented to address these priorities (including resources available from the BNTF).

Use the allocation of resources template to inform the allocation and distribution of BNTF funds for sub-projects contained in the country policy framework

## ISSUES TO BE ADDRESSED IN THE CPF ⬇

- ☑ Obstacles to poverty reduction
- ☑ Gaps in services in poorest communities
- ☑ Objectives and targets
- ☑ Strategy/Action plan, including community transformation to stem poverty
- ☑ The participatory process
- ☑ Results monitoring and evaluation systems
- ☑ Cross-cutting issues

## TIPS FOR IMPROVING THE CPF

- ☑ Ensure the CPF specifies national priorities for poverty reduction
- ☑ Clearly state goals, indicators and targets, demonstrating alignment with national and sector priorities
- ☑ Specify how national-level and community-level strategies in health, education, water, roads and HRD are expected to reduce poverty (on an annual or multi-annual basis)
- ☑ Specify how BNTF interventions are to be coordinated with the government/NGO/CBO and private-sector interventions to achieve the targets identified at community level

## Step 3: Sub-Project Proposal/Preparation ⬇

The next step is to complete a sub-project proposal which is led by the Community Liaison Officer (CLO) with the assistance of the Project Engineer (PE) and done with the consultation of the requesting group/community.

The process of preparing this proposal allows the CLO/PE and the community to discuss and work out the details of the proposed sub-project (scope/budget etc) and to agree on the likely results of the initiative. This unique engagement process strengthens sub-project design and during implementation the continuous use of participatory approaches is an essential modality of the BNTF programme. Further, continuous engagement and involvement of the communities throughout all components of the sub-project lifecycle are aimed at improving the sustainability, resilience and impact of sub-project interventions while enhancing community ownership.

Sub-project proposals can be submitted at any time but preferably just prior **to the availability of funding**. The Implementation Agency (IA) will collate a prioritised pipeline of proposals by sector. At the beginning of a BNTF programme cycle, a pipeline of such prioritised proposals are used to develop the Country Policy Framework (CPF) as described in Chapter 1.

**A prioritisation tool** 📌 is used to assist the participating countries rank sub-projects especially when they have received an extensive list of requests. Table 1 provides a guide to the criterion and associated weights.



**Strengthening the engagement process in project design and in the implementation of projects through the use of participatory approaches is an essential consideration of the BNTF programme. Continuous engagement and involvement of the communities throughout all components of the project lifecycle are aimed at improving the impact of projects and enhancing community ownership.**

**Table 1: Guide to the Criterion and Associated Weights**

Criterion and Weight	Summary Narrative (Scores range from a low of 0 to a high of 5)
Focuses on poor community (30%)	<p>As evidenced by explicit references said community in the PRAP or recent CPA, Survey of Living Conditions as being among the poorest communities:</p> <p><i>Here a project can attract a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if community (or Parish where the community is situated) where project is to be implemented has been identified in the Country Poverty Assessment or PRAP or other official documents as being among the poorest;</li> <li>✓ 3 if it is a community in transition out of poverty or a community which is not considered very poor but has noticeable pockets of poverty,</li> <li>✓ 0, 1 or 2 if the project is being implemented in a community/parish which was not identified as being poor;</li> </ul>
Empowers Communities (15%)	<p>The implementation strategy and outcomes contribute to social and economic advances:</p> <p><i>Here a project can earn a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if it is focused on training and skills development or an activity which has the potential to or will lead directly to improved social and economic welfare;</li> <li>✓ 3 if there is some indirect benefit in this regard;</li> <li>✓ 0, 1 or 2 if the project would negligible or no impact in these areas at all.</li> </ul>
Promotes Gender Equity (15%)	<p>The implementation strategy and outcomes contribute to reducing stereotypes; enhances the economic and social advancement by women where there is evidence that they are in a less advantageous position relative to men; or enhances the social and economic advancement of males where there is evidence that they are in a less advantageous position relative to females.</p> <p><i>Here a project can attract a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if there is a deliberate strategy to reduce the impact of barriers, stereotypes and practices which place men or women at a disadvantage as compared to one another;</li> <li>✓ 3 if there is some indirect benefit to be gained;</li> <li>✓ 0, 1 or 2 if there is likely to be no obvious impact;</li> </ul>
Does not negatively impact environment (15%)	<p>There is little possibility of adverse effect or conversely there is a high probability there will be improvements to the environment:</p> <p>As evidenced by an application/request directly from the community:</p> <p><i>Here a project can gain a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if it improves the environment and reduces risk;</li> <li>✓ 3 if there is likely to be no impact on the environment;</li> <li>✓ 0, 1, or 2 if there is likely to be a negative impact on the environment;</li> </ul>
Community-driven 10%	<p>As evidenced by an application/request directly from the community:</p> <p><i>Here a project can gain a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if it originates from a community, community group or NGO etc. from within the targeted community;</li> <li>✓ 3 if project is presented on behalf of the community by a civil society organisation or NGO etc. from outside of targeted community.</li> <li>✓ 0, 1, or 2 if presented on behalf of the community by a Government agency, official or such entity;</li> </ul>
Dovetails into National Priorities (10%)	<p>As evidenced by references in the PRAP or other National or Sectorial Policy documents:</p> <p><i>Here a project can be awarded a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if there is an explicit policy statement(s) related to it;</li> <li>✓ 3 if policy is not specific but if inferences can be drawn from what is stated or based on practice in that field;</li> <li>✓ 0, 1, or 2 if there are no policy statements evidenced;</li> </ul>
Organisational Capacity (5%)	<p>As evidenced by explicit outcome statements, strong leadership within the beneficiary community and high level of involvement in design of community actions:</p> <p><i>Here a project can gain a score of:</i></p> <ul style="list-style-type: none"> <li>✓ 4 or 5 if all agencies or entities engaged in implementation a have a recognised track record of great project management and implementation;</li> <li>✓ 3 if there is some capacity which can be strengthened;</li> <li>✓ 0, 1 or 2 if there is little or no capacity (This can be turned into a higher score if Capacity building/ Strengthening is built into the project at this juncture)</li> </ul>

**Integral to the preparation of the proposal is completion of a Sub-Project Profile which should be prepared and submitted for review by the OE and CDB.**

The Sub-Project Profile  contains all the relevant information about the indicative sub-project including

risks and economic analysis and is accompanied with supporting documents which include the Community Needs Assets Assessment (CNAA), Organisational Needs Assessment ONA and Gender Checklist (GC).

A sample of a completed Sub-Project Profile is detailed in Figures 5 and 6 below

**BASIC NEED TRUST FUND  
SUB-PROJECT PROFILE FORM**

**COUNTRY:** |

**SUB-PROJECT TITLE:** Gales Point Manatee Preschool Substitution and Rehabilitation of Primary School.

**Part 1: THE APPLICANT**

1. **Name of Co-implementing Agency:** N/A
2. **Name of Requesting Organization:** Parent Teachers Association (PTA) and Gales Point Manatee Village Council.
3. **Name of Community group:** N/A
4. **Contact Information:**

**Name:** Ms ~~Shermadine~~ Shermadine Samuels  
**Designation:** Principal Gales Point Manatee Primary School  
**Phone:** 501 12341234  
**Email:** shermadoe@yahoo.com
5. **Date sub-project request received:** September 11, 2019

**Part 2: PROPOSED SUB-PROJECT**

6. **Estimated Costs**

(USD)				
CDB	Government	Community Contribution	Other	Total
US\$256,500.00	US\$11,000.00	US\$2,500.00	US\$0.00	US\$270,000.00

**Did this project receive funding from a previous BNTF cycle:**     Yes     No

If yes, indicate:

BNTF Cycle	Amount Financed

7. **Location of the sub-project:**

**Road:** Coastal Road  
**Village/Community:** Gales Point Manatee Village  
**Parish/Region/District:** Belize District  
**Area:**  
 Urban       Rural       Peri-urban

8. **Poverty Level:**

1                       2                       3                       4                       5

9. **Type of Sub-project:**

Infrastructure                       Human Resource Development

10. **Sector intended to support:**

Education                       Transport and Storage                       Water and Sanitation

**Figure 5: Sub-Project Profile Form - part 1**

**BASIC NEED TRUST FUND  
SUB-PROJECT PROFILE FORM**

**11. Specific considerations/cross cutting themes to be addressed:**

- |   |  |   |   |
|---|--|---|---|
| <input type="checkbox"/> Vulnerable youth                       | <input type="checkbox"/> Gender equality | <input checked="" type="checkbox"/> Environment/natural disaster management | <input checked="" type="checkbox"/> Climate change resilience |
| <input type="checkbox"/> Renewable Energy and energy efficiency | <input type="checkbox"/> Maintenance     | <input type="checkbox"/> Citizen Security                                   |   |

12. **Sub-sector(s) CRS in this sector:** DAC: 110; Sector: Education; Sub-Sector: 11120: Education facilities.

13. **Activities being supported:** Education – Primary school facilities; School furnishings and supplies; Enabling Environment.

14. **Criteria used to select this sub-project:** Disrepair and Safety: The status of physical condition of the buildings/facilities poses an environmental threat and is not conducive for learning/teaching; the preschool building is a safety hazard to the preschool children and poses an imminent danger to the school's youngest population.

**15. Sub-project Description:**

- a. **Problem to be addressed:** Unfavourable classroom conditions;  
Unsafe building in a dilapidated condition  
Unhygienic bathroom
- b. **What will be done to address the Problem:** Construction of a new 1600 sq ft preschool concrete building with proper lavatory facilities and supply of students and teacher furniture.  
Construction of a chain link security fence around perimeter of preschool.  
Rehabilitation of the existing 2,400 sq ft primary school concrete building and supply of students and teachers' furniture.

**16. Ownership of property:**

- a. **Building:**  
 Privately owned/  
Government assisted       Denominational owned/  
Government assisted       Publicly owned       not applicable
- b. **Building owned by:** Government of Belize
- c. **Land:**  
 Privately owned       Denominational owned       Publicly owned
- d. **Land owned by:** Government of Belize
- e. **If privately owned or Denominational owned, is there an existing Long-term lease? (if yes, include copy of the lease)**       Yes       No
- f. **If privately owned, has the land been acquired?**       Yes       No
- g. **Has compensation been completed for the property?**       Yes       No
- h. **Have the parties/owners of the land and building agreed to this sub-project?**       Yes       No

**Figure 6: Sub-Project Profile Form - part 2**

## 3.1 Preparing Supporting Documentation for the Sub-Project Profile

### 3.1.1 COMMUNITY NEEDS ASSETS ASSESSMENT (CNAА)

This is a data gathering and planning instrument. It helps to identify the positive capacities and assets in a community or in an area that can be mobilised for collective action.

Furthermore, it helps to analyse the kinds of resources/assets available and needed in the targeted communities/areas. The CNAА ensures that plans consider what is already available in the community and what gaps exist. Additionally, it assists with the prioritisation of needs/issues to be addressed.

Use Table 2 as a guide to preparing the CNAА.

The CNAА is led by the CLO with the involvement of community residents. Consultants can also contribute, as necessary.

The CNAА report should be presented as follows using the CNAА template: [📄](#)

**Table 2: Preparing the CNAА**

Sector, problem, issue to be addressed by BNTF (and partners) as highlighted in the CPF	Geographic area of the community	Assets/resources needed	Assets/resources available (including new policy frameworks which have a direct focus at community level)	Institutions/associations/industries in the community (including local businesses, economic linkages, hospitals, specialist groups)
E.g., citizen security, youth crime				
E.g., micro-enterprise				
E.g., early childhood development				

**Section 1:** Briefly (½ page) describe how the CNAA was conducted. Include information on:

- Methods used (household interviews, transects walk, community mapping, etc.)
- Amount of time spent in the community, including dates of visits
- Dates of community meetings, number of people who attended (men, women, youth, elderly), number of people spoken with, names of partner organisations involved in the CNAA

**Section 2:** Provide the CLO’s analysis of the community in terms of the sub-project and a critical assessment of issues facing the community. Consider the following guiding questions:

1. What are the community’s greatest assets/deficits? Examples include:
  - Sense of co-operation
  - Community networks
  - Livelihoods context
  - Relationships of trust, partnership and collaboration
  - Participation by a representative range of community members
  - Motivation and commitment
  - Leadership (by men/women/youth)
  - Capacity to identify and solve problems
2. Why was the sub-project selected as the main priority in the community? Name two other top priorities listed by the community and explain why the sub-project was considered a greater priority.
3. What are the key challenges, related factors/issues and possible solutions identified by community members? Is there general consensus in the community on these challenges, issues and solutions?
4. What are the livelihood status, patterns and strategies of vulnerable individuals and households, how do these change over time, and what are the key features or constraints affecting people’s options? What institutions are at work to facilitate or inhibit these choices or actions? What are the risks and vulnerabilities to livelihoods in targeted communities? How will interventions likely impact the livelihoods context?

5. Is there a sense that a broad cross-section of the community has been heard? What are the dissenting views on the sub-project?
6. What are the main challenges that may arise in the process of implementing the sub-project? What measures should be put in place to address these challenges?
7. Will the sub-project help the community organise to address the challenges they face? What, if any, additional support could BNTF provide to enhance this?

**Section 3:** Provide a summary (maximum of 2 pages) of the CNAA findings, based on the information collected. Include relevant information both from the assessment and the CLO’s analysis. Note that – at the sub-project identification and design stage – this summary is to be included in the project submission to the Oversight Entity (OE). It is also included in the Sector Portfolio. The CLO may be requested to provide additional background or supporting evidence.



## Sample: Extract from Summary Assessment from CNAA Gales Point Manatee Government Preschool Centre

The Gales Point Manatee Preschool was initiated in 2002 by the Young Women Christian Association (YWCA). It commenced as a support intervention for trainee women who required childcare during a YWCA course at the Village's community centre. The preschool served both mothers and children well on the lower flat of the community centre until 2007 at the close of YWCA's program when the preschool was transferred to the GPMGPS' administration. One of the School's classrooms on its compound, a Mennonite type timber structure, was prepared for the fifteen (15) preschoolers.

The preschool continues to occupy the timber structure raised at one concrete block's height with loose concrete blocks for the stairway. With one general space and a partitioned bathroom, the building accommodates student furniture, teacher furniture, toys, books and four (4) of the eight (8) required preschool "learning centres" in a cramped space with very limited area for movability and play. The pre-school has its own bathroom facilities within the building although the amenities are broken and at inappropriate dimensions for child use. The Preschool utilises the Early Childhood Education Curriculum standardised by the MOEYSC. Student enrolment decreased in 2019 with 6 students (4 girls, 2 boys) as compared to 14 during the previous academic year. One (1) teacher is assigned to these students. It was noted during BSIF's assessment that seven (7) children of pre-school age in the village were not attending pre-school and there were ten

(10) two year old children who will be ready for pre-school the next academic school year.

Both the primary school and preschool structures have issues with respect to the roof structure, flooring, poor ventilation which create an unfavourable environment inside the classrooms for teaching and learning. During the dry season, the inside of the classrooms can reach extreme temperatures as a result of the lack of roof insulation and proper ventilation. During the rainy season, both roofs leak and allows water to enter the classrooms. The bathroom is unhygienic and the furniture is in poor condition. The preschool building which is a timber building is in a deplorable state of disrepair and needs to be replaced; the current condition poses a safety hazard for the youngest population of the Gales Point Manatee Government School. The Primary School building can be rehabilitated and brought up to a satisfactory standard.

With the implementation of this sub-project the Gales Point Manatee Primary and Preschool will be in an excellent condition, in a safe environment and conducive to learning and teaching for the teachers and students of the school. Parents' commitment to enrolling their children in the new preschool will be enhanced, thereby increasing enrolment, attendance and retention. The provision of access to quality education is an important target in the national strategy to reduce poverty in the poorest communities of the country.

### 3.1.2 ORGANISATIONAL NEEDS ASSESSMENT (ONA)

The purpose of the Organisational Needs Assessment (ONA) is to gather basic information about the organisation that has proposed a sub-project. It should show that the organisation is able to carry out its mandate and implement a successful BNTF sub-project, detailing the resources, governance, volunteer base and financial and management

capacity of the organisation. Sometimes, both a CNAA and an ONA are required to determine if the organisation is, in fact, meeting the needs of the target group within the defined community.

#### ONA FORMAT AND KEY QUESTIONS

Depending on the type of organisation, the following information is collected:

**Table 3: ONA Format**

Type of organisation	Information collected in the ONA
Government-affiliated and / or government-supported institution	<ul style="list-style-type: none"> <li>✓ Relationship to government</li> <li>✓ Extent to which it implements government mandate</li> <li>✓ Government funding/support</li> <li>✓ Management capacity</li> <li>✓ Ability to implement programme and sub-project</li> <li>✓ Prior experience in the area of the sub-project</li> </ul>
Membership-based Organisation (e.g., Belize Tour Guide Association, Belize Western Association of Agro-Processors Organisation, a local co-operative)	<ul style="list-style-type: none"> <li>✓ Overall management capacity</li> <li>✓ Extent to which it meets members' needs</li> <li>✓ Extent to which it is an open organisation</li> <li>✓ Extent to which it meets the needs of the broader community</li> <li>✓ Expertise and experience in the sub-project sector</li> </ul>
Community Service Organisation (e.g., YWCA in Belize City)	<ul style="list-style-type: none"> <li>✓ Overall management capacity</li> <li>✓ Programming capacity — ability to develop and implement new programmes</li> <li>✓ Extent to which it meets clients' needs</li> <li>✓ Extent to which it is an open organisation</li> <li>✓ Extent to which it meets the needs of the broader community</li> <li>✓ Expertise and experience in the sub-project sector</li> </ul>
Informal group of people or non-registered organisation (e.g., Organisation of Black Unity Arts and Craft Skills Training in Belize City)	<ul style="list-style-type: none"> <li>✓ Government registration, regulation and accountability</li> <li>✓ Overall management capacity and skills</li> <li>✓ Accountability to members/client group</li> <li>✓ Extent to which it meets clients' or members' needs</li> <li>✓ Openness to new members</li> <li>✓ Extent to which it meets the needs of the broader community</li> <li>✓ Expertise and experience in the sub-project sector</li> </ul>

### 3.1.3 GENDER CHECKLIST

A gender checklist is used to gauge the participation of both men and women in the consultation and sub-project selection process. In particular, the involvement of men and women in the different stages of the sub-project should be considered and disaggregated:

-  Sub-Project Selection
-  Sub-Project Design

-  Sub-Project Implementation
-  Short and intermediate changes among beneficiary target group as a direct result of the sub-project activities
-  Impact/Long-term changes that will occur as a result of the sub-project activities

A sample completed Gender Checklist is provided in Figures 7, 8, 9 and 10.

## GENDER CHECKLIST FOR SUB-PROJECTS

### Consultation Process and Sub-project Selection: - Gales Point Manatee Preschool Substitution and Rehabilitation of Primary School, Belize District.

What was the attendance at community meetings?

Target group	Number
Men	18
Women	28
Youth (male)	2
Youth (female)	3

What factors prevented attendance at community meeting?

Target group	Factors
Men	Traditionally, more females than males attend school activities including meetings, Males are usually at work.
Women	Some mothers are employed and unable to attend meetings.
Youth (male)	Non-student males are employed, others are at school.
Youth (female)	Non-student females are employed or are substitute caregivers, or attending school.

Was there active participation at meetings?

Target group	Yes/No	Number
Men	Yes	18
Women	Yes	28
Youth (male)	Yes	2
Youth (female)	Yes	3

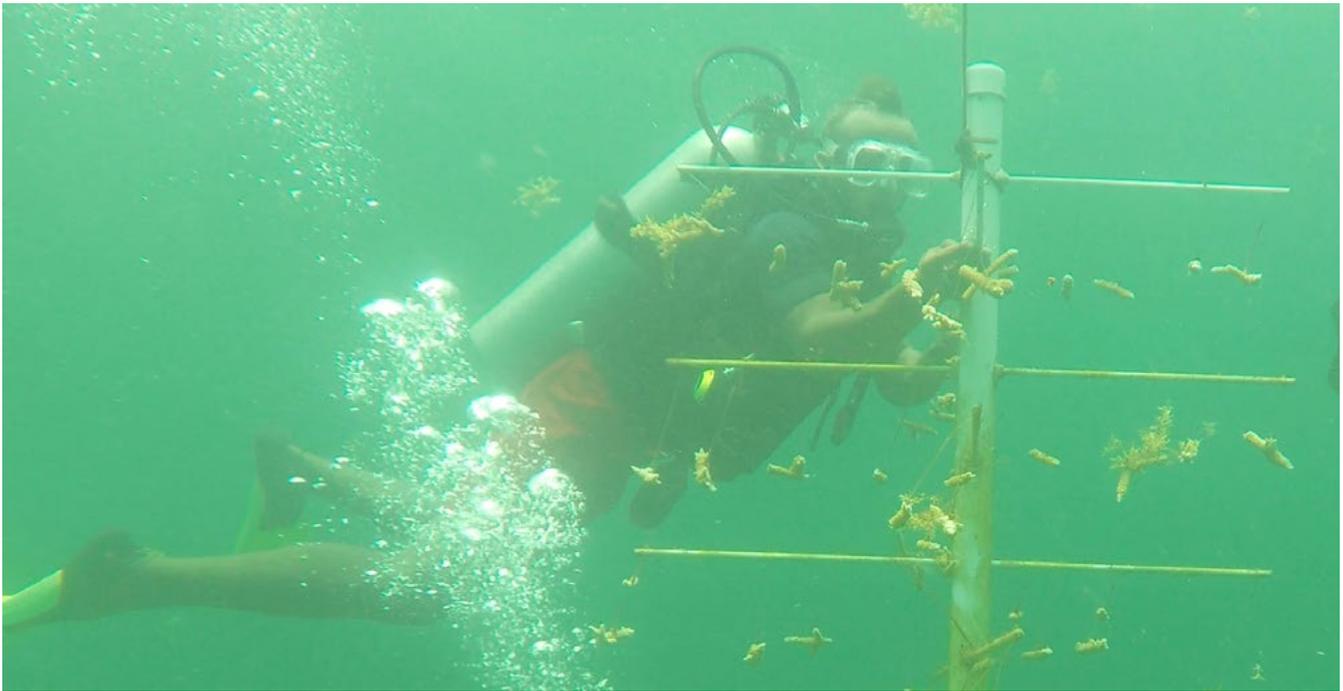
**Figure 7: Sample of Gender Checklist for Sub-Project Selection**

### Sub-project Design Stage

What are the predominant gender roles in the community?

Target group	Major Roles
Men	Are usually the head of the household working to sustain their families, making decisions on all developments in the community, mostly men are on the village council and water board
Women	Confined to the domestic or household realm. Ensure that their children attend school; a few are members of the village council and make decisions along with the men.
Youth (male)	Many unemployed assist in sporting activities in the community.
Youth (female)	Assist with home chores, many unemployed.

**Figure 8: Sample of Gender Checklist for Sub-Project Design**



**Sub-project Implementation Stage:**

What is the representation of community members on decision-making committees? **On Project Monitoring Committee (PMC)**. The PMC will be formed upon approval of the sub-project

Target group	Number
Men	Unknown at this time
Women	"
Youth (male)	"
Youth (female)	"

What factors/constraints can prevent representation on decision-making committees?

Target group	Factors
Men	No factor foreseen
Women	"
Youth (male)	"
Youth (female)	"

Who will benefit from the project infrastructure/services? The whole community including men, women, youth and children.

Target group	Number
Men	Will benefit
Women	Will benefit
Youth (male)	Will benefit
Youth (female)	Will benefit

**Figure 9: Sample of Gender Checklist for Sub-Project Implementation**

Target group	Impact
Men	Increased education translates to higher earnings and reduced poverty. Community asset for activities including emergency shelter
Women	Increased education translates to empowerment, higher earnings and reduced poverty. Community asset for activities including emergency shelter.
Youth (male)	Higher primary school attendance and youths transitioning to secondary school. Quality learning spaces and sanitation facilities.
Youth (female)	Higher primary school attendance and youths transitioning to secondary school. Quality learning spaces and sanitation facilities.
Unattached youth (m/f)	The enhanced facility will serve as an attraction to schooling and bolster community pride.
Children (m/f)	Child-friendly learning facilities. Improved student performance at primary and other levels of education. Improved health and wellbeing.
Disabled (m/f)	The universal design of the facility will improve access for students and community members
Indigenous (m/f)	Increased attraction to school facilities. Improved participation and modifications to traditional gender roles and sanitation practices.
PLWHA (m/f)	Enriched education that respects diversity. Improved hygiene & sanitation practices at school and community levels
Elderly (m/f)	Enriched community education that respects diversity. Improved community asset with universal design facilities facilitating participation in community life. Better health & wellbeing through improved community hygiene & sanitation.

**Figure 10: Sample of Gender Checklist for Beneficiary Impact**

### 3.1.4 ENVIRONMENTAL SCREENING CHECKLIST

An Environmental Checklist is used to examine if there are any major or minor issues with the proposed sub-project that may have an adverse impact on the environment or is likely to have such an impact. The following considerations are required:

-  Natural Hazards
-  Cultural Property
-  Preservation of Land Use
-  Preservation of species and Natural Spaces
-  Community and Gender Issues
-  Construction Issues
-  Waste Management
-  Suitability of location for environmental enhancement measures

Depending on the response to the questions on the checklist, there may be a need to modify the sub-project design to reduce impacts, undertake additional site specific investigations, put mitigation measures in place, carry out further detailed investigations, prepare a detailed EMP or undertake an EIA.

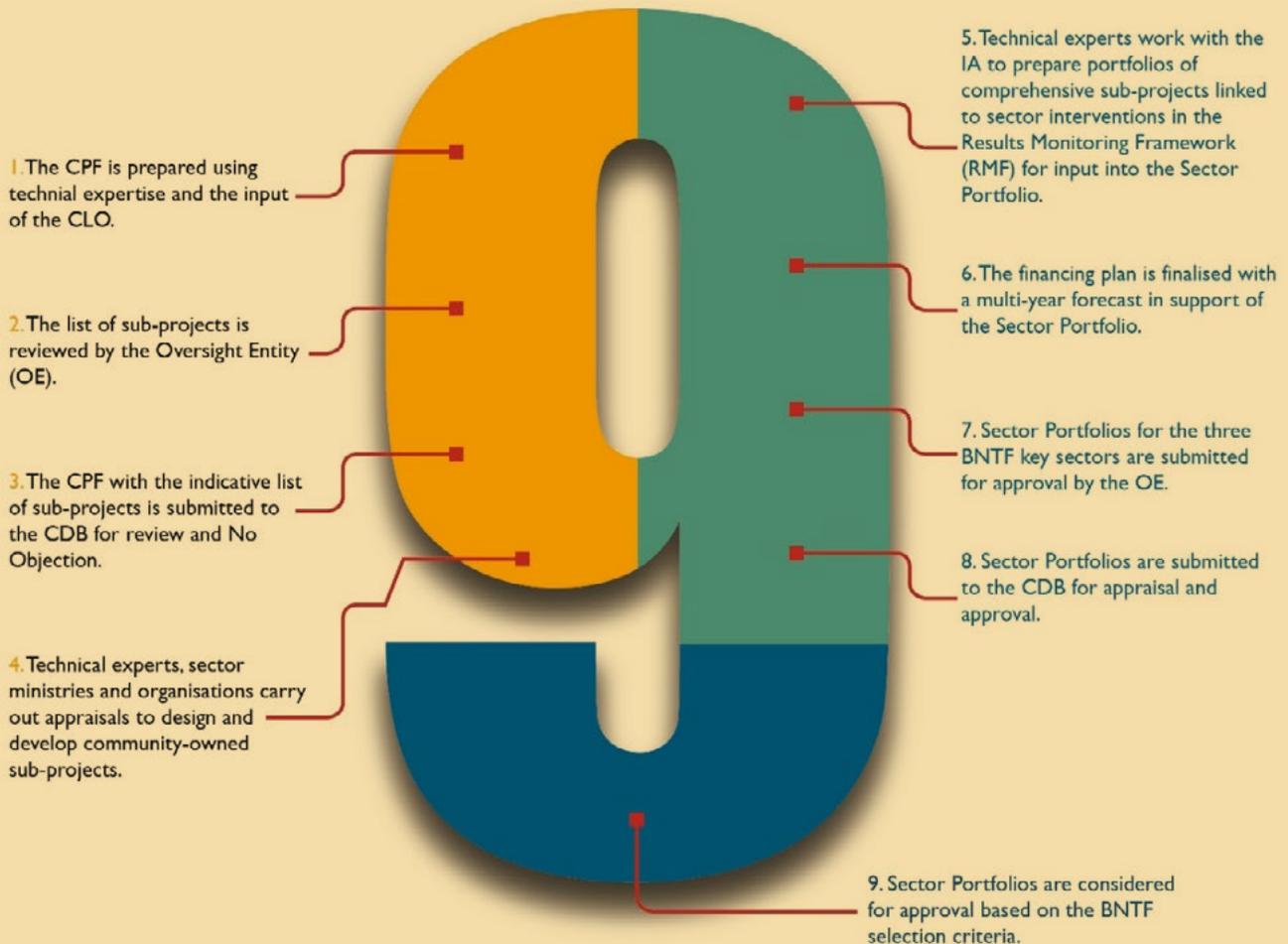
#### Step 4: Sector Portfolio

The Sector Portfolio should be made up of comprehensive, detailed, outcome-focused designs and budgets for sub-projects (by sector) that meet the agreed **selection criteria** ☺. Consultancy support is provided to IAs preparing a Sector Portfolio, and technical expertise can be engaged to assist in this process.

The checklist on the following page serves as a guide in selecting sub-projects for the Sector Portfolio:



## 9 Steps To Preparing The Sector Portfolio





#### CHECKLIST FOR SUB-PROJECT SELECTION

- Is there a direct link to poverty reduction in poor communities and among vulnerable groups as outlined?
- Is the process participatory and does it involve men, women and youth at all stages of the project?
- Is it sustainable (with respect to current operating costs and maintenance)?
- Is it gender sensitive so there is equality and equal participation of men and women in all aspects including decision-making and is it of benefit to both?
- Is it sensitive to the environment?
- Is it publicly owned? Reminder: physical assets (infrastructure) funded by BNTF must be publicly owned and or constructed on publicly owned land. Facilities or services that are significantly supported by the government are eligible (e.g., church-run/owned schools)

Participating countries are expected to complete the sector portfolio template 📄 within the web based BNTF management information system.

#### USEFUL TIPS IN COMPLETING THE SECTOR PORTFOLIO TEMPLATE:

- Demonstrate how the sector portfolio is linked to CDB's Strategic Objective of supporting inclusive and sustainable growth and development and Corporate Priorities.
- Demonstrate how this will be achieved in relation to the implementation of a portfolio targeting low-income, vulnerable communities
- Ensure the Results Monitoring Framework for the sub-projects prepared during appraisal aligns with SDF Level 2 Outcomes
- Identify arrangements for governance and implementation
- Complete a risk assessment identifying potential risks and mitigation measures
- Conduct environmental screening for all sub-projects and ensure designs are formulated to mitigate potential effects
- Undertake a gender analysis using the BNTF gender markers
- Complete resource allocations using Table 4
- IA and CDB conduct Sub-Projects' Appraisal (priority sectors, sub-projects and cost estimates based on preliminary designs)

### 3.1.5 MULTI YEAR FINANCING PLAN

Additionally, the Multi-year Disbursement **Forecast** should be included in the Sector Portfolio for each sub-project. A Sample Multi-Year Financing Plan is detailed in Figure 11.



SUB-PROJECTS IN THE SECTOR		2019			2020			Total		
		CDB	Gov't	Total	CDB	Gov't	Total	CDB	Gov't	Total
	<b>Sub-Projects</b>									
1	Improved access to Quality Primary Education and Adequate and Equitable Sanitation and Hygiene for the Community of San Isidro, Toledo District	392,730	20,670	413,400	261,820	13,780	275,600	654,550	34,450	689,000
2	Improved Access to Enhanced Primary Education Services for Children of Louisiana Government Primary School, Orange Walk Town, Orange Walk District	363,375	19,125	382,500	242,250	12,750	255,000	605,625	31,875	637,500
3	Improved Access and Enhanced Quality of Primary Education Services for Children of St. Michael RC Primary School, Belmopan Cayo District	389,434	20,497	409,931	259,623	13,664	273,287	649,057	34,161	683,218
	<b>Total</b>	<b>1,145,539</b>	<b>60,292</b>	<b>1,205,831</b>	<b>763,693</b>	<b>40,194</b>	<b>803,887</b>	<b>1,909,232</b>	<b>100,486</b>	<b>2,009,718</b>

**Figure 11: Sample Multi-Year Plan**

### 3.1.6 GUIDELINES FOR RESOURCE ALLOCATION, INFORMED BY THE CPF

Select the three BNTF key sectors and any other key areas in which the CPF focuses:

- ✈ Education and HRD
- ✈ Water and Sanitation

- ✈ Basic Community Access and Drainage
- ✈ Youth at Risk, Partnerships, Gender, Livelihoods, Environmental Sustainability, Climate Change Resilience and Disaster Risk Management.

A sample of a resource allocation plan for a sector portfolio is detailed in Figure 12.

Allocations	Guidelines
Poverty Reduction Strategy Paper (PRSP) targets	Provide Descriptive targets corresponding with the key sector/key areas as taken from the country's PRSP, Country Strategy Paper & national sector/development strategies
PRSP measures	Indicate how the targets are to be measured for each sector/key area
BNTF interventions (plus beneficiaries)	In broad terms, describe the sub-project categories, target groups (location; m/f), timeframe, and the BNTF role in meeting the PRSP targets in row 2
Key partners	Outline collaborators in terms of co-financing and co-production: names of ministries, agencies, development partners, civil society organisations, etc.
% Expenditure/Allocation	Expressed as a percentage. Total across all sectors/sub-projects should be 100%

## RESOURCE ALLOCATION PLAN FOR EHRD SECTOR PORTFOLIO

### LARGE SUB-PROJECTS

Sub-Projects	Resource Allocation (\$)		
	Total Cost	CDB Grant SDF	Government
Improved Access to Quality Primary Education and Adequate and Equitable Sanitation and Hygiene for the Community of San Isidro, Toledo District	689,000	654,550	34,450
Improved Access to Enhanced Primary Education Services for Children of Louisiana Government Primary School, Orange Walk Town, Orange Walk District	637,500	605,625	31,875
Improved Access and Enhanced Quality of Primary Education Services for Children of St. Michael RC Primary School, Belmopan, Cayo District	683,218	649,057	34,161
	2,009,718	1,909,232	100,486

**Figure 12: Resource Allocation Plan for sector Portfolio**



**Table 4: Resource Allocation for (INSERT NAME OF SECTOR) Portfolio – (INSERT NAME OF COUNTRY)**

(INSERT NAME OF SECTOR) SECTOR PORTFOLIO	Resource Allocation (\$)		
	Total Costs	CDB Grant SDF (insert no. of cycle)	Local Counterpart
BNTF (insert no. of cycle)			
(insert name of sub-project)			
(insert name of sub-project)			
(insert name of sub-project)			
<b>Sub-Total</b>			
Portfolio Contingency (if applicable)			
<b>Total</b>			

### 3.1.7 SECTOR QUALITY

The following questions should be asked in **assessing sector portfolio quality**

#### CHECKLIST FOR SECTOR PORTFOLIO QUALITY

- Evidence of correct prioritisation and sequencing of sub-projects, given current capacity?
- Considering individual sub-project priorities and targeted actions, are these likely to achieve a coherent Sector Portfolio over the next three years?
- Are all the components of the Sector Portfolio a good fit with the CPF direction?
- Is there evidence of integrated, holistic community development and asset building with cooperation and co-production involving other partners?

## 3.2 Approval

### 3.2.1 ACCEPTANCE CRITERIA

The following sample acceptance criteria apply to sub-projects in the three key sectors:

### 3.2.2 EDUCATION AND HRD

- Overcrowding: The existing school or teaching facility operates significantly beyond capacity (e.g., there is less than 1.86 m<sup>2</sup> (20 ft<sup>2</sup>) of classroom space per pupil, a shift system is in use, or additional students cannot be admitted due to lack of space)
- Distance: It takes more than one hour for students to travel to the school or teaching facility
- Disrepair: The physical condition of the buildings/facilities poses an environmental threat, and is not conducive for learning/teaching

- ✈ Low levels of trained teachers which stymie students' ability to derive maximum benefit from the learning experience

### 3.2.3 WATER AND SANITATION

- ✈ Quality: The existing water source is untreated and/or unsafe for human consumption, and poses the health threat of spreading water-borne diseases
- ✈ Access: The proposed system reduces the access time to a safe water supply to less than a 15-minute walk for the target population
- ✈ Improvement: The proposed structure provides or contributes to an improved management system for wastewater or solid waste

### 3.2.4 BASIC COMMUNITY ACCESS AND DRAINAGE

- ✈ Traffic volume: Current traffic levels on the proposed road are at least 20 vehicle movements per day
- ✈ Disrepair: The state of disrepair poses a health threat (e.g., from rising dust, considerable slowing of traffic, stagnant water or dangers that can cause accidents)
- ✈ Vulnerability: Access to homes with minimal infrastructure is difficult or dangerous in bad weather due to the nature of the terrain
- ✈ Farming: Access to farmlands and other areas, and contribute to a more streamlined preparation and appraisal process
- ✈ Service access: It is difficult or impossible for emergency and/or service vehicles to access homes
- ✈ Limitations: The state of the road infrastructure limits access to social services, other basic services, and employment

A number of social and environmental safeguards should also be considered. The BNTF has six cross-cutting themes and two areas that are given special consideration. These are examined in detail in Chapter 4.

#### QUICK LINKS TO RESOURCES:

- ✈ [Guidelines for the Preparation of a CPF](#) ↕
- ✈ [Sub-project proposal form](#) ↕
- ✈ [Sub-Project Prioritisation Template](#) ↕
- ✈ [Sub-Project Profile form](#) ↕
- ✈ [CNAA template](#) ↕
- ✈ [ONA template](#) ↕
- ✈ [Gender Checklist](#) ↕
- ✈ [Environment Checklist](#) ↕
- ✈ [Selection Criteria for Sub-Projects](#) ↕
- ✈ [Sector Portfolio template](#) ↕



## CHAPTER 4: BNTF PROGRAMME IMPLEMENTATION AND MANAGEMENT

## 4.1 Good Practice in Enhancing BNTF Implementation Performance

BNTF seeks to achieve maximum efficiency and effectiveness in its operations and to promote a greater development impact. As such, the design and implementation modalities are intended to leverage diverse resources through partnerships to reach a larger number of vulnerable groups and to expand support in the area of livelihoods enhancement.

Overall, efforts are made at the country level to ensure that the relevant SDGs and cross-cutting areas, such as gender equality and environmental sustainability, inclusive of climate change and disaster risk management continue to be integrated within Country Projects that contribute to the enhancement of the Participating Countries' human development outcomes.

BNTF Programme performance should be measured on achieving the following:



### 4.1.1 A COMMUNITY PARTICIPATORY APPROACH TO:

- Enhance community engagement across the project lifecycle through the use of participatory approaches at each stage. Community Engagement Guidance Note 📄
- Increase the role of communities, CBOs, NGOs and local government in controlling resources and making decisions (social capital)
- Encourage community ownership
- Improve networking, good governance, accountability and trust among key stakeholders, and enhance greater stakeholder involvement at the community level

### 4.1.2 CAPACITY-BUILDING ACTIVITIES TO:

- Improve oversight, project management and planning
- Adopt new modalities for improved efficiency and effectiveness in implementation
- Develop and implement MIS and participatory M&E systems for tracking achievement of results
- Support training up to National Vocational Qualification certification, and provide access to micro-enterprise development

### 4.1.3 INVESTMENT APPROACHES TO:

- Comply with national standards and appropriate best practice
- Provide higher performance specifications for building construction
- Include "green" building standards, climate change adaptation measures, renewable energy techniques, and efficiency and energy conservation techniques, where appropriate
- Encourage community-based preventative maintenance techniques and other non-conventional approaches to maintenance
- Design to improve resilience and minimise lifecycle costs

The BNTF Programme has two components: 1) Country Projects and 2) Regional Coordination.

# BNTF Programme Implementation

## Two Components



## 4.2 Country Projects

The Country Projects component of the BNTF Programme includes the following:

### 4.2.1 SUB-PROJECT GRANTS

As seen in Chapter 2, sub-project applications are considered in the context of each Country Project Framework. Sub-projects in the selected priority key sectors and cross-cutting areas are eligible, and there should be an appropriate balance between allocating resources for basic infrastructure and for other developmental objectives, including:

- ✦ Community outreach and participation
- ✦ Enhanced service delivery and quality of outcomes
- ✦ Integration of cross-cutting themes

The cross-cutting themes are:

- ✦ Gender equality
- ✦ Environmental sustainability inclusive of climate change and disaster risk management.

The funding thresholds are as follows:

### SUB-PROJECT ELIGIBILITY AND FUNDING THRESHOLDS

Note that there are four categories of eligible sub-project under the BNTF Programme:

- ✦ **1.** Small sub-projects  
– not exceeding \$100,000
- ✦ **2.** Medium sub-projects  
Exceeding \$100,000 but not exceeding \$400,000
- ✦ **3.** Large sub-projects  
– exceeding \$400,000 but not exceeding \$700,000
- ✦ **4.** Special sub-projects  
– Exceeding \$700,000 but not exceeding \$1,000,000  
– Allows for contributions of up to \$300,000 from Eligible Partners. CBD's contribution is limited to a maximum of USD665,000 in respect of a special sub-project costing \$1 mn

Governments are required to provide counterpart funding towards the cost of sub-project and local project management, as detailed in their respective Grant Agreements.

## 4.2.2 SUB-PROJECT REQUIREMENTS

1. Sub-projects must have the sponsorship of diverse members of the targeted poor communities or vulnerable groups, and the relevant sector ministries
2. Sub-projects must be subject to environmental assessment and gender analysis
3. Sub-projects must address the sustainability issues of recurrent operating costs and maintenance

## 4.2.3 SUB-PROJECT CATEGORIES

There are three priority sectors:

- Education and Human Resource Development
- Water and Sanitation Systems Enhancement
- Basic Community Access and Drainage Improvement

### (a) Education and Human Resource Development

#### OUTCOME: IMPROVED ACCESS TO QUALITY EDUCATION AND HRD SERVICES

Improving the quality of education is a priority, particularly ensuring effective teaching and enhanced learning environments. In communities with limited opportunities for teacher certification, sub-projects should emphasise provision of ongoing professional development consistent with regional or national standards.

The focus of the BNTF Programme has shifted from infrastructure to:

1. Expanding opportunities in ECD and tertiary education
2. Improving the quality and equity of provision of services across all sub-sectors

Below are typical examples of education and HRD sub-projects eligible for support: Ⓡ

**Table 5: Education and HRD sub-project types**

Education/HRD Sub-project Types
• Rehabilitate, extend or substitute existing primary school and early childhood development buildings and facilities (excluding non-publicly owned schools) and the provision of furnishings and equipment.
• Provide funding for refurbishment or extension only of existing secondary schools including provision of special learning spaces and school facilities.
• Provide funding of school furniture, ICT technology, supplies and appropriate equipment for the delivery of the curriculum.
• Provide funding for facilities for expanded or enhanced student support services such as school feeding as needed for improved participation, retention, and achievement.
• Provide funding for facilities that cater to disadvantaged youth, community resource centres and sports facilities including the provision of equipment, musical instruments.
• Provide funding of school furniture, ICT technology, supplies and appropriate equipment for the delivery of the curriculum.
• Provide funding for facilities for expanded or enhanced student support services such as school feeding as needed for improved participation, retention and achievement.
• Provide funding for training of vulnerable persons, quality enhancement activities associated with local level training, career development, curricula implementation and teacher development related to sub-projects.
• Provide funding for training of stakeholders related to facilities operation and management, use of conservation and green building practices, environmental/gender analyses, integration of disaster risk management practices and use of low-maintenance building materials including relevant certification procedures.
• Provide funding for training for life enhancement skills and community capacity-building skills, including motivation and life-coping/empowerment capabilities for vulnerable groups, leadership and decision-making, organisational/institutional support, and promotion of pertinent project proposal planning, development, cost forecasting, performance monitoring, and maintenance planning related skills.
• Capacity-building interventions for government institutions and non-government organisations in planning and monitoring.
• Provide funding for other skills development and capacity enhancement areas that meet the criteria of relevance in terms of expanding social inclusion of vulnerable and marginalised minority groups.

In addition, sub-projects should focus on the following:

1. The enabling environment, to enhance institutional development and project sustainability
2. Alignment and collaboration with local education sector programming
3. Skills training, to enhance employability, currency and skills portability

4. Incorporating cross-cutting issues in education and HRD programming (e.g., gender equality, vulnerable youth and citizen security)
5. Mainstreaming operations into the CDB education and training portfolio

Output Indicators
• Classrooms and educational support facilities built or upgraded according to minimum standards (number), of which ECD/Primary/Secondary
• Beneficiaries of skills training activities (number female)
• Beneficiaries of skills training activities (number male)
• Students benefitting from improved physical classrooms
• Enhanced teacher competence, or school infrastructure (number female)
• Students benefitting from improved physical classrooms conditions or enhanced teacher competence, or school infrastructure (number male)
• Teachers and Principals Trained/Certified (number female) ECD/Primary/Secondary
• Teachers and Principals Trained/Certified (number male) ECD/Primary/Secondary

### Skills Training

In recognition of the significant contribution that skills acquisition can make to alleviate poverty (through enhancing employability to obtain increased earnings),

The BNTF Programme allocates substantial resources to support specific skills training and certification activities. These activities can be provided at training institutions but also on-site during construction of infrastructure projects. They can occur through joint ventures with national training organisations and institutions, and with employers. BNTF funding can cover the cost of training materials, curricula development, support materials, tuition (teachers/instructors), basic hand tools, stipends, childcare and more.

Skills training and certification activities should be integrated into as many sub-projects as possible and should always be integrated into infrastructure sub-projects. The aim is to develop skills that:

- Improve service delivery
- Enhance organisational effectiveness
- Give potential for income earning after project implementation

- Skills training/upgrading activities are supported under the following conditions:

There are opportunities for income generation or income enhancement, but individuals (men and women, and youth of both sex) in the community lack the required and appropriate level of skills, knowledge and/ or abilities to take advantage of those opportunities. For example when men, women or youth need help to identify and secure employment, training towards certification and coaching in job search skills (e.g., résumé development and writing, job search techniques and interview).

Men, women and youth in the community are already engaged in productive work, but the quality and level of productivity could be enhanced to meet market demand and other relevant standards and result in improved earnings.

### (b) Water and Sanitation Systems Enhancement

#### OUTCOME: IMPROVED ACCESS TO QUALITY WATER SUPPLY AND SANITATION SERVICES

In many PCs, communities experience poor service quality and inefficiency (evidenced by high levels of water loss). In some countries, there are extremely intermittent service levels, which endanger the integrity of distribution networks and the quality of drinking water.

There may be insufficient resources for the expansion of service networks and routine maintenance of water and sanitation systems. This is usually evidenced by rapid deterioration of the infrastructure and only limited expansion of networks.

Climate change is likely to negatively impact both the supply and demand of water resources, with an increase in the severity and incidence of extreme weather phenomena such as droughts and floods. This further complicates the processes of development and management of water resources.

Communities without access to drinking water supply services tend to adopt alternative solutions, such as individual wells, illegal connections to the drinking water network, rainwater collection and, in many rural areas, obtaining untreated water from springs and rivers.

The BNTF Programme helps to fund access to potable water, which includes spring (or untreated) water.

Typical water and sanitation sub-projects that are eligible for support include:

**Table 6: Water and Sanitation Systems Enhancement sub-project types** Ⓣ

Water & Sanitation Sub-project Types
<ul style="list-style-type: none"> <li>• Sub-projects that provide intake structures, water reservoirs and tanks, small water treatment facilities including training in the use and maintenance of the facilities provided, and also basic health and hygiene education.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide supply and distribution lines to provide potable water to poor communities.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide for the construction, upgrading and refurbishment of public baths/toilets/laundry facilities in remote or inner-city communities.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide for the construction of minor waste-water disposal unit, solid waste management facilities.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide funding for training of vulnerable persons, including basic health and hygiene education.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide training to sub-project beneficiaries and PMCs in facilities management and maintenance, maintenance of infrastructure, water systems operation and management, and conservation practices.</li> </ul>

Output Indicators
<ul style="list-style-type: none"> <li>• Water supply lines installed or upgraded (kilometres)</li> </ul>
<ul style="list-style-type: none"> <li>• Installed water capacity (cubic metres)</li> </ul>
<ul style="list-style-type: none"> <li>• Households with access to potable water (number, sex of head of household)</li> </ul>

**(c) Basic Community Access and Drainage Improvement**

**OUTCOME: IMPROVED ACCESS TO BASIC SERVICES**

Rural roads are vital to support the rural community's social and economic activities and they give access to crucial services such as health, education, employment and livelihoods. Road networks begin at the village level as tracks, mostly used by people on foot or on bicycles, in communities targeted by the BNTF Programme.

Proper drainage is crucial in the sustainability of road infrastructure.

Key issues affecting road infrastructure are:

- Inadequate funding and attention to preventative, routine and periodic maintenance

- Lack of proper roadside drainage structures
- The higher cost and vulnerability of road networks and infrastructure in both mountainous and low-lying areas, which are more prone to landslides/slippage, flooding and storm surge damage following extreme weather events

Eligible Community Access and Drainage Improvement sub-projects include:

**Table 7: Basic community access and drainage sub-project types** Ⓣ

Basic Community Access & Drainage Sub-project Types
<ul style="list-style-type: none"> <li>• Sub-projects that provide for the construction or rehabilitation of footpaths, rural roadways, small scale drainage systems, footbridges, light vehicle access bridges and small-scale boat landings to improve river transportation.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide measures to facilitate continuous all-weather usage.</li> </ul>
<ul style="list-style-type: none"> <li>• Sub-projects that provide training to sub-project beneficiaries and PMCs in maintenance of basic community access and drainage infrastructure.</li> </ul>

Output Indicators
<ul style="list-style-type: none"> <li>• Secondary and other roads built or upgraded (km)</li> </ul>
<ul style="list-style-type: none"> <li>• Beneficiaries of community infrastructure (number female)</li> </ul>
<ul style="list-style-type: none"> <li>• Beneficiaries of community infrastructure (number male)</li> </ul>
<ul style="list-style-type: none"> <li>• Beneficiaries of road projects (number female)</li> </ul>
<ul style="list-style-type: none"> <li>• Beneficiaries of road projects (number male)</li> </ul>
<ul style="list-style-type: none"> <li>• Community infrastructure built/upgraded (number)</li> </ul>

**WHY SHOULD ACCESS BE IMPROVED?**

- Unpaved roads are a source of pollution, presenting health threats from rising dust, and retaining stagnant water when there is inadequate rainwater drainage/run-off
- Individuals can trip and injure themselves on uneven road surfaces
- Substandard roads hamper land preparation and the transport of agricultural inputs and outputs
- Farmers incur losses when harvested crops are damaged during transport to market

CDB expanded the areas of support under EHRD to include livelihoods.

#### (d) Livelihoods

##### OUTCOME: LIVELIHOODS AND EMPLOYMENT OPPORTUNITIES ENHANCED

Livelihoods refer to a means of gaining a living and encompasses capabilities, assets (including both material and social resources) and activities required for a means of living. ⬇️

“A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.” (DFID, 2000)

Livelihoods sub-projects are specifically designed to generate sustainable income, directly promote asset ownership and accumulation and enhance food security.

While BNTF has promoted livelihoods over previous cycles, the expanded livelihoods enhancement mandate will place the assets - poverty relationship at the core.

The benefits are the income streams earned by the beneficiaries which exceeds subsistence levels plus external benefits such as up-stream and down-stream activities and other types of value chain business activities at the community or national level.

Labour and market surveys or feasibility studies will ensure that a diversity in livelihoods exists such that persons can benefit from a competitive pricing regime.

Possible businesses may be in any of the BNTF key sectors.



Included in Country Projects to PCs are the following four non-sub-project component Grants

#### 4.2.4 PROJECT MANAGEMENT SUPPORT

The support required for project co-ordination includes:

1. Funding IA members/consultants and costs related to supervision, field visits and beneficiary consultations
2. MIS operations and maintenance, intranet, information-sharing and networking activities within and among communities to encourage community partnerships, networking, dissemination of lessons learned, knowledge management and advertisements
3. Social marketing to promote visibility of the BNTF Programme for greater engagement with communities (especially youth) as project partners, and to strengthen commitment to the sustainability of project interventions.

#### Livelihoods Sub-project Types ⬇️

- Asset distribution, for example, basic tools
- Access to finance for example, working capital or purchase of raw materials
- Building technical and business skills
- Coaching

#### Output Indicators:

- Business plans approved (number)
- Value of assets transferred (\$)
- Change in income (%) (male)
- Change in income (%) (female)

#### 4.2.5 SUB-PROJECT IMPLEMENTATION SUPPORT

Consultants are engaged to provide services that support project implementation, including services associated with infrastructure works, capacity building, skills development and more.

CDB has delegated project management responsibility and accountability to PCs, and supports areas identified for institutional development under the Regional Coordination component.

#### 4.2.6 INSTITUTIONAL DEVELOPMENT

This component provides short-term technical assistance (TA) consultancies to support stakeholder and beneficiary engagement and to enhance institutional and community processes. These processes should address cross-cutting issues of gender equality, environmental sustainability and climate change, community participation and empowerment, maintenance, and vulnerable youth and citizen security, and ensure practices are integral to the sustainability of project outcomes.

##### Output Indicators

- Interventions supporting community-based maintenance management (number)
- Interventions supporting community-based environmental/natural disaster risk management (number)
- Interventions supporting capability enhancement for service delivery (number)
- Individuals who have benefitted (number, by age and sex) and organisations that have benefitted (number, by sector)

#### 4.2.7 PROJECT MONITORING AND EVALUATION (M&E)

This refers to activities that facilitate assessment of project outcomes and impact at country level. Various M&E tools (such as sub-project monitoring reports (SPMRs), other reports and beneficiary assessments can be used to track and assess implementation efficacy. These can also confirm the use and maintenance of physical investments, sustainability of human resource development efforts, and the degree of stakeholder and community participation.

Consultants may be engaged to conduct annual performance audits, including financial audits. Consultants may also help to develop and operationalise an M&E system within the PC.

Participatory monitoring and evaluation should be integrated as much as possible when arrangements for community decision-making and self-management are being established.

### 4.3 Regional Coordination

In addition to project management and implementation support in country projects, there is complementary technical assistance available through the Regional Coordination component.

The Regional Coordination component of the BNTF Programme is coordinated by CDB through management support, implementation and M&E. Funds in this component are available for enhancing the programme's operational effectiveness and efficiency and for innovative pilot projects.

#### Programme Management Support

This can include institutional enhancements including human resource development to benefit the management of the project in a particular country. Additionally,

- Provision of training in the use and operation of management information and results monitoring systems, the establishment of relevant data gathering methodologies for baseline development, data gathering for results monitoring, and associated skills development, preparatory work for surveys;
- Establishment and operation of a database of best practices and lessons learned as well as pertinent e-learning and regional training activities building upon communities of practice to foster information sharing, networking and knowledge management; and
- Project launch workshops, meetings, project supervision, training, attachments and other consultancy support, as well as support of communications facilities, travel and social marketing activities related to the Programme.

#### Programme Implementation

During the implementation process, the regional programme can support:

- Financing of independent performance audits, including financial audits, of IAs based on agreed performance benchmarks.

- ✦ Operational guidelines and eligibility and acceptability criteria included as part of a revised OM, undertaken during start-up activities.
- ✦ The development of a comprehensive MIS to improve project and fiduciary management and reporting.
- ✦ Preventative factors for crime and violence including the diversion of youth from crime, provision of access to opportunities for them to reach their full potential and facilitate capacity-building and empowerment among Community Based Organisations (CBOs).
- ✦ Piloting of livelihoods development in collaboration with Caribbean Technological Consultancy Services (CTCS), which seeks to provide access to new technologies, business networks and enhanced marketing opportunities among micro- small- and medium-sized enterprises (MSMEs),

#### Programme M&E

Through the regional programme, CDB undertakes the following monitoring and evaluation activities:

1. Surveys and qualitative assessments. CDB establishes baseline data and targets for the Programme following the completion of Project baseline surveys.
2. Cumulative programme performance reports based on BMC MIS reports to monitor programme performance indicators, review disbursements as well as supervise sub-project and Programme implementation progress
3. A Mid Term Evaluation (MTE) is completed by independent consultants contracted by CDB at mid- point and guided by selected performance criteria. The MTE will be timed to allow recommendations with respect to meeting or enhancing achievement of objectives and for the distribution of the performance incentive to be implemented within the remaining time period
4. A Project Completion Report (PCR) is completed by independent consultants contracted by CDB six months following the Terminal Disbursement Date (TDD) of the BNTF cycle.
5. Independent consultancy services are engaged to conduct an evaluation of the BNTF cycle to

determine its effects on the target beneficiaries relative to primary welfare, infrastructure, social dynamics, governance, targeting and comparative effectiveness, and the sustainability of the programme results.

#### Building Sustainability

The following activities will contribute to the overall sustainability of outcomes.

- ✦ capacity-building activities.
- ✦ strengthening M&E to ensure best practice, quality, and sustainability.
- ✦ investment approaches in improved performance specification; renewable energy and energy efficient designs; community-based training in preventative maintenance techniques; support training up to National Vocational Qualification certification; and provision of access to micro-enterprise development especially targeted at youth.
- ✦ productive income generating activity and business skills as sustainable solutions to poverty.
- ✦ community participatory approaches to project implementation with all stakeholders (communities, CBOs and NGOs).
- ✦ maintenance plans to promote preservation and help ensure sustainability of the assets and facilities; and
- ✦ tracer studies for training interventions.

#### QUICK LINKS TO RESOURCES:

- ✦ [Community Engagement Guidance Note](#) Ⓡ
- ✦ [Education and HRD Development](#) Ⓡ
- ✦ [Water and Sanitation Enhancement](#) Ⓡ
- ✦ [Basic Community Access & Drainage Enhancement](#) Ⓡ
- ✦ [Draft BNTF Livelihood Discussion Note](#) Ⓡ
- ✦ [Livelihood](#) Ⓡ

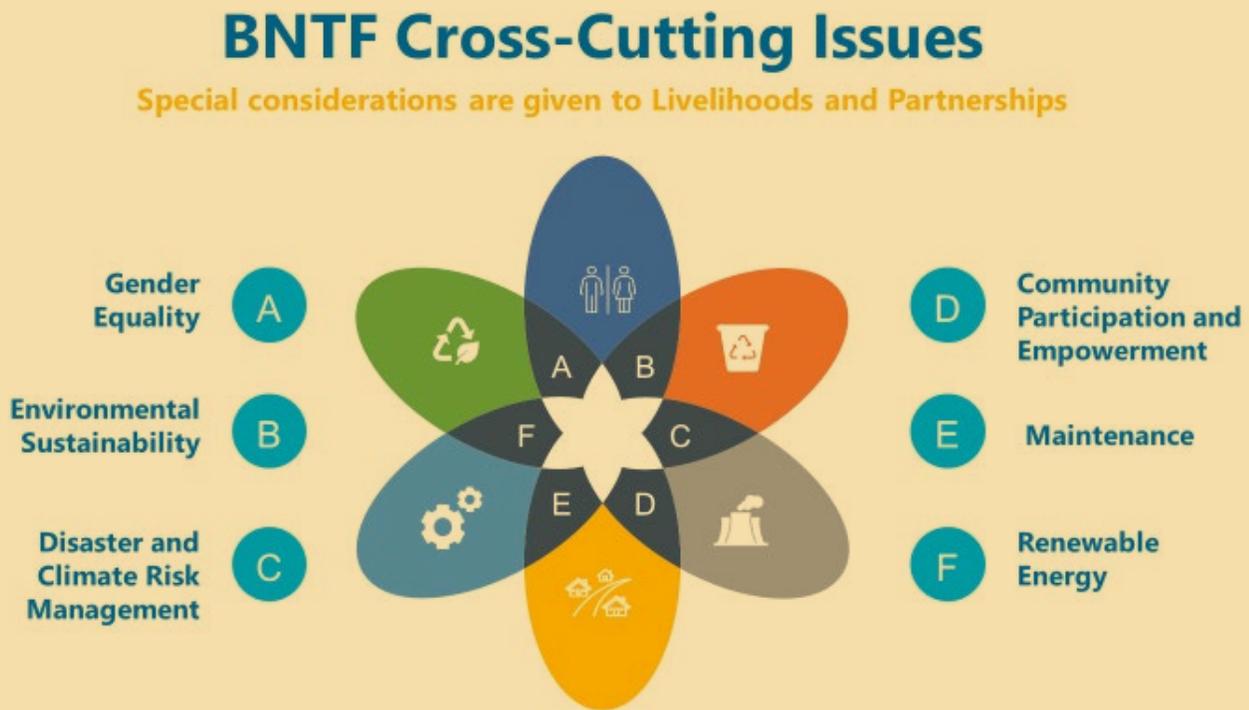




## CHAPTER 5: CROSS-CUTTING THEMES

As seen in Figure 13, there are six main cross-

cutting issues in the BNTF Programme:



**Figure 13: BNTF Cross-Cutting Issues**

### WHAT THE BNTF PROGRAMME CAN DO:

1. Undertake comprehensive analyses, plus monitoring and evaluation at the community level (in collaboration with the national gender systems/structures) to identify and report on any in-country inequalities based on gender, age, disability or other social construct
2. Provide support for advocacy, dialogue and community awareness on gender-based violence, gender socialisation for children and youth, and workplace provision for the safety and consideration of workers with family responsibilities
3. Provide training for Community Liaison Officers (CLOs) and other relevant stakeholders in gender analyses and participatory community development

## 5.1 Gender Equality

Building on previous programmes, the BNTF continues to mainstream gender considerations in all interventions and at every stage of the project cycle. This heightens awareness of the different situations faced by women, men, boys and girls, and this awareness

### DEFINITION:

**GENDER** refers to two interrelated aspects: (i) the socially determined definition of female and male as characterised by, inter alia, personality traits, roles, attitudes, expectations, values, behaviours, activities and tasks that, through a process of social formation, distinguish men from women; and (ii) the unequal power relations between the sexes which is biased against women.

impacts the design of interventions and their evaluation.

Data on women will be used as variables in social analysis, social feasibility analysis and social impact assessment.

The gender mainstreaming approach will be operationalised in the formulation, implementation and evaluation of sub-projects, technical assistance and capacity building initiatives using the following deliberate approaches:

- ✦ Gender Checklists as part of the Community Needs and Assets Assessments.
- ✦ Integrating gender analyses in each sub-project profile and sector portfolio.
- ✦ Operationalising gender-sensitive Guidelines for Capacity Building and Skills Training Sub-Project Proposals.
- ✦ Engage directly with youth, female only, and male only groups to address specific concerns.
- ✦ Contribute to reducing the burden of care for women

To address poverty and promote gender equality, the BNTF Programme supports sub-projects that:

1. Enhance equal access to opportunities and resources
2. Increase women's control of key assets
3. Enable women to participate in decision-making

The level of effectiveness in realising these objectives is measured against the following indicators (depending on the nature of the sub-project, some of these indicators should be included in the RMF): 📍

**DEFINITION:**  
**GENDER EQUALITY** refers to the **acceptance and promotion of the equal rights, opportunities, conditions and treatment of men and women in all fields of life and in all spheres of society (including economic independence) and valuing equally the differences between women and men and the diverse roles they play in society.**

### 5.1.1 EDUCATION AND HRD

- ✦ Increased enrolment/attendance, disaggregated by sex
- ✦ Minimum of 40% of each sex participating in non-segregated training
- ✦ Minimum of 40% of either sex on schools' boards/PTAs
- ✦ Minimum of 40% of either sex as beneficiaries of maintenance training
- ✦ Number of micro businesses/increased level of productive activities, disaggregated by sex
- ✦ Increased certification of beneficiaries, disaggregated by sex/age
- ✦ % of trainees accessing sustainable employment, disaggregated by sex
- ✦ Provision of support services for primary caregivers, disaggregated by sex
- ✦ Reduction in the selection of traditional skills among male and female trainees

### 5.1.2 WATER AND SANITATION SYSTEMS ENHANCEMENT

- ✦ Reduced time for fetching water, disaggregated by sex
- ✦ Increased water connections, disaggregated by sex of head of household
- ✦ Minimum of 40% of each sex on the water boards/maintenance committees
- ✦ Minimum of 40% of each sex participating in maintenance training
- ✦ % reduction public health risks, disaggregated by sex
- ✦ % increase in the number of productive activities, disaggregated by sex

**DEFINITION:**  
**GENDER MAINSTREAMING** refers to the **incorporation of a gender equality perspective into all stages and at all levels of policy, programming and projects.**

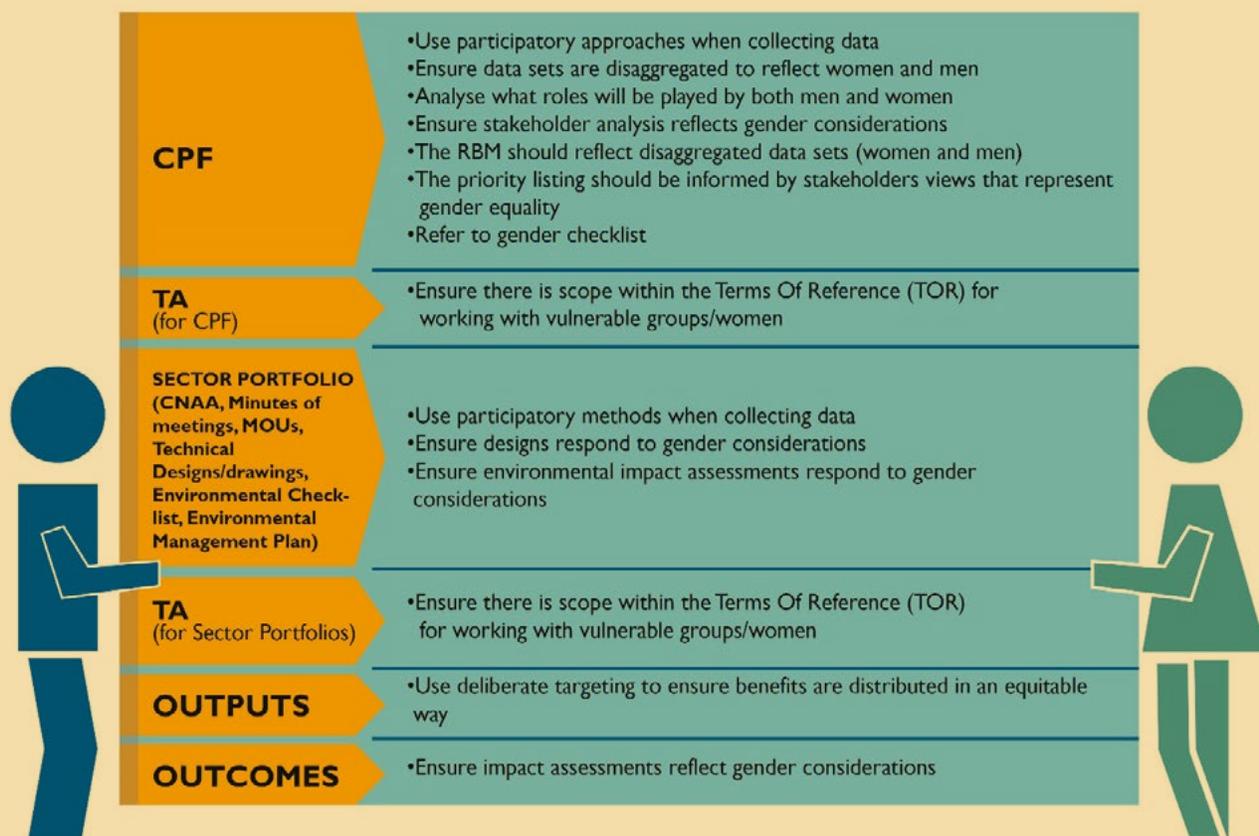
### 5.1.3 BASIC COMMUNITY ACCESS AND DRAINAGE IMPROVEMENT

- Reduced travel time, disaggregated by sex
- Reduced transportation costs, disaggregated by sex of head of household
- Increased number of users (motor vehicle owners and pedestrians), disaggregated by sex, age
- Increased level of productive activities/productivity, disaggregated by sex
- Increased user satisfaction, disaggregated by sex

### 5.1.4 TOOLS FOR GENDER MAINSTREAMING IN THE SUB-PROJECT LIFECYCLE

**Gender mainstreaming is closely linked to gender equality, as it ensures gender issues are dealt with at all levels and stages (from general policies to individual sub-projects)**

## Gender Considerations at Key Stages of the BNTF Project Cycle



**Figure 14: Gender considerations at key stages of the BNTF Project cycle**

**To achieve true, sustainable economic and social development, both sexes must have equal rights and opportunities in all areas of the economy and society.**

### 5.1.5 TOOLS FOR GENDER MAINSTREAMING IN THE BNTF SUB-PROJECT LIFECYCLE

A number of gender considerations need to be considered throughout the sub-project lifecycle.

Below are some practical ways to ensure gender mainstreaming takes place throughout the lifecycle:

#### 1. COUNTRY POLICY FRAMEWORK (CPF):

- Use participatory approaches when collecting data
- Ensure data sets are disaggregated to reflect women and men
- Analyse what roles are to be played by both men and women
- Ensure stakeholder analysis reflects gender considerations
- The Results Monitoring Framework (RMF) should reflect disaggregated data sets (women and men)
- The priority interventions should be informed by stakeholder views that represent gender equality
- Refer to gender checklist

#### 2. SECTOR PORTFOLIOS (CNAA, MINUTES OF MEETINGS, MOUs, TECHNICAL DESIGNS/ DRAWINGS, ENVIRONMENTAL CHECKLIST, ENVIRONMENTAL MANAGEMENT PLAN)

- Use participatory approaches when collecting data
- Ensure design responds to gender considerations
- Ensure environmental impact assessments respond to gender considerations

#### 3. TA FOR COMPLETING SECTOR PORTFOLIOS

- Ensure there is scope within the Terms of Reference (TOR) for working with vulnerable groups/women

#### 4. ARTICULATING OUTPUTS AND OUTCOMES

- Use deliberate targeting to ensure benefits are distributed in an equitable way
- Ensure impact assessments reflect gender considerations



## 5.2 Partnerships

CDB will be a catalyst in forming partnerships to support solution services packages in longer term responses to tackling poverty. The partnership thrust is geared towards facilitating long term social impact and economic development in the BMCs while generating returns for companies and governments.

BNTF therefore engages with both public and private sector entities to expand its scope and reach. 📍

This is important to augment the Programme's delivery mechanisms, in particular, reaching a greater number of beneficiaries and leveraging additional resources for reducing poverty.

Private sector partnerships include charities and civil society organisations such as Charities/Foundations, Business Associations and Chambers of Commerce in order to leverage additional resources and expand the range of IAs for addressing poverty.

One example of this is a pilot project to develop a replicable model for engaging at-risk youth in entre-

preneurship with support from the private sector who work with youth to start and operate a business.

It is envisaged that partnerships can take a number of different modalities. There can be financial and non-financial support for implementation, or secondments from private sector to IAs.

There is also potential for 'knowledge' partnerships with universities and think tanks. BNTF can work with International Financial Institutions (IFIs) for blending of loan and grant funds, or with a provider of specialised funds seeking a partner with operational capacity in the Caribbean. Ministries and welfare organisations which deal with individual cases of extreme poverty could partner with BNTF in the area of livelihoods support, for example ensuring skills of a poor group are enhanced, or assets are provided to support income generation.

The form of arrangement and contractual requirements would be carefully considered based on the specific partnership.

An example of a corporate responsibility partnership is detailed below

### Example of Corporate Social Responsibility

#### CSR-BNTF example of promoting vocational skills:

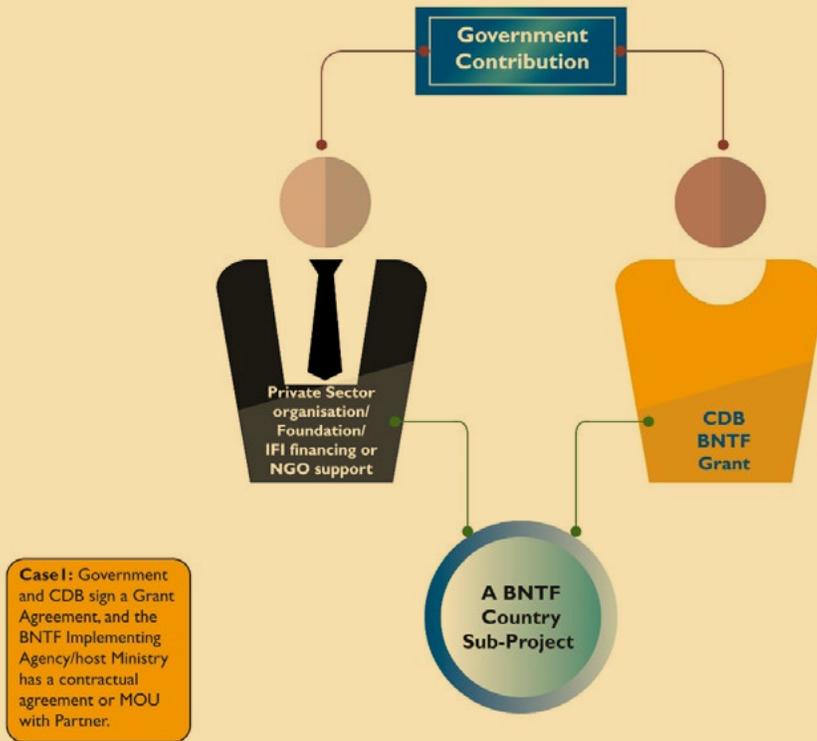
Chamber of Commerce covers electrical, carpentry, garment making, IT and accounting skills. Each of these five pillars has about 45 young people from disadvantaged communities enrolled that attend weekly evening classes for a year.

The training is free to the participants, but BNTF funds 50% cost of teaching and materials \$100,000 for the year. The other \$100,000 is funded by the Foundation, the CSR window of a major telecoms provider. Apart from the funding, the Foundation has agreed to place the top 3 pupils from each stream for a 6-month work experience in its own 'parent' company and other appropriate companies with which it has connections.

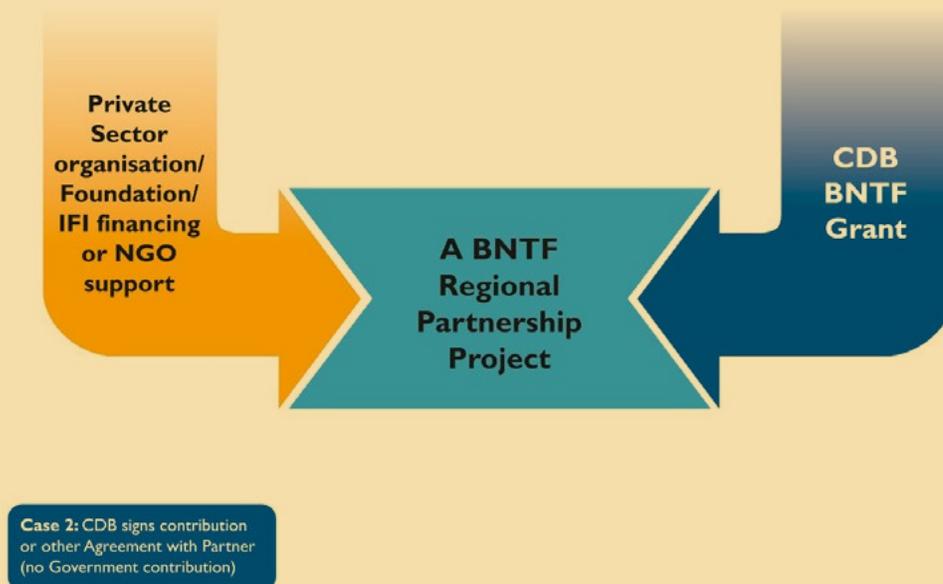
Partnership Example

1

## Diversity in Partnership Case 1



## Diversity in Partnership Case 2



## 5.3 Environmental Sustainability and Climate Change

### 5.3.1 POTENTIAL FOR ENVIRONMENTAL IMPACT

Currently, most PCs only require EIAs for large-scale developments that are deemed likely to cause significant environmental impact. Typical projects covered by environmental legislation include: hotels, airports, marinas, quarrying and mining activities, dams and reservoirs, landfills, gas, oil or petroleum pipeline and depot facilities, etc.

Due to the small scale of typical BNTF projects/sub-projects, many jurisdictions do not require the completion of EIAs. However, all projects large or small can potentially have adverse impact on the environment.

Many BNTF sub-projects, including rural roads, healthcare centres, water supply, drains, etc. have the potential to cause significant environmental impact, and for this reason environmental assessment tools, including checklists, guidelines or the completion of an EIA, may be required.

An EIA consists of two complementary aspects:

1. The impact of a proposed project on the environment
2. The impact of the environment on the proposed project. This requires the integration of natural hazard considerations and/or a natural hazard impact assessment (NHIA) into the EIA process.

Therefore, for the purposes of this manual, the term EIA should be understood to incorporate NHIA.

An important aspect of adapting to and mitigating natural hazards is the development of appropriate guidelines, codes, policies, plans, etc. Based on the prevalence of natural hazards in the Caribbean region, especially tropical storms and hurricanes, the development of appropriate building codes and hazard mitigation (HM) policies/plans are important adaptation measures.

### 5.3.2 EIA OVERVIEW

Large or small projects can potentially adversely impact the environment. For example, an elementary school with a poorly designed septic system can contaminate land, groundwater and nearby surface water, thus ultimately posing a threat to public health. Depending on their location, projects can be vulnerable to the impact of nature. For example, constructing a health centre at a flood-prone site could result in severe damage or complete destruction of the facility in the event of a flood or hurricane, or even worse, result in the loss of lives of patients and staff.

An EIA is a systematic planning process for identifying, predicting, analysing and interpreting the environmental impact, natural hazards and effects of project proposals on the environment. The process also assesses the impact of the environment on the proposed project. Ultimately, the purpose of an EIA is to guide environmentally sound and sustainable decision-making based on the age-old common wisdom that “an ounce of prevention is worth a pound of cure”.

The benefits of an EIA can be direct, such as improved design or siting of a sub-project or indirect such as raising environmental awareness of those involved in the project, including members of the community. Some of the benefits of an EIA include:

- **Ensures more effective avoidance or elimination of environmental impact or damage:** Avoiding the destruction of important natural features such as mangroves by ensuring an appropriate separation buffer between the sub-project and sensitive natural features
- **Allows for improvement in project design:** Avoiding potential adverse impact by requiring assessment prior to project construction, and thereby improving project design (e.g., improving the roof design of vendor stalls for a proposed craft market would make them more wind-resistant in areas determined to be vulnerable to strong winds from tropical cyclones)
- **Provides savings in capital and operating costs:** Avoiding road construction in areas vulnerable to erosion and landslides can significantly reduce the cost of initial construction and ongoing maintenance of the road
- **Identifies measures for monitoring and managing impact:** As project impact is not



always avoidable, forward planning enables implementation of monitoring programs to assess the ongoing effects of a project on the environment and, where necessary, to trigger further action to reduce project impact

- **Increases the potential for public acceptance of a project:** Encouraging community acceptance of (and engagement in) sub-projects by involving the CLO and PMC.

First established as a formal process in 1969 in the United States under the National Environmental Policy Act (NEPA), EIA has now been adopted as a formal legislative process in most countries around the world. There are a number of principles upon which EIA processes were built and that remain today. These include the following:

The EIA process must start early in the planning stage of any development project proposal. This is at the application/project request stage in the BNTF Project cycle. This is to ensure that environmental considerations are taken fully into account in decisions affecting the site, the planning process, mitigation technologies, and alternatives to the project or alternative ways of carrying out the project.

Early and continuous consultation with the affected public is required throughout the process. For BNTF

sub-projects, this includes ongoing consultation with the local community through the PMC.

Assessment should be undertaken only at a level that is required for the type of project being considered – no more and no less.

Development projects that have potentially significant environmental impact must be subjected to a full EIA.

EIA processes include some common and well-defined iterative steps, connected to form a whole, but these may not occur in a chronological sequence. The common steps of an EIA process are the following:

- **Screening:** This is an initial assessment or review to decide whether a proposed development project requires further study in the form of an EIA. For BNTF sub-projects, sector-specific screening checklists and guidelines provide BNTF staff with the necessary tools to conduct this initial assessment.
- **Scoping:** This is the identification of the scope of the project and the key environmental issues, including natural hazards, that require further investigation; it also refers to preparing the TOR for any EIA and related studies.
- **Assessment:** This is the identification, analysis and evaluation of the significance of the envi-

ronmental effects or impact, including socio-economic impact on gender and other key issues.

- **Mitigation:** This is the identification of measures to prevent, reduce, eliminate or compensate for environmental effects or impact (e.g., nuisance noise resulting from the construction of a drain project may be mitigated by erecting a temporary noise barrier between the construction area and the closest residents).
- **Reporting:** This is the presentation of the EIA results in a traceable/reproducible manner in a reader-friendly document.
- **Reviewing and evaluating the EIA:** This involves the review and evaluation of the adequacy of the assessment by the responsible government authorities, taking into account the points of view of other government agencies and stakeholders.
- **Decision-making:** This refers to deciding on the acceptability of the environmental impact, and considering under what terms and conditions the proposal can proceed.
- **Follow-up:** This is the identification of monitoring requirements to establish compliance with the terms and conditions, the effectiveness of mitigation measures and the accuracy of the prediction of the effects and impact on the environment (e.g., when sub-project construction is likely to cause significant environmental impact, BNTF staff may require the construction contractor to develop an EMP to address any residual environmental effects).



- **Public involvement:** This refers to involving key stakeholders and the public to ensure that information about the environment is accessed and that these people's views and values about the environment are considered. Typically, this occurs during the scoping and reviewing steps, but may occur at any other stage of the process. The local BNTF CLO and PMC are responsible for ensuring all legitimate public concerns are addressed as part of the EIA process.

While the components of these EIA processes are similar among countries, these must be set in the socio-political-cultural and legal context of the country or organisation administering or managing the process.

### 5.3.3 SPECIFIC EIA FRAMEWORK FOR BNTF-TYPE PROJECTS

Through extensive consultation with CDB technical experts and BNTF operations officers, an environmental screening framework for assessing BNTF-type projects has been developed. It consists of a series of practical tools to be used throughout the BNTF Project cycle to ensure that environmental considerations (including natural hazard vulnerability, social/gender and other issues) are integrated into all stages of project design and decision-making. These tools, consisting of checklists and guidelines, are intended to provide guidance to BNTF staff in key phases of the BNTF Project cycle including screening, monitoring, supervision, etc.

As was noted above, screening is the first step in many EIA processes. It involves an initial assessment or review to decide whether a proposed project requires further study in the form of an EIA. Initially, this is done by ensuring that the proposed project is located away from sensitive resources and meets community needs. Later in project planning (as project design is refined), screening is also done to ensure that project impact on the environment is minimised and effectively managed.

A screening procedure assesses projects and activities that are potentially subject to EIA and identifies those with the potential to cause significant impact. For these potentially high-impact projects, further study, in the form of an EIA, is required. The output of the screening exercise is to establish the form/level

of the proposed EIA matches the importance of the issues raised by a proposed project.

For BNTF sub-projects, a set of tools in a “toolbox” is provided. These tools can be used at various points in the project cycle to ensure that potential effects and impact are identified and minimised through the design process.

### 5.3.4 AREAS FOR INCLUSION IN AN EIA FRAMEWORK

Several areas must be appropriately addressed (using the environmental screening checklist) to ensure the sub-project successfully meets community needs. They are:

- ↗ Socio-economic impact
- ↗ Gender issues
- ↗ Environmental mitigation measures
- ↗ Natural hazard impact assessment

#### Socio-economic Impact

The objectives of the Social Impact Assessment (SIA) 📌 are to analyse how projects affect people, identify and mitigate adverse impact, enhance benefits, and help manage social change. Given the role of the BNTF Programme to create social change by alleviating poverty, the role of the SIA is integral to any EIA framework for BNTF-type projects.

Social impact is referred to as the real and perceived changes to adult and child populations as a result of a proposed project. Social impact can be caused by:

- ↗ **Demographic change**, including population size and composition. *For example*, a rural road sub-project that improves access to a community may increase the attractiveness of that community to others, resulting in an influx of new residents to the community.
- ↗ **Economic change**, including employment and income. For example, locating a new craft market in a community may increase employment opportunities for local artisans, thus increasing income for some, or providing a first source of income for others. A change in income sufficiency could affect the power dynamics within the home.

- ↗ **Environmental change**, including change to air, water and soil quality. By adopting appropriate EIA methods, BNTF sub-projects can avoid adverse environmental change. For example, through community consultations in the earliest stages of the project cycle, projects can be designed to preserve water quality in the rivers and creeks used by the local community.
- ↗ **Institutional change**, including new laws and administration. For example, new mandatory building code requirements can help to mitigate natural hazards such as hurricanes and earthquakes, and ultimately save human lives.

#### Gender Issues

Gender equity is a prime objective of CDB and, as such, it is very important to integrate gender issues into all aspects of BNTF sub-project planning and implementation.

Gender inequities or imbalances can affect:

- ↗ **The selection of projects** – Males and females within a community may have differing opinions on the type of projects that would be most beneficial to their community. *For example, while men may prefer to improve rural roads (as they own vehicles), women may prefer a potable water project (as this promises to reduce the time and effort they spend fetching water).*
- ↗ **Labour issues** – Community gender dynamics typically determine who is involved in and employed in designing, constructing and operating sub-projects. In a male-dominated community, women may be excluded from these aspects of the project cycle.
- ↗ **The provision of services** – Some services may be more beneficial to one or the other sex. For example, healthcare centres tend to cater to maternal and child health and, as a result, are predominantly used by females (as traditionally, women are responsible for child healthcare). Extending healthcare services to include chronic care can result in wider usage by both male and female elderly patients.
- ↗ **Access to facilities** – sub-projects such as laundry facilities and day care centres are more likely to be used by females (as traditionally, women take on family roles and responsibilities for housework and childcare). Because of traditional percep-

tions of male and female jobs, some women may therefore hesitate to access certain types of skills-training sub-projects (e.g., masonry and brick laying).

- Types of programme – Certain programmes may be underrepresented within a community or the broader society. For example, training in occupational health and safety may be overlooked, but is very important to men (more than women) as they are typically employed in jobs with a high risk of injury (e.g., construction and farming).

To understand gender issues, it is necessary to collect community data that addresses at least the following questions:

- Who in the community is responsible for healthcare maintenance?
- Does the community consider the health and education of men, women and children equally?
- Is there a gender division of labour (who does what and where)?
- Who does what in times of disaster? For example, who is likely to secure the home before a storm hits?
- Who has access to and control of resources in the community? How does that affect the likely benefits of the sub-project?
- Where does knowledge reside in the community?

Some of this information can be collected by the CLO; other data can be collected during desk research during the CNAA process.

## Environmental Mitigation Measures

### Understanding the measures

Every project has the potential to impact the environment and local community. Mitigation measures are ways or means of reducing negative impact and enhancing positive benefits. To address mitigation as an integral part of project planning and design, EIAs and generic and sector-specific checklists and guidelines should be used. The purpose of mitigation is to:

- Find better ways of executing a project
- Enhance environmental and social benefits
- Avoid, minimise or remedy adverse impact
- Ensure that any remaining or residual impact is within acceptable levels

The identification of mitigation measures in any situation is guided by a series of four basic principles. These principles provide a framework for identifying the type and order of measures that should be considered.

- The first principle is that **preference will be given to avoidance and preventative measures**. Impact avoidance for BNTF sub-projects can be achieved by: a) not undertaking certain projects or elements of projects; b) avoiding environmentally sensitive areas; and c) using measures to prevent impact occurring. This can often be accomplished by shifting or changing the location of the entire project (or some part of it) and/or changing how or when the project is undertaken.
- The second principle is to **consider feasible alternatives to the project**. This principle asks: Is there a better way to undertake the project, resulting in less impact on the environment? This could mean looking at different sites, and different technologies or designs. For example, a drainage sub-project could be located at a more moderate gradient, could incorporate buried or open pipes/culverts, and could consider the use of pipes, wetlands and ditches.
- The third principle is to **identify customised measures to minimise each major impact**. This includes measures which could be applied to the project, and measures which could be applied to the resource or feature being impacted. Impact minimisation can be achieved by: a) scaling down or relocating the proposal; b) redesigning elements of the project; and c) implementing measures to manage impact. For example, roadways adjacent to the project site can be watered to reduce dust, temporary barriers can be installed to reduce noise, and an excavated area can be re-vegetated to reduce the risk of landslide. It is important that the proposed mitigation measures are appropriate to the situation and cost-effective for the project.
- The fourth principle is the **use of compensation where impact cannot be mitigated** and there is no direct benefit to the area affected. Compensation for impact to the natural environment can be achieved by: a) rehabilitation of resource or environmental components; b) restoration of the site to its previous state; and c) replacement at another location of the environmental values lost. Compensation is generally regarded as a last resort in mitigating environmental impact.

**Table 8: Environmental mitigation measures**

IMPACT	MITIGATION MEASURES	APPLICATION WHERE/WHEN
<i>Biological Resources</i>		
Removal of significant resource	Avoid removing the resource	During site clearing and grading
	Minimise removal	
	Undertake restoration	
Stress on biological communities	Avoid sensitive periods such as breeding seasons	Construction phase
Stress on environmentally sensitive areas	Avoid areas identified as environmentally sensitive such as wetlands, shorelines, etc.	For construction of permanent facilities
Introduction of invasive (non-native) species	Undertake restoration planting	During site restoration, following construction
	Use native species only	
<i>Water Quality and Quantity</i>		
Sedimentation and turbidity of adjacent water bodies	Use buffers and setbacks	After site grading and during construction on slopes and channels
	Undertake staging work	
	Ensure erosion control	
Changes in volume of surface runoff	Avoid changes in normal flow patterns	At all stages of construction
Change in water quality	Proper disposal of hazardous materials; monitor sanitary facilities and wastewater treatment systems	During construction and for all facilities with permanent discharges
	Treat water before release into natural environment	
	Apply an appropriate distance separation between the water source and livestock and human settlement	
Potential for sea level changes	Avoid areas susceptible to tidal influences, storm surges, etc.	For construction of all permanent facilities especially schools, day care centres, etc.
<i>Flooding</i>		
Change in flood storage capacity	Avoid placement of fill or structures in flood plain	During construction
Potential of flood in project area during storm events	Move project out of flood plain	All residential facilities
Drainage impairment (permanent)	Avoid negative changes to existing drainage system	Drainage projects and permanent structures
Drainage impairment (temporary)	Avoid blocking drainage with construction debris	During construction
<i>Air Quality</i>		
Dust from construction activities	Water the roads; reduce aggregate stockpiles	During construction
<i>Noise and Vibration</i>		
Increase in noise	Use buffers and setbacks	During construction and facility operation
	Include noise barriers	
	Introduce time and place restrictions	
Increase in vibration	Use buffers and setbacks	During construction
	Reinforce foundations	
	Introduce time and place restrictions	
<i>Slope Instability and Erosion</i>		
Erosion by wind and water	Undertake restoration planting	During construction and facility operation
	Avoid highly erodible soils	
	Stabilise slopes	
	Undertake compaction	

IMPACT	MITIGATION MEASURES	APPLICATION WHERE/WHEN
	Include seeding	
	Include toe drainage	
Slumping of encroached slopes	Avoid potentially unstable slopes	When erecting permanent structures
	Undertake re-vegetation	
	Restrict de-watering near slopes	
Rockfall hazard	Provide buffer zone	Blasting
		Steep weathered slopes
<i>Social Conditions</i>		
Removal of farmland from production	Ensure replacement or compensation	Resources are permanently lost
Relocation of residences	Seek to avoid	
	Ensure replacement or compensation	
Project inconsistent with/disrupts character of area	Preserve existing amenities/local character as much as possible	
	Landscape with suitable vegetation at the access points, site periphery and around any buildings	
	Design and site structures to blend in with the forms and materials of adjacent buildings	
Scarring of significant landscape features	Seek to avoid	During construction
<i>Building Issues</i>		
Hazardous building materials	Secure where integrity is not compromised	During renovation
	Remove and dispose off-site if integrity is compromised	
	Replace with new building materials	

### Project supporters have a responsibility to:

- Avoid, minimise and remedy adverse impact
- Accept responsibility for the environmental and social costs of the proposal
- Prepare plans for managing impact
- Repair or compensate for environmental damage

All of these issues must be covered in an environmental and social impact assessment (ESIA) from which an environmental management plan (EMP) is extracted for works contracts.

### The purpose of the EMP is to:

- Identify all residual environmental impact specific to the project

**An Environmental and Social Management Plan (ESMP) consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a project to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels. The ESMP also includes the measures and actions needed to implement these measures.**

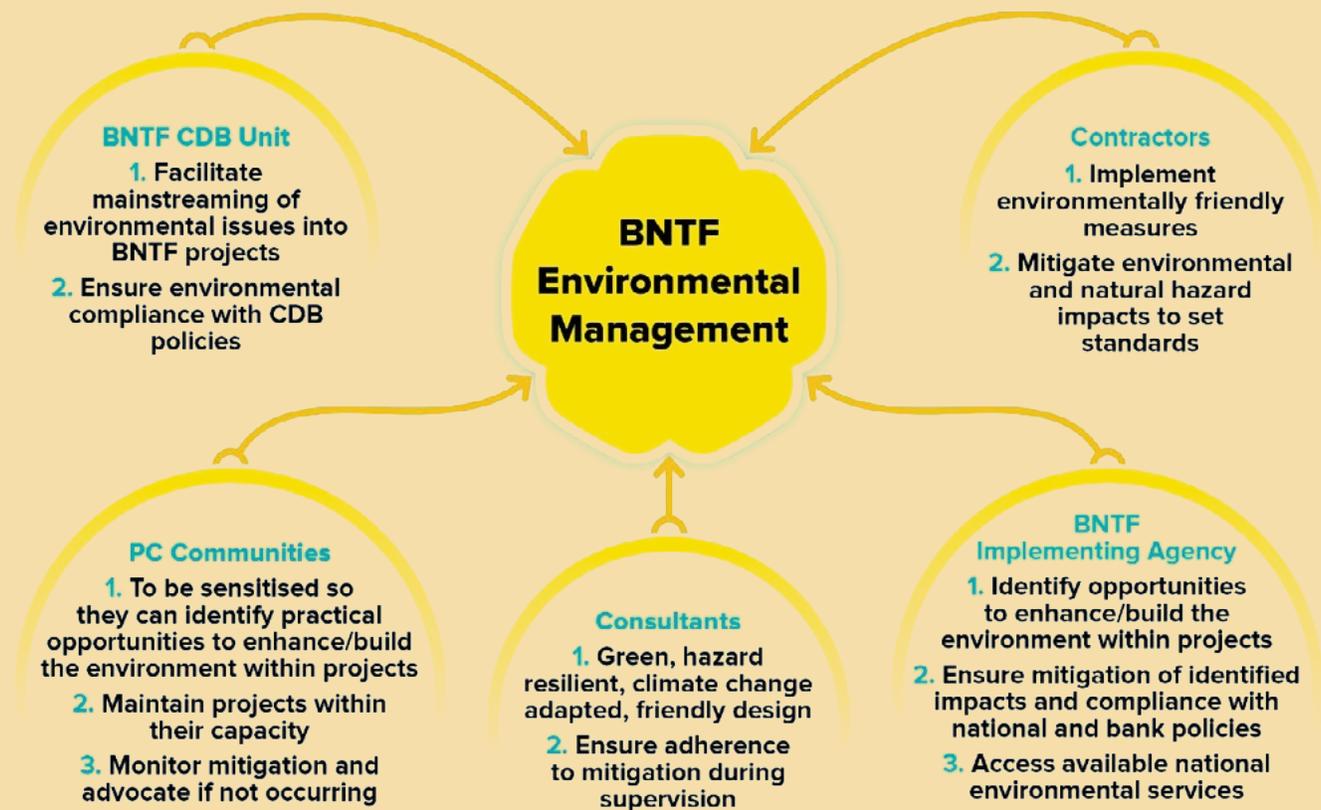
The World Bank Environmental and Social Framework, 2017

- ✦ Establish procedures for mitigating all residual impact
- ✦ Establish a clear chain of command for responding to project emergencies
- ✦ Establish a clear line of communication between the project supporters and local rapid-response agencies (e.g., the fire, police, and ambulance

services) to enhance efficiency of response in an emergency

- ✦ Identify compensatory actions, if required
- ✦ Special short-and long-term monitoring requirements for critical parameters, including pollutants and natural hazards

## Stakeholder Contribution to EMP



**Figure 15: Stakeholder contribution to EMP**

The EMP can therefore be used to identify, respond to and mitigate environmental issues associated with a project.

### Using mechanisms to mitigate impact

Table 8 above provides examples of possible site-specific situations and the measures that can be

taken to mitigate sub-project impact. This list is illustrative only and gives a starting point from which to address specific issues identified during the screening process. With any potential adverse environmental impact, the objective is to avoid, prevent or minimise impact.

### a. Definition of natural hazards

The term “natural hazard” generally refers to all atmospheric, hydrologic and geologic (especially seismic and volcanic) phenomena that – because of their location, frequency, duration and degrees of intensity – have the potential to adversely affect humans, their structures, or their activities. Excluded from consideration are hazards to human-ecological systems that are not necessarily related to the physical environment (e.g., fires, infectious diseases, war, pollution and chemical contamination).

Regardless of their origin (tectonic, hurricane, etc.), there are five critical features or dimensions that typically characterise natural hazards:

1. Frequency of occurrence
2. Magnitude of release
3. Intensity – size and concentration of impact and effects
4. Time dimension, which includes the suddenness of onset and duration
5. Space dimension – the area and ecological setting in which events unfold, including distance from “ground zero”

These features of natural hazards form the basis of objective risk assessment and prediction models. The combination of physical factors of landform and terrain, environmental factors of land use and ecology, and human health factors, is used to determine the potential for disasters and to design structural mitigation measures.

Events of low magnitude and intensity that do not cause loss of life, structural damage and or disruption in the flow of goods and services, rarely give rise to disasters. These events tend to have a higher frequency than those of high magnitude and high intensity (i.e., events likely to generate a disaster). However, high-frequency low-intensity events may play an important role in creating conditions that reduce or enhance resistance to low-frequency high-magnitude/intensity events. For example, coastal roads in Caribbean islands receive constant wear and tear from wave action and winter high sea swells. This weakens their structure. Lack of regular repair and maintenance make these roads suscep-

tible to damage and, in many cases, destruction from low-frequency, high-intensity hurricanes.

### b. Types of natural hazard experienced in BNTF Sub-projects

The Caribbean is a hazard-prone region and, in the last decade, each of the PCs has experienced natural disasters caused by several of the hazards listed in Table 9.

The table indicates that of all the participating PCs, Guyana has the lowest hazard exposure.

There is locational variation in natural hazard exposure so that coastal regions may be prone to storm surges and flooding and hillsides prone to landslide. Latitude also affects hazard frequency, with countries to the north experiencing more frequent droughts and hurricanes than countries to the south.

From the field and literature surveys, BNTF-type projects are likely to be affected by the following hazards:

- Flooding of buildings or linear access routes
- Landslide, especially during torrential rain and storm events when facilities are badly sited on unstable slopes
- Wind damage from tropical cyclones
- Earthquakes resulting in failure of engineered structures
- Storm surges and damage from wave erosion
- Secondary impact due to disruption of transportation and communications infrastructures (e.g., failure of roads and bridges; broken utility poles)

### c. Impact of natural hazards

There are four main categories of major natural hazard impact and cost:

6. Costs to the built environment (mostly direct impact) – these include residential, commercial and industrial buildings, and communications and transportation infrastructures
7. Indirect impact and costs to the business community – these include insured and uninsured interruptions and failures, and transfer of benefits and income
8. Direct and indirect impact and cost to social structure, health and safety – these include loss

of human life, increased illness, psychological trauma and disruption of social services

9. Impact to natural resources and ecosystems (direct and indirect) – these include loss of crops and forest resources, short- and long-term environmental degradation, temporary and permanent loss of ecosystems, loss of species habitat, and species extinction

The magnitude of the hazard impact is determined by the nature of the event itself as well as a combination of vulnerability determinants. For instance, the impact of flooding in Guyana differs to that of other PCs due to topography, socio-economic factors and building design. The direct impact of a flood event in St. Lucia may last for few days but in Guyana it may last for several weeks and secondary or indirect impact is likely to be greater.

Small island PCs must also consider and plan for the likely impact of climate change on marine, fresh water and coastal resources, as well as for externalities from migration and emigration. Some examples of the effect of climate change on PCs include:

- Reduced island size (due to sea encroachment and coastal erosion)
- Reduced shore length and changing shoreline
- Decreased ground water (lens) capacity (associated with reduced landform area)
- Increased exposure of freshwater and vegetation to salination (due to wind-borne salt and sea water in porous ground)
- Reduced food production (less land area and increased salination)
- Increased incidence and penetration of tropical cyclones and sea surges
- More extensive and longer lasting food shortages
- Increased risk of malnutrition, environmental health hazards, epidemics (e.g., cholera, typhoid and schistosomiasis)
- Movement of human settlements from coastlines (where possible)
- In-country migration to urban centres (for the achievement of apparent security)
- Emigration between countries from low islands to higher land
- Increased demand for emigration to continental countries and consequent “ecological refugees”

**Table 9: Examples of natural hazard experienced in PCs**

Country	Hurricanes	Storms	Storm surges	Floods	Drought	Earthquakes	Volcanic eruptions
Belize	✓	✓		✓		✓	
Dominica	✓	✓	✓	✓		✓	
Grenada	✓	✓	✓	✓			
Guyana		✓		✓			
Jamaica	✓	✓	✓	✓		✓	
Montserrat	✓	✓	✓			✓	✓
St. Kitts and Nevis	✓	✓	✓	✓		✓	
St. Lucia	✓	✓	✓	✓	✓		
St. Vincent and the Grenadines	✓	✓	✓	✓		✓	✓
Turks & Caicos	✓	✓	✓		✓		

## 5.4 Maintenance

The BNTF Programme emphasises maintenance as an environmental sustainability issue. In addition to engaging communities to discuss maintenance and foster ownership, the programme provides resources to facilitate new approaches, complementing the efforts of executing agencies. Responding to the lack of proper maintenance of completed BNTF-funded infrastructure, future BNTF Programmes seek to increase technical oversight and promote the use of higher-performance specifications and sector-specific standards for infrastructure design.

Effective maintenance ensures:

- Structures last longer
- Resources are conserved (and money is saved)
- Future maintenance tasks are minimised
- Structures remain attractive and safe for use

Each PC must set priorities and follow good maintenance practices for each infrastructure sub-project financed under BNTF grants. Governments are required to keep (or cause to keep) all such infrastructure in good condition.

The BNTF also promotes incentivised approaches to maintenance as part of the overall strategy to ensure the upkeep of community infrastructure. This is necessary to support long-term delivery of sub-project benefits.

### CHURCH-RUN SCHOOL MAINTENANCE IN DOMINICA

The sustainability of church-run schools in Dominica is considered a church responsibility. A BNTF consultant worked collaboratively with a church-appointed engineer to find a suitable maintenance solution. As each church-run school is insured (to a level of 75 percent coverage) and is responsible for its own maintenance, the best solution is that parents now pay additional fees to cover both insurance and maintenance.

### TYPES OF MAINTENANCE

**Routine** – ongoing activities required because of continuous use of facilities, such as cleaning washrooms, grading roads and mowing lawns

**Preventative** – occasional adjustment to ensure continuous working condition, such as lubrication and inspection of mechanical equipment

**Major** – performed once every few years, such as floor replacement, re-roofing or complete re-painting

**Emergency** – reactive response to unexpected breakdown of assets/equipment, typically unpredictable and difficult to schedule

### REPORTING

All PCs have to report on BNTF Programme outputs for maintenance (as set out in the indicative RMF):

- Amounts budgeted by government for routine maintenance
- Amounts budgeted for preventative maintenance for each infrastructure sub-project
- Percentage of maintenance committees that are functioning

#### 5.4.1 MAINTENANCE STEPS

**Step 1:** Form a maintenance committee with a team comprising

- ✓ Administration
- ✓ Inspection & Maintenance
- ✓ Funding

**Step 2:** Prepare an asset inventory, identifying the physical features (e.g., area, materials, etc.) of all assets (e.g., schools, roads, etc.) that require maintenance

**Step 3:** Identify and define maintenance activities/tasks to be undertaken on each asset, and the type and frequency of work required

**Step 4:** Estimate time requirements for each task

**Step 5:** Develop an annual maintenance inspection and work schedule

## 5.5 Community Participation and Empowerment

The BNTF Programme includes technical assistance to facilitate stakeholder and beneficiary engagement and to enhance institutional and community development processes. The CLO plays a key role in these processes.

To fully realise anticipated positive social, environmental and economic impact, significant support must be given to communities that lack the requisite capabilities to participate in sub-project implementation and management. Typically, support is needed in areas such as community empowerment and local institutional strengthening.

### DETAILS OF THE MAINTENANCE COMMITTEE:

- Different users of the facility
- Men and women
- 7-9 members
- Meet monthly
- Keep minutes

### THE ROLE OF THE MAINTENANCE COMMITTEE

- Prepare activities chart
- Maintenance budget
- Preventative maintenance
- Organise routine maintenance
- Carry out regular inspections and conduct small repairs as needed
- Raise funds
- Organise maintenance-awareness campaign
- Report problems

Project Monitoring Committees (PMCs) and maintenance committees are expected to promote community participation and to foster sustainable

BNTF outcomes. Other measures should be used to strengthen participatory processes and enhance management of potential social risk – these include using community development plans, where available, and facilitating active partnerships with NGOs and CBOs in beneficiary communities.

It is essential to engage and involve local communities in BNTF initiatives. One important vehicle for ensuring this is the PMC formed by the IA for each sub-project. A Memorandum of Understanding (MOU) is prepared in cases where an NGO is implementing or executing the sub-project and is receiving funding or some other form of assistance from the BNTF grant.

The CPF is an important instrument for promoting participation, empowerment and ownership by communities.

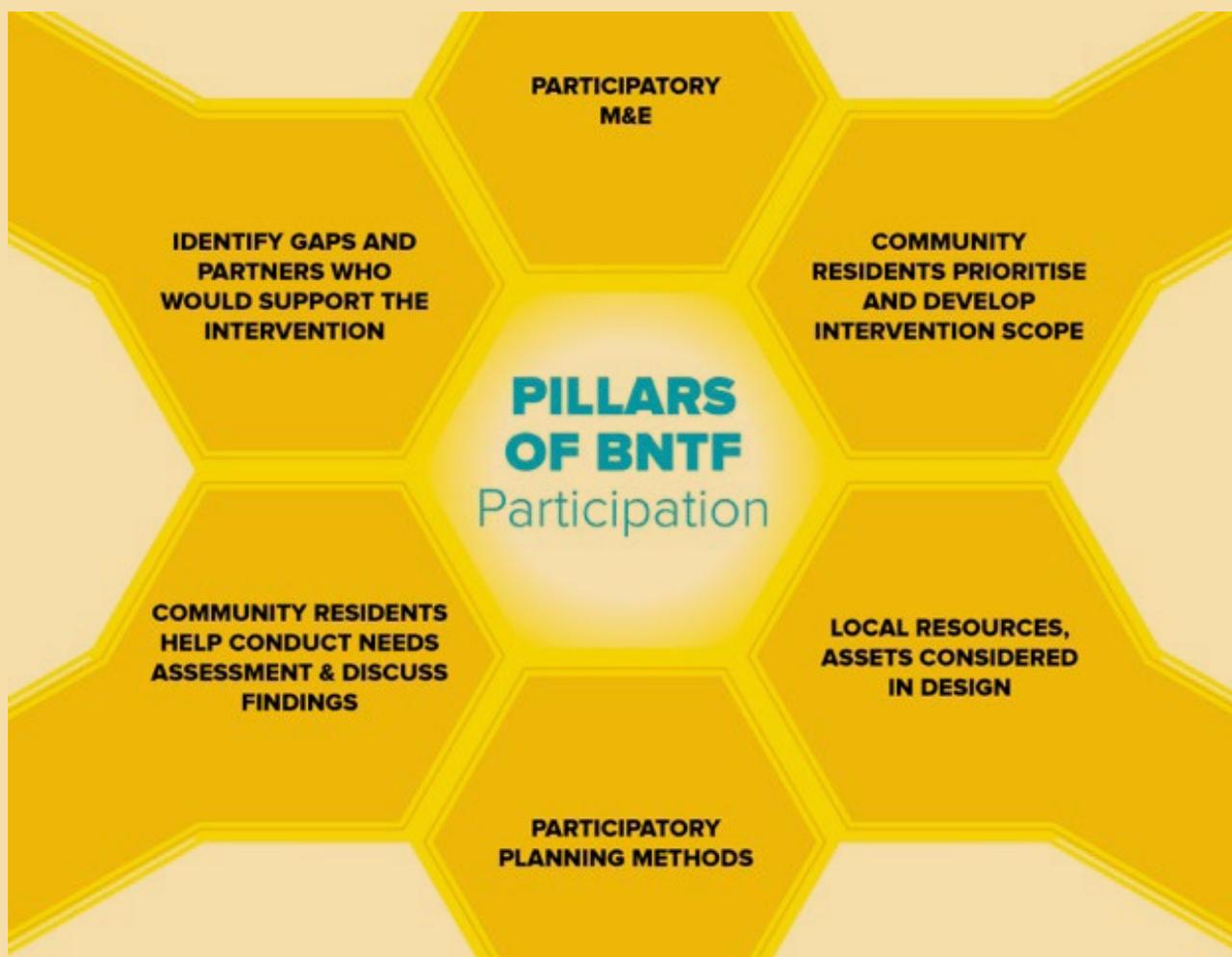
To minimise potential social risks and to optimise BNTF social benefits, social impact assessment screening should be conducted on all sub-project applications. This also ensures social and poverty reduction dimensions are adequately addressed and principles of community participation and empowerment are adequately observed. At the end of each sub-project, a participatory beneficiary assessment is conducted to capture data on outcomes. A community benefits plan is co-implemented by the CLO and the consultant engineer.

Here are a few tips to encourage greater community participation:

- Information about community needs is best obtained from community members
- It is essential to involve all members of the community (men, women, youth of both genders, the elderly, disabled and disenfranchised) and their involvement should be documented (e.g., number of men and women attending each community meeting)
- Do not assume that one person or group speaks for everyone
- Consider each person's opinion
- Verify information and perspectives
- Extraordinary efforts may be necessary to encourage the participation of certain groups (e.g., it may be necessary to conduct separate consultations for men and women)

- Different community members have different perceptions, needs and suggested solutions
- Mediate and look for common ground, but do not limit discussion on differences

- Ensure the process is open and transparent
- Community dialogue and co-operation should be encouraged as consultations form part of the community capacity development process



**Figure 16: Pillars of BNTF participation**

### 5.5.1 BUILDING COMMUNITY COHESION

Capacity building contributes to the reduction of poverty through enhanced opportunities for employment and increased earnings. It also contributes by strengthening cohesion in communities for priority building and the management of assets.

#### Major objectives

The major objectives of capacity building are:

1. To enhance the capacity of individuals in communities with marketable skills to access and/or improve employment and other income-generating opportunities to improve and sustain income-earning capacity
2. To strengthen fragile community organisations to help create better leadership and community mobilisation
3. To strengthen the institutional capacity of implementing agencies for improved accountability and sustainability of interventions

Areas of capacity building include:

### 1. YOUTH AT RISK

The BNTF Programme helps to fund pilot sub-projects that apply selected approaches to (a) divert youth from crime, (b) give individuals new opportunities to reach their full potential, and (c) facilitate capacity-building and empowerment among CBOs.

### 2. LIVELIHOOD ENHANCEMENT SKILLS

Opportunities for the acquisition of skills that support economic activity are a primary vehicle through which the BNTF contributes to poverty reduction. Capacity-building programmes seek to empower individuals (and where appropriate, groups) to achieve independence and esteem through increased capabilities to earn and attain secure livelihoods. Capacity building should be provided to youth and adults, and should seek to enhance and sharpen the knowledge, technical skills and social attributes necessary for entry and satisfactory participation in the labour force.

### 3. COMMUNITY CAPACITY-BUILDING SKILLS

Support is provided for inclusion of vulnerable individuals and groups in mainstream economic and social activities. Such interventions facilitate training to acquire skills in leadership and decision-making, ICT, conflict resolution, participatory planning and monitoring and other community-organising activities such as disaster mitigation planning. Support is also given to strengthen stakeholder institutions that ensure the sustainability of BNTF sub-project outcomes in communities.

### 4. INTEGRATING CAPACITY BUILDING INTO SUB-PROJECTS

The BNTF recognises the important role of sub-projects as catalysts in the process of community development and community mobilisation. To support capacity building (of individuals, organisations and communities), each infrastructure sub-project should include appropriate capacity-building components, and these should not be limited to training in maintenance skills.

### 5. CITIZEN SECURITY AS A SPECIAL CONSIDERATION

The focus is on preventing crime and violence. Therefore, when planning an intervention, special consideration should be given to:

- ☑ Enhancing community cohesiveness by building capacity in conflict-resolution and negotiation, parenting skills, and training of community leaders, parents, teachers and youth in social and situational crime prevention
- ☑ Building the resilience of at-risk youth (the unemployed and those who have come in contact with the law as victims and perpetrators) by supporting entrepreneurial training, job placement/internships, and providing second-chance education and training opportunities
- ☑ Decreasing domestic and gender-based violence through training in gender equality and counselling of victims and offenders

Citizen security is treated as a mainstream issue. Interventions should aim to enhance the capacity of PCs to improve citizen security and prevent crime and violence, especially by focusing on preventative factors.

## HERE ARE SOME OF THE WAYS IN WHICH CITIZEN SECURITY CAN BE MAINSTREAMED:

1. Strengthen the role of the school as a socialisation and transformation agent (use the opportunity to influence the pro-social thinking of children from an early age; strengthen the ability of teachers to influence student behaviour)
2. Enhance community cohesiveness and resilience (give parents something to rally around; also give youth and adults something that provides hope and opportunities for success in life)
3. Increase the resilience of at-risk youth including the unemployed and those who have come in contact with the law as victims and perpetrators (give opportunities to obtain useful qualifications that are also portable; show them about sustainable development; help them to rise from poverty)
4. Reduce domestic and gender-based violence
5. Improve living conditions through environmental design (upgrade settlements, provide safe green spaces for community activities)
6. Enhance the policy and legislative frameworks for citizen security

Young females are also vulnerable and are disadvantaged by:

- Low skills
- Labour market gender stereotyping
- Teenage pregnancy

They are also more likely to be victims of abuse, in particular gender-based violence.

Sub-projects should seek to address the high rates of violent crime that are caused by these issues. They should also provide support for citizen well-being and security. Particular attention should be paid to the participation of male youth in criminal activity, as both victims and perpetrators of violent conflict.

### QUICK LINKS TO RESOURCES:

- [Results Monitoring Framework](#) ⬇
- [Guidance paper on BNTF partnerships](#) ⬇
- [Social Impact Assessment Guidelines](#) ⬇



## CHAPTER 6: GOVERNANCE OF SUB-PROJECT IMPLEMENTATION

## 6.1 Governance

The BNTF Programme supports good governance in the context of the CDB Strategy on Governance and Institutional Development (2003), using broad-based participatory methods, accountability mechanisms, transparent procedures and clear definitions of project/sub-project responsibilities and the criteria for project/sub-project selection and implementation.

Good governance is governance that emphasises the equitable, efficient and responsible management of public and corporate resources for the benefit of all stakeholders. It is characterised by structures, systems and processes which:

- Include all stakeholders and encourage their participation
- Are responsive and transparent to all and facilitate the free flow of information
- Hold individuals and institutions accountable
- Are guided by well-understood rules that are justly enforced

The OE and IA have key responsibilities in good governance. They are expected to provide support from the top to help ensure:

- All sub-projects are demand-led (by targeted geographical communities or communities of interest) and have the written sponsorship of the beneficiary community groups (NGOs, CBOs, faith-based groups)
- A PMC, comprising between five to seven representatives of the beneficiary community, is established for the implementation of each sub-project. The PMC provides the means for community participation during the implementation phase of the sub-project. The roles and responsibilities of the sponsoring agency, IA and PMC should be detailed in a Tripartite Agreement (beneficiary community, responsible Ministry/department, and IA), or by two or more Bilateral agreements (beneficiary community/

IA and IA/responsible or sponsoring ministry/department).

- Arrangements are made by the PM for a sub-committee of the OE to visit selected sub-project sites to review whether the selection criteria are being met, and report their findings to a meeting of the full OE
- Resources from the Country Project are used for public promotion of all aspects of the sub-project in the public media (newspapers, radio, television and community spaces) including dissemination of information on the BNTF Project. This is to ensure public awareness of project resources and to empower poor communities to participate in all aspects of the project, including disaster mitigation and undertaking continuous good preventative maintenance practices on completed sub-projects
- The design of each sub-project is a least-cost solution, conforming to the specific criteria and sector policy standards established for that type of sub-project. The design should also minimise recurrent maintenance costs and comply with all relevant local planning requirements and building codes, including best practice for mitigation of hurricane and other hazards
- A list of eligible contractors to be invited to tender for the execution of infrastructure sub-projects is compiled by the IA in conjunction with the sponsoring agency. Contractors engaged for implementation of sub-projects shall, as far as practicable, be encouraged to employ as many

men, women and youth of both genders as possible from the beneficiary community. The bidding process must conform to the procurement policies and procedures for projects financed by CDB.

MOUs are established by the IA with state utilities likely to carry out

the works. MOUs may also be used between IA and NGOs to facilitate HRD sub-projects. In both instances, these utilities and NGOs are referred to as co-implementors. A sample of MOUs is provided.

**The CDB Strategy on Government and Institutional Development defines governance as: “The processes by which power and authority are shared and exercised in society, and influence exerted over policies and decisions concerning human development and well-being”.**

## 6.2 Procurement

Procurement will be in accordance with the Procurement Policy for Projects Financed by CDB (November 2019) and the Procurement Procedure for Projects financed by CDB (January 2021) respectively are intended to ensure:

### DEFINITION:

**The assessment by an IA of the suitability of firms to carry out a particular contract prior to being invited to submit a bid.**

- ✦ A fair and transparent procurement process.
- ✦ Assessment of contractors solely on competence, capability and cost (without reference to gender, religion, age, political affiliation or race).
- ✦ Tender and contract documents include appropriate and sufficiently detailed specifications/terms of reference to clarify the nature of work, goods and services with appropriate drawings and other illustrations as required; these document should refer to national/international standards and procedures (to verify specification compliance and standards of defect/deficiency remedy)
- ✦ Consideration is given to economy, efficiency and quality.
- ✦ Procedures include reviews at various process stages and proper approval of decisions.

Procurement must be in accordance with the procedures in each Grant Agreement and as detailed in accordance with the Procurement Policy for Projects financed by CDB (November 2019) [⬇](#) and the Procurement Procedure for Projects financed by CDB (January 2021). [⬇](#)

Contracts and procurement specifications may only be adapted, if efficient and acceptable to the CDB.

### Pre-Qualification

#### a. Why Pre-Qualification?

Pre-qualification is important to each sub-project as it ensures the contractor (or the firm/joint venture that is awarded the contract) is suitably experienced in the type of work and technology involved, is financially and managerially sound, and can provide all the equipment required on time.

#### b. Purpose of Pre-Qualification

Sub-projects require pre-qualification to ensure that only eligible contractors and suppliers (those who have adequate capability and resources to perform the particular contract satisfactorily) can bid. Pre-qualification is not necessary for small routine contracts but is usually necessary for larger contracts and more complex works.

#### c. Pre-Qualification Criteria

- ✦ Country eligibility to participate in the procurement opportunity
- ✦ The experience of the contractor/firm/joint venture, and its past performance in contracts of similar scope and complexity
- ✦ Adequate capabilities, including personnel, equipment and construction/manufacturing capabilities
- ✦ Financial position
- ✦ Litigation history

### Procurement Methods

The main methods of procurement used by the BNTF are as follows:

**1. 'NATIONAL COMPETITIVE BIDDING' (NCB) IS THE COMPETITIVE BIDDING PROCEDURE FOR PUBLIC PROCUREMENT IN THE PC. SEE FULL DETAILS IN CDB'S GUIDELINES FOR PROCUREMENT [⬇](#)**

Important considerations for developing proper national bidding documents:

- ✦ Effective advertisement
- ✦ Eligibility
- ✦ Qualification of bidders
- ✦ Standard bidding documents
  - Language
  - Bid prices
  - Bid security

## 2. 'LIMITED BIDDING' IS INVITING A MINIMUM OF THREE BIDDERS TO PROVIDE QUOTES FOR THE JOB.

- Comparison of price quotations from at least three suppliers (goods) or contractors (simple civil works)
- Request for quotations must include description, quantity (goods), specifications (works), desired delivery/completion time and place (goods)
- Quotations should be submitted by letter, fax or electronically
- These should be evaluated based on specification requirements, and the award should be made to the lowest-cost acceptable quotation
- The terms of the accepted offer should be incorporated in a purchase order or brief contract

## 3. 'DIRECT SELECTION' IS CONTRACTING WITHOUT COMPETITION.

This is used in the procurement of limited quantities of goods, services or works.

- Maximum allowable per sub-project (not per contract) = US\$50,000
- Maximum value per item = US\$7,500
- Item must be already on the shelf in the "source" country (no ordering)
- The "source" country must be a CDB member country (in the case of BNTF)
- The "origin" of an item may be any country\*

## 4. COMMUNITY PARTICIPATION IN PROCUREMENT IS USED IN SOME CIRCUMSTANCES.

This method can be used when, in the interest of sub-project sustainability, or to achieve certain specific social objectives of the project, it is desirable in selected project components to:

- Call for the participation of local communities and/or non-governmental organisations in the delivery of services
- Increase the utilisation of local know-how and materials
- Employ labour-intensive and other appropriate technologies

## 5. ENGAGEMENT OF CONSULTANTS MAY ALSO BE CONSIDERED.

Consultant selection must be in accordance with the Procurement Policies and Procedures for Project financed by CDB (January 2021), with enhanced procedures for Jamaica.

The process of engagement begins with advertisements placed in one or more high-circulation newspapers in the BNTF PC. Interested parties should be registered on the CDB website ([www.caribank.org](http://www.caribank.org)) and are invited by the IA (in consultation with CDB) to submit statements of capability. This process may be conducted not more than twice per year.

Shortlisted firms or individual consultants may be selected to provide the following services:

- Design, review and/or supervise the implementation or construction of infrastructure projects/sub-projects
- Skills training
- Organisational development
- Community development
- Services in other areas, as required

The procurement procedures, specifications and contract packaging must be suitably adapted to reflect these considerations, provided these are efficient and are acceptable to CDB. The procedures proposed and the sub-project components to be carried out by community participation must be outlined in the Financing Agreement and further elaborated in the relevant sub-project implementation document approved by the CDB.

For some sub-projects, it may be necessary to hire several consultants. For each engagement, the IA uses the following standard documents:

- Consultant agreements (CAs) including Terms of Reference (TOR)
- Standard bidding documents for procurement of works
- Contractors pre-qualification report
- Bid evaluation report
- Consultant's monthly report, including labour returns
- Consultant's payment certificates

The IA provides copies of CAs to the CDB BNTF officer to facilitate consultant monitoring and evaluation.

## 6.3 Methods for Procuring Consultants

There are three main methods used for consultant selection: Quality and Cost-based Selection (QCBS), Least Cost Selection (LCS), and Selection based on the Consultants' Qualifications (CQS). However, consultants may also be engaged using QBS, FBS, SSS or by Individual Consultant Selection all with prior review thresholds. Details of the three main methods are as follows:

### Quality and Cost-Based Selection

A competitive process among the short-listed firms, focusing on the quality of the proposal and the cost of the services

The selection process includes the following steps:

1. Prepare the TOR
2. Prepare a cost estimate and the budget and shortlisting criteria
3. Advertise for expressions of interest (EOI)



4. Review /Evaluate EOIs and prepare a shortlist of consultants
5. Prepare and issue the request for proposal (RFP) (including a letter of invitation, instructions to consultants, the TOR and the proposed draft contract)
6. Two envelopes system: technical proposal (TP) (evaluated first) and financial proposal (FP)
7. Receive and evaluate proposals
8. Negotiate and award the contract to the selected firm
9. If the firm/main technical person named in the proposal is no longer available, then (on receipt of a No Objection from the CDB), negotiate with the next ranked firm/individual

**Step 1:**

Open TPs and reject those that (a) fail to meet RFP and TOR provisions, (b) fail to achieve the stipulated minimum score of 70-85% (TPs are marked out of 80 points)

**Step 2:**

Prepare an evaluation report and submit this to the CDB for No Objection

**Step 3:**

Open FPs, award points for FPs, and then combine points for TP and FP

**Step 4:**

Submit final evaluation report to the CDB for No Objection

**Least Cost Selection**

- Appropriate for standard/routine assignments (e.g., engineering design of non-complex works, audits, etc.)
- Minimum qualifying score stated in the RFP
- Two envelopes system: TP (evaluated first as per QCBS) and FP
- Reject all TPs with less than minimum score
- Open FPs from the accepted TPs only
- Award contract to lowest-priced FP (no negotiations on price)

**Selection Based on Consultant's Qualifications (CQS)**

- Used for small assignments when the use of RFPs, and preparing and evaluating proposals are not justified
- The IA prepares the TOR and invites at least three consultants (individuals or firms) to submit EOIs
- Evaluate consultants on qualifications and experience relevant to the assignment
- Select the best-qualified and experienced consultant, and request this consultant to submit a combined technical and financial proposal
- To award the contract, negotiate on the technical and financial aspects of the proposal

With all methods of procuring consultants, minutes of all negotiations should be prepared and signed by all parties, and the award of each contract should be published.



## 6.4 The role of the IA in procurement

The IA should coordinate all stages of the sub-project design and procurement process for contracts, including for any engaged consultants (architectural/ engineering/ environmental/ gender specialists, etc.). The IA must:

1. Finalise the design brief (architectural/ engineering/ environmental/ gender, etc.); this should be done in consultation with the representative(s) of the sub-project applicant and sector line ministry for each approved sub-project and based on services to be provided by the IA-assigned consultants.
2. Review all preliminary designs of approved sub-projects and discuss these with beneficiaries; this is done before the consultant prepares final designs and the contract documentation to be used during implementation, and the IA should request a “No-Objection” from CDB before proceeding.
3. Obtain agreement (from the designated representative(s) of the sub-project applicant) on the final design; this must be done before proceeding (and in order to proceed) to the preparation of final tender documents (working contract drawings), and the IA should request a “No-Objection” from the CDB before proceeding.
4. Facilitate discussion (with the sub-project applicant and sector line ministry or agency) on the appropriate standard bidding documents to be used for the procurement of works, goods and services.
5. Obtain all necessary approvals for final tender documents, including pre-bid estimates, advertising for tenders or agreeing to the list of pre-qualified bidders (recommended by consultant and submitted to CDB for No Objection).
6. Arrange for pre-bid site meetings, and issue all tender documents from the IA in conjunction with the consultant.
7. The PM must make sure the tender box is accessible during the tender process (so that contractors

and suppliers can deposit their tenders directly); the PM must also make sure that the tender box is correctly sealed at the closing time.

8. Arrange for all tenders to be opened and recorded at the correct time (which is immediately or very soon after the closing time), and inviting all bidders to attend the tender box opening.
9. Take minutes of the proceedings and hand one complete set of all tenders to the consultant (for checking, evaluation and recommendation); these minutes should record the name of each bidder, their tendered amount, and whether all required forms have been submitted and signed in accordance with the Instructions to Bidders (e.g., Tender Form, Bid Bond, etc.).
10. Retain one complete set of all tenders for concurrent evaluation by the BNTF Bid Committee (if one has been formed) or similar body; the member composition of this committee must be agreed with the CDB to ensure compliance with transparency/governance guidelines.
11. Obtain all required local recommendations for award of contracts before submitting to the CDB for No Objection.
12. Submit to the CDB copies of the signed contract, insurances and bonds (performance, advance guarantee, etc.), in readiness for applying for eligible reimbursements.
13. The AO must enter all contract award information/costs into the BNTF MIS.
14. Maintain a current and detailed register of bid evaluations (in the BNTF MIS).
15. Update the MIS database on sub-project total cost and unit costs; this data is used to inform future appraisals of similar sub-projects.
16. Submit the necessary documentation on the award of contracts for publication on the CDB website.

The key activities, roles and responsibilities of stakeholders in the procurement of the services or products needed to develop and implement the BNTF Project are detailed in a matrix. This includes the managing of the resulting contracts. All stakeholders are accountable to ensure compliance with relevant CDB policies connected to procurement and contracting.

## 6.5 Risk Assessment and Management

The assessment and management of risk must be integrated into the BNTF Country Project as a business practice. It is an important requirement to identify risks that could impact BNTF objectives and how grant funds are used.

### 6.5.1 RISK CHECKLIST

The following checklist can help in developing a risk assessment and risk responses:

- ✓ Consultant or contractor delays
- ✓ Inaccurate contract time estimates
- ✓ Inadequate designs
- ✓ Unplanned work that must be accommodated
- ✓ Poorly defined sub-project purpose and need
- ✓ Slow appraisal and approval process
- ✓ Lack of specialised staff
- ✓ Insufficient or inadequate communication
- ✓ Incomplete or inadequate reporting (unaudited financial statements)
- ✓ Neglect of disability rights
- ✓ Incomplete environmental analysis
- ✓ Political interference
- ✓ Fraud and/or fiduciary risks

The following risk response practices and strategies should also be considered:

- ↗ Key controls in policy (e.g., documented standards and limits, the appointment of risk facilitator/point person)
- ↗ Key controls in procedures and management infrastructure (e.g., OE oversight and accountability for the risk assessment process, audit committees, business performance goals)
- ↗ Ranking of risks by probability and impact (see Risk Assessment template) ⬇
- ↗ Reporting of risks (complete a Risk Register)

## 6.6 Selection of Sub-projects

### 6.6.1 GRIEVANCE MECHANISM

A Grievance Mechanism (GM) will be included in each sub-project documentation to allow the IA to receive, evaluate and address communities' concerns and complaints about the environmental performance of the IA. The Community Liaison Officer will play a key role in sensitising the community to GM, environmental health and safety at key stages of the project cycle namely: project information meeting, site meetings and community meetings as needed.

### 6.6.2 MAINTENANCE ISSUES

Assistance is given for facilities maintenance in education, health, production-related infrastructure, community tourism and other sectors and sub-sectors. It should be noted that no assistance is given for facilities maintenance if these facilities previously received BNTF funding (since a condition of this funding is adequate facilities maintenance).

Current funding conditions are likely to be strengthened (e.g., a maintenance plan may be required, along with training in routine basic maintenance activities) for future infrastructure sub-projects funded by the BNTF.

It is CDB policy on maintenance contracts for BNTF-funded sub-projects to require when possible maintenance contracts covering an entire facility (not just one part of an extension). This applies even if the BNTF-funded sub-project only involved building one part of a facility or an extension to an existing facility.

**It is an important requirement to identify risks that could impact BNTF objectives and how grant funds are used.**

## 6.7 Completion, Hand Over and Operation

### 6.7.1 GUIDELINES

- ✦ For BNTF purposes, a sub-project is defined as complete on the day that CDB makes its final disbursement. The last SPMR for the sub-project is due in the same month as project completion. The Project Manager, CLO and supervising consultant, with the community's involvement, must prepare a Sub-Project Completion Report (SPCR) within 90 (ninety) calendar days of project completion.
- ✦ The SPCR is created from a web-based template. It assesses the following:
  1. The appropriateness of the project goal (long-term) and the planned outcomes (end-of-project) using the indicators
  2. The quality of participation by all members of the community in:
    - a. Decision-making
    - b. Employment
    - c. Volunteer work and in-kind contribution
    - d. Skills training
  3. Unexpected results (positive and negative)
  4. The satisfaction of men, women and youth of both genders with the quality of work done and the process
  5. Information on whether or not the sub-project meets the expectations of the community; and
  6. Concerns about future viability or sustainability of the project
  7. The engagement of community/beneficiaries across the lifecycle

### 6.7.2 THE HANDING-OVER PROCESS

Hand over is performed with representatives of the sponsoring ministry/agency, PMC, consultant, and IA.

1. At practical completion of the works, a technical inspection/walk-through is done, and a snag list is prepared for the contractor's action
2. Depending on the content of this list, the contractor is given a set time to complete the works during the contract defects liability period
3. A hand-over date and time are set once works are close to completion
4. Once the facility is in an acceptable state, a certificate of practical completion is prepared; this document is signed by the consultant and then by a representative of the beneficiary group, the contractor, and the IA. An official handing-over or opening ceremony can be arranged; the community should play a key role; dignitaries, key stakeholders, CDB and the media should be invited. A final walkthrough/inspection is done with representatives of the PMC, consultant, contractor, and IA; general maintenance and community management are discussed again
5. A completion certificate is issued at the end of the contract defects liability project.

#### QUICK LINKS TO RESOURCES:

- ▶ [BNTF Procurement Guidelines](#) Ⓡ
- ▶ [BNTF Procurement Template](#) Ⓡ
- ▶ [Risk Assessment template](#) Ⓡ





## CHAPTER 7: MONITORING, EVALUATION, AND IMPACT ASSESSMENT

## 7.1 Effectiveness and Managing for Results

Results-based management (RBM) is a strategy to ensure all processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impact).

A key component of RBM is performance monitoring. This means objectively measuring how well results are being achieved, and reporting on measures taken to improve them.

Today, the BNTF Programme strongly emphasises outcomes. Consequently, it is expected to contribute to the following:

1. Achievement of the SDGs
2. High-level outcomes of the CDB Special Development Fund
3. At the PC level, development plans and sector strategies that guide national development

### KEY EFFECTIVENESS QUESTIONS

- 🚩 Did all the effort have the expected effect?
- 🚩 Could a stronger effect have been achieved through different outputs?

### WHAT IS MANAGING QUALITY?

- 🚩 Good business practice
- 🚩 Standards
- 🚩 Meeting deadlines
- 🚩 Increased scrutiny
- 🚩 Embed quality assurance and risk management
- 🚩 Introduce a 'Quality' agenda
- 🚩 Reduce costs, maximise results

2. Outcomes are the likely/achieved results of development intervention outputs (OECD-DAC, 2002); the observable behavioural, institutional and societal changes that take place over a 10-year period, usually as a result of coordinated short-term investments in individual and organisational capacity building for key development stakeholders (such as national governments, civil society and the private sector).

Similarly, performance, outputs and outcomes in the three key sectors (Education, HRD and Livelihoods enhancement, Water and Sanitation, Basic Community Access and Drainage) are measured against Level 2 indicators developed for the current SDF cycle, as detailed in Figure 11. Each sub-project is expected to adopt the relevant indicators.

Managing for Development Results (MfDR) goes beyond the results-based management (RBM) focus on accountability to incorporate new ideas about collaboration, partnership, country ownership, harmonisation and alignment. As such, MfDR provides a higher management standard because it asks all stakeholders to focus continuously on country outcome performance<sup>2</sup>, rather than on short-term results.

The origins of each development project lie in the identification of a problem that may be remedied by an intervention. The Country Project plan should demonstrate a clear link between the problem and how the planned activities contribute to a solution.

There are three distinct results levels:

1. **Outputs** - the tangible products delivered on completion of project activities. What was done?
2. **Outcomes** - the immediate and observable changes in relation to the project objectives, brought about as a direct result of project activities and the delivery of outputs. What happened?
3. **Impact** - the long-term and sustainable changes introduced by a given intervention in the lives of stakeholders. The impact can be related either to specific objectives of an intervention or to unanticipated changes caused by an intervention. What changed?



## 7.2 The Five Principles of MfDR:

### HOW TO ACHIEVE RESULTS

- ✓ Assess whether funds are being spent in the right areas to achieve the desired results, and whether this triggers an appropriate management response
- ✓ Create an evidence base (with a baseline) to enable evaluation of the BNTF Programme in a mid-term evaluation, at the end of the BNTF cycle, and as part of an ongoing plan for impact assessment
- ✓ Take a more systematic approach to M&E

Development results are usually understood as sequential and time-bound, with changes linked to a series of management steps within the programming cycle. With MfDR, managers are challenged to regularly consider whether their implementation activities and outputs are likely to achieve desired outcomes (and make continuous adjustments to ensure they are achieved).

At the national level, MfDR is used in the planning and implementation of results-based plans, budgets and anti-poverty strategies. International agencies may support this process with technical assistance, grants and loans. MfDR helps countries to take greater responsibility.

The BNTF Programme strongly emphasises both implementation and results-based monitoring. This requires the regular collection of information on how effectively the programme portfolio is performing.

### 1. Focus the dialogue on results at all phases of the development process

A good example of this in the BNTF is SDGs, CPF and stakeholder consultation. The ideal is for countries to identify clear national outcomes with appropriate indicators for results at all levels. This ensures that all planned activities support the identified results, information on these indicators is regularly collected, and the analysis of progress is used in regular reporting to key stakeholders (e.g., civil society groups). It also ensures that evaluations are conducted to determine whether planned results are achieved and sustained over time.

### 2. Align programming, monitoring and evaluation with results

In the BNTF Programme, an example is when contributors and the CDB both attach particular importance to the use of a results monitoring framework (RMF), helping to strengthen a 'results culture' within the bank and as a key tool for monitoring results under SDF. Key outcomes should be identified along with suitable indicators at different levels. When operational plans are in place, these can show how specific inputs (human and material resources) and activities (usually the delivery of goods or services) lead to outcomes. Progress can be tracked using benchmarks, indicators and targets. Ongoing monitoring during implementation helps assess whether progress is being made to plan. Evaluations help to ensure that longer-term progress toward outcomes is consistently tracked and analysed.

### 3. Keep measurement and reporting simple

To verify and indicate the outcomes of BNTF sub-projects, countries typically use organisational audits on IAs, stakeholder surveys and quality-of-service reviews. The intention is for country outcomes to be measured through country-defined indicators that are selective, cost-effective and realistic so that just the right amount of performance data is generated. Each country works to ensure internal and external reporting provides a coherent 'performance story' about progress towards country outcomes.



#### 4. Manage for, not by, results

In the BNTF, this typically requires countries to establish a Project Monitoring Committee (PMC), and obtain results-based monthly monitoring reports on sub-projects (SPMRs) and annual project reports. Key concepts are that (a) planned outcomes are clearly defined at the beginning of any intervention, and then the resources and inputs required to attain these outcomes are identified (not vice versa, as was the case in the past), and (b) during the development intervention, development managers have the latitude, flexibility and authority to arrange resources as required to achieve the desired outcomes.

#### 5. Use results information for learning and decision-making

Examples of this principle in the BNTF are stakeholder and public consultations, programme, sector and organisational performance reviews and evaluations, and internal knowledge management systems (the CDB MIS).

Of note, reporting should include (a) information generated through ongoing performance measurement which is easily accessible to all stakeholders in any development intervention, and (b) whether positive or negative, performance information is used to support constructive and proactive management decision-making as well as to foster learning.



## 7.3 Using the MfDR Toolkit: Results-based Monitoring and Evaluation

In the BNTF Programme, the (SPMR) and the Sub-project Completion Report (SPCR) are examples of results-based monitoring and evaluation (M&E). They involve the systematic collection of performance information on progress towards results, which can then be used in management decision-making. M&E provides strong tools and models for performance measurement and is well proven to increase the effectiveness of development interventions.

Results-based M&E is a major component of the MfDR toolkit, helping sub-project teams to systematically measure the progress of programme and sub-project outcomes.

### CHECKLIST FOR ASSESSING PROPOSED INDICATORS

Outcome to be measured .....

Indicator selected .....

Is the indicator:

- 1. A reflection of the outcome itself (and as direct a reflection as possible)?
- 2. Sufficiently precise to ensure objective measurement?
- 3. Calling for the most practical, cost-effective collection of data?
- 4. Sensitive to change in the outcome, but relatively unaffected by other changes?
- 5. Disaggregated as needed when reporting on the outcome?

## Results-based Monitoring: Adult Literacy

<b>Inputs</b>	Facilities, trainers, materials
<b>Activities</b>	Literacy training courses
<b>Outputs</b>	Number of adults completing literacy courses
<b>Intermediate Outcomes</b>	Increased literacy skill; more employment opportunities
<b>Outcome</b>	Higher income levels, increase access to higher-skill jobs

**Figure 17: Results-based Monitoring: Adult Literacy**

**Managing for Development Results (MfDR) goes beyond the results-based management (RBM) focus on accountability.**

## 7.4 Developing the Results Monitoring Framework (RMF) for a Sub Project

The results monitoring framework explains how the development objective is to be achieved, including causal relationships and underlying assumptions. A results-based monitoring system tracks both implementation (inputs, activities, outputs) and results (outcomes and achieved goals).

### The results framework has two functions:

It is a design tool for improving sub-project quality at entry. It ensures a consequential relationship between inputs, activities, outputs, activities, outputs, outcomes and achieved goals/impact. If prepared in a participatory manner, it also helps develop stakeholder understanding and ownership of sub-projects.

It provides the basis upon which the SPMR operates. This is done by establishing quantified and time-bound targets and measurable indicators, and identifying their means of verification, or sources.

### 7.4.1 INDICATORS

Indicators can be either a quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance.

The results framework is a living document and will allow for the addition of indicators as they are developed by both the IAs and CDB to monitor subprojects.

### 7.4.2 BASELINE DATA

Baseline data establish the status of a population before a sub-project is implemented. Baseline data are critical in providing comparison/reference point data on the situation the BNTF project aims to change. Baseline data should be present at SP and sector levels. Currently, baseline data are not adequately reflected in the results framework of the BNTF. Such data are important:

- as a starting point for the SPs;
- for planning and establishing priority areas; and
- for attribution of impact<sup>4</sup>.

### 7.4.3 LOGIC MODEL

A logic model is usually presented in a matrix covering categories such as objectives/results, inputs, indicators (or objectively verifiable indicators), means of verification and assumptions/risks. Different types are designed for various purposes, so there is no single 'correct' format to use for a BNTF sub-project. Figure 18 provides an illustrative logic model for the water and sanitation sector.

#### NOTE:

**Changes in the scope of a sub-project during implementation should be reflected in revisions to the results framework.**

# Logic Model: Water & Sanitation sector

EFFECTS	RESULTS
<i>Inputs</i>	Channel Funds Water Authority Approvals Human Resources Raw materials
<i>Activities</i>	Drilling water well to designed depth Elevated towers to house solar panels and water tanks Construction of distribution pipe network and stand pipes

IMPLEMENTATION	RESULTS
<i>Outputs</i>	Sensitisation campaign on proper sanitation and hygiene Expansion of water supply system
<i>Intermediate Outcomes</i>	Improved hygiene practices Increased access to potable water by poor communities
<i>Outcome</i>	Reduced incidence of water-borne diseases Improved quality of life in poorest communities

**Figure 18:** An illustrative logic model for water and sanitation



## 7.5 M&E Framework

A clear set of measurable results is identified for every BNTF sub-project.

BNTF is part of CDB's Project Portfolio Management System (PPMS) which assists IAs and the Bank with identification, tracking, supervision, reporting, fund management, impact assessment and evaluation of Country Projects under the Programme.

There are different reporting requirements for BNTF sub-projects 📌. The auxiliary list of sample project-level output indicators is listed in this link. 📌

The Design and Monitoring Framework (DMF) summarising BNTF 9 Programme design, and the associated performance indicators are at Table 10 below

These indicators are aligned with the Level 2 indicators in CDB's Corporate/SDFU 9 Results Monitoring Framework (RMF).

### 7.5.1 WHAT IS MONITORING?

Monitoring is the systematic collection and analysis of information as a project progresses. It is based on the targets and activities set during project planning. The Monitoring system serves as a signal that reveals progress or the lack thereof.

The system output i.e. reports will provide a means of measuring what actually happens against what has been planned in terms of quantity, quality and timeliness.

An essential management tool, Monitoring helps to keep the project on track and lets project management know what should be learned when things go right or changed when things go wrong.

It enables the project team to determine whether the resources available are sufficient and being well-used, whether skills and capacity are sufficient and appropriate, and whether planned activities are being implemented.



**Table 10: Summary of BNTF 9 Programme Design and Monitoring Framework (DMF)**

SECTOR/ PRO-GRAMME AREA	OUTCOMES	OUTPUTS – SDF & BNTF INDICATORS
<b>Education</b>	Improved access to quality education and HRD services	Classrooms and educational support facilities built or upgraded according to minimum standards (number), of which ECD/Primary/Secondary
		Beneficiaries of skills training activities (number female)
		Beneficiaries of skills training activities (number male)
		Students benefitting from improved physical classrooms conditions or enhanced teacher competence, or school infrastructure (number female)
		Students benefitting from improved physical classrooms conditions or enhanced teacher competence, or school infrastructure (number male)
		Teachers and Principals Trained/Certified (number female) ECD/Primary/Secondary
		Teachers and Principals Trained/Certified (number male) ECD/Primary/ Secondary
<b>Livelihoods</b>	Livelihoods and employment opportunities enhanced	Business plans approved (number)
		Increase in production (% male)
		Increase in production (% female)
		Improvement of livelihood knowledge and application of same (%)
		Increase in the capacity of households/communities / productive associations to access markets and livelihood-support services. (%)
		Value of assets transferred (\$) Change in income (%) (male)
		Change in income (%) (female)
<b>Water and sanitation</b>	Improved access to quality water supply and sanitation services	Households with access to water supply (number) Installed water capacity (m <sup>3</sup> )
		Water supply lines installed or upgraded (km)
<b>Transport and storage</b>	Improved access to basic services	Secondary and other roads built or upgraded (km) Beneficiaries of community infrastructure (number female)
		Beneficiaries of community infrastructure (number male) Beneficiaries of road projects (number female)
		Beneficiaries of road projects (number male)
		Community infrastructure built/upgraded (number)
<b>Youth and citizen security</b>	Citizen security enhanced Sustainable youth employment increased	Crime and violence prevention activities funded (number) Youth gainfully employed (number) (m/f)
		Youth micro-enterprises and other initiatives funded and registered (number) (m/f)
		Youth trained in business and technical skills (number) (m/f)
<b>Energy generation and Supply</b>	Enhanced use of renewable energy technology	Conventional or renewable power generation capacity installed (MW) of which renewable (MW)
		Energy savings as a result of EE/RE interventions (GWh)

Monitoring plan matrix for a sample SP in the Education sector Activity/Type	Indicators	Frequency	Responsible Party	Information use
<b>Input</b>	<ul style="list-style-type: none"> <li>Expenditure by category</li> </ul>	<ul style="list-style-type: none"> <li>Beginning of each SP</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officer</li> </ul>	<ul style="list-style-type: none"> <li>CNAAs</li> <li>SPP</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>Number of classrooms built</li> <li>Number of schools upgraded</li> <li>Number of students benefitting</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly</li> <li>Annually</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Consultants</li> <li>Engineers</li> </ul>	<ul style="list-style-type: none"> <li>SPMR</li> <li>APPR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>
<b>Outcome</b>	<ul style="list-style-type: none"> <li>%attendance rate (m/f)</li> <li>Performance on standardised tests (m/f)</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly</li> <li>Annually</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Ministries</li> <li>Consultants</li> <li>Engineers</li> </ul>	<ul style="list-style-type: none"> <li>SPMR</li> <li>APPR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>

## 7.5.2 IMPLEMENTING A RESULTS-BASED MONITORING SYSTEM

To implement the monitoring system, monitoring activities should be planned through the definition of the timelines, roles and required reports within each PC.

Table 11 below details an example of a monitoring system for an education project and how it can be

implemented. It specifies the information to be tracked and reported, and the roles and responsibilities of the parties involved. It also specifies which data tool will be used and who is responsible for the SP reporting process.

Another example is provided in Table 12: with a detailed project monitoring plan for a project in the Transport Sector:

**Table 11: Monitoring system for an education project**

Activity/Type	Indicators	Frequency	Responsible Party	Information use
<b>Input</b>	<ul style="list-style-type: none"> <li>✓ Expenditure by category</li> </ul>	<ul style="list-style-type: none"> <li>✓ Beginning of each SP</li> </ul>	<ul style="list-style-type: none"> <li>✓ CLO</li> <li>✓ PM</li> <li>✓ M&amp;E Officers</li> </ul>	<ul style="list-style-type: none"> <li>✓ CNAAs</li> <li>✓ SPP</li> </ul>
<b>Output</b>	<ul style="list-style-type: none"> <li>✓ Number of classrooms built</li> <li>✓ Number of schools upgraded</li> <li>✓ Number of students benefiting</li> </ul>	<ul style="list-style-type: none"> <li>✓ Quarterly</li> <li>✓ Annually</li> </ul>	<ul style="list-style-type: none"> <li>✓ CLO</li> <li>✓ PM</li> <li>✓ M&amp;E Officers</li> <li>✓ Consultants</li> <li>✓ Engineers</li> </ul>	<ul style="list-style-type: none"> <li>✓ SPMR</li> <li>✓ APPR</li> <li>✓ SPCR</li> <li>✓ PCR</li> <li>✓ MTE</li> </ul>
<b>Outcome</b>	<ul style="list-style-type: none"> <li>✓ % attendance rate (m/f)</li> <li>✓ Performance on standardised tests (m/f)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Quarterly</li> <li>✓ Annually</li> </ul>	<ul style="list-style-type: none"> <li>✓ CLO</li> <li>✓ PM</li> <li>✓ M&amp;E Officers</li> <li>✓ Ministries</li> <li>✓ Consultants</li> <li>✓ Engineers</li> </ul>	<ul style="list-style-type: none"> <li>✓ SPMR</li> <li>✓ APPR</li> <li>✓ SPCR</li> <li>✓ PCR</li> <li>✓ MTE</li> </ul>



**Table 12: Monitoring Plan for a Transport Sector Project**

Performance Questions and Targets	Indicators	Baseline Information	Data Gathering <sup>6</sup>	Responsible Party	Information Use
<ul style="list-style-type: none"> <li>How has the road infrastructure improved as a result of project interventions?</li> <li>X km of main roads and x km of secondary roads</li> </ul>	Kilometres of new main roads constructed per year	Kilometres of needed main roadway	<ul style="list-style-type: none"> <li>Record-keeping from construction contracts</li> <li>CNAAs</li> <li>SPP</li> <li>SPMR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	Review of road construction programme during annual project review
	Kilometres of main roads upgraded per year	Kilometres of main roads in need of repair at the start of the project	<ul style="list-style-type: none"> <li>Record-keeping from construction contracts</li> <li>CNAAs</li> <li>SPP</li> <li>SPMR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	
	Kilometres of secondary roads constructed per year	Kilometres of needed secondary roadway	<ul style="list-style-type: none"> <li>Record-keeping from the finalisation of construction contracts</li> <li>CNAAs</li> <li>SPP</li> <li>SPMR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	
	Kilometres of secondary roads upgraded per year	Kilometres of secondary roads in need of repair at the start of the project	<ul style="list-style-type: none"> <li>Record-keeping from the finalisation of construction contracts</li> <li>CNAAs</li> <li>SPP</li> <li>SPMR</li> <li>SPCR</li> <li>PCR</li> <li>MTE</li> </ul>	<ul style="list-style-type: none"> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	
	Change in driving time between key locations	Driving times at the start of the project	Interview with key informants	<ul style="list-style-type: none"> <li>Design of the questionnaire</li> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	
	Change in school attendance	Level of school attendance at the start of the project	School records; survey; mid-term, project completion, three years after completion	<ul style="list-style-type: none"> <li>Design of survey</li> <li>CLO</li> <li>PM</li> <li>M&amp;E Officers</li> <li>Engineers</li> </ul>	

### 7.5.3 TYPES OF MONITORING

BNTF sub-projects are expected to undertake

both results and financial monitoring as detailed in Table 13:

**Table 13: Results and Financial Monitoring**

Types of Monitoring	Key Questions/Purpose	Issues to Consider	Assessment
<b>Results Monitoring</b>	<ul style="list-style-type: none"> <li>• Have there been any delays or other problems?</li> <li>• What adjustments have been made?</li> </ul>		
	<ul style="list-style-type: none"> <li>• What is the general condition of the intended beneficiaries?</li> <li>• What are the perspectives of the beneficiaries?</li> <li>• What are the changes due to the intervention?</li> <li>• Have any unintended or negative outcomes occurred?</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring both the positive and negative results, intended and unintended results of the project are imperative.</li> </ul>	<ul style="list-style-type: none"> <li>• Essential to monitor results as well as impact through a pre-determined set of BNTF indicators to determine if activities/projects are feeding into planned outcomes.</li> <li>• CNAAs serve to assess intended beneficiaries, and the Impact Assessments will address the impacts and outcomes of interventions.</li> </ul>
<b>Financial Monitoring</b>	<ul style="list-style-type: none"> <li>• What is the actual project expenditure compared with the planned expenditure?</li> <li>• What is the project expenditure against implementation?</li> <li>• What is the average cost for similar projects across countries?</li> </ul>	<ul style="list-style-type: none"> <li>• The timeliness of disbursement needs to be monitored.</li> </ul>	<ul style="list-style-type: none"> <li>• Essential for measuring financial efficiency - the maximisation of outputs with minimal inputs.</li> <li>• The SPMR and SPCR serve this kind of Monitoring.</li> </ul>



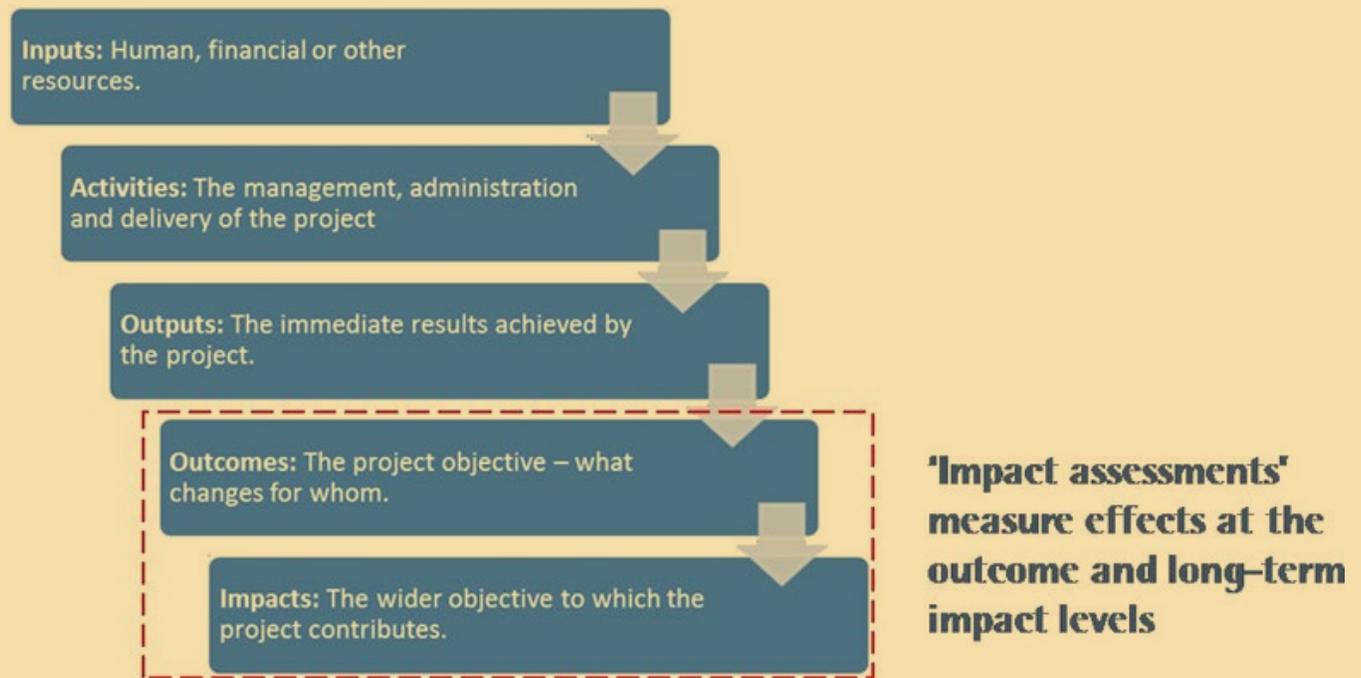
## 7.5.4 EVALUATION

### What is Evaluation?

Evaluation is the process of making an objective assessment of the relevance, efficiency, effectiveness, impact, and sustainability of on-going or completed SP. For BNTF, such evaluations occur twice within each cycle and consist of the MTE and PCR.

### What is Impact Assessment?

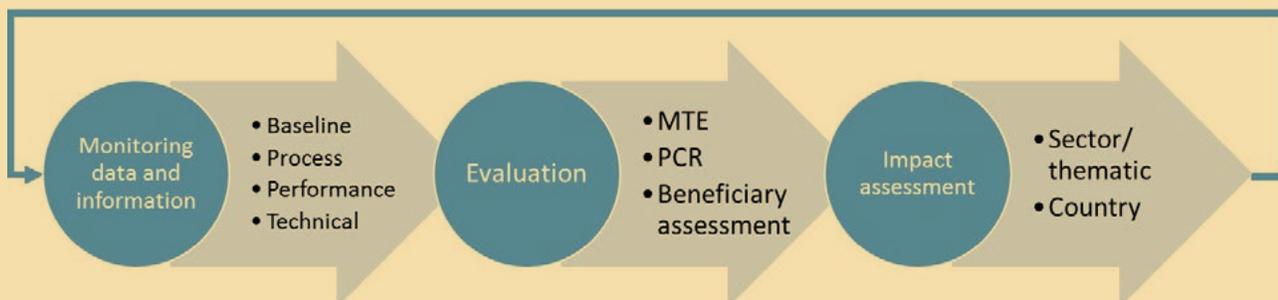
'Impact assessment' is generally defined as an assessment of how an intervention affects outcomes and long-term impacts, whether these effects are intended or unintended, as shown in the figure below.



Impact assessments are extremely valuable because they help CDB and its partners in the following ways:

- ✦ understand the value of its work in terms of the difference it makes in the lives of programme beneficiaries;
- ✦ determine which aspects of the intervention work best, and identify lessons that could enable further replication of the programme to succeed elsewhere;
- ✦ demonstrate accountability to stakeholders; and
- ✦ facilitate learning and knowledge transfer.

### Findings from impact assessments inform future information needs



At the country level, impact assessment is essentially an appraisal of the composition, overall design and logic of the programme with respect to national development goals. Such an approach could be useful for explaining the role of BNTF to national stakeholders. At this level, country impact appraisals are usually carried out by an external consultant, using a matrix of indicators against which performance is measured.

A BNTF country-level impact assessment will do the following:

- Test whether the intended outcomes were obtained.
- Identify the successes and failures in different sectors and the factors contributing to performance; and
- Identify the overall effectiveness of the BNTF programme within the PC

One approach favoured in the BNTF is impact assessment utilising sector impact assessments and case studies. This focuses on the collection of a comprehensive set of quantitative and qualitative data to provide rich in-depth analysis and insight relevant to investments and performance in various contexts under which BNTF projects are delivered.

## 7.6 The Mid-Term Review Process

### Project Completion Reports

#### SUB-PROJECT COMPLETION REPORT ⬇

SPCRs are prepared for all sub-projects and must be submitted within 90 (ninety) calendar days from the date of completion. Sections of the SPCR are completed separately by the beneficiary country and by CDB.

Through SPCR, those responsible for implementing and supervising sub-projects assess achievements against targets — necessarily preliminaries for some sub-projects — using the indicators established in the results framework and the SPMR. SPCR also identify lessons learnt and include recommendations for follow-up actions by the government or CDB to improve the performance, impact and sustainability of the completed sub-project, as well as ongoing and future BNTF Projects and Sub-projects.

### Reporting on Performance

The BNTF includes monitoring and evaluation activities to enable assessments of outputs and impact mainly at the country project level. These activities



include monitoring through key reporting (see Table 15). The RMF is an essential tool for measuring BNTF results. Reporting must be aligned with the RMF.

The requirements and anticipated arrangement for BNTF results monitoring and reporting are aligned with the LFA and the establishment of an improved MIS and specific accountability for tracking and reporting within IAs. These are intended to emphasise the importance of collecting baseline data and ongoing reporting on performance indicators related to outputs and outcomes throughout the project cycle.

**Table 14: Schedule of Reporting**

Type of Report	Frequency
Sub-project Monitoring Reports	Periodic, as agreed at sub-project start (and depending on the length of intervention)
Minutes of OE Meeting	Quarterly (minimum)
Annual Workplan and Budget (AWPB)	Annually for the following calendar year (when reviewing Sector Portfolio and Multi-year Disbursement Forecast)
Annual Project Performance Report (APPR)	Annually for the previous calendar year
Sub-project Completion Report (SPCR)	After completion of each sub-project
Performance Audit including Financial Audit	Annually for the previous calendar year
Annual Environmental Performance Report	Annually for the previous calendar year
Mid-term Evaluation (MTE)	Once
Country Project Completion Report	Once, near the end of the BNTF cycle
Programme Closing Report	Once, near the end of the BNTF cycle

### SUB-PROJECT MONITORING REPORT

The SPMR is a management tool for monitoring implementation progress (IP) and assessing the likelihood that sub-projects achieve their planned outcomes (PO). Progress is tracked against specified targets, using the indicators and baselines identified in the sub-projects' results frameworks. By using the project-at-risk concept and identifying potential problem sub-projects, attention is drawn to the sub-projects in which Project Managers need to take corrective action.

The SPMR is designed to simplify reporting on sub-projects. It is an interactive tool, not just a one-way

report, and strengthens the focus on likely sub-project outcomes. It should be used to promote dialogue on issues related to the implementation of sub-projects, with emphasis on a discussion of ratings (both IP and PO) and especially on issues and actions.

### A good SPMR is timely and accurate

The first SPMR must be completed at the time CDB approves the sub-project. Thereafter, SPMRs should be completed based on agreed milestones, until completion of the sub-project (defined as the date of final disbursement by CDB).

### ANNUAL PROJECT PERFORMANCE REPORTS

These must be submitted by January 30 each year. They enable CDB to assess the performance of the project in relation to monitoring indicators.

Provisions are made for a MTE and PCR at project close. Independent consultants are contracted by CDB to conduct the MTE, which is scheduled to allow its recommendations on enhancing BNTF Programme achievements to be implemented within the remaining period of the programme.

### Data Collection

As defined, data collection represents a systematic procedure involving collection, measurement and analysis of information aimed at providing answers and insights in certain situations as well as to test assumptions, make predictions and evaluate outcomes. It is therefore critical that data is collected, organised, analysed and presented so that all stakeholders understand the context as well as the status of the project across the project lifecycle or the duration of the programme. Important decisions relevant to the programme or the project are often made based on data collected. For optimal data collection, you must determine the objective of your exploration as well as the approach best suited to achieve your goals.

Data collected can either be quantitative or qualitative. Quantitative data is presented numerically and summarised using statistical approaches. Examples of quantitative methods consist of interviews and surveys. On the other hand, qualitative data is mainly expressed non-numerically. The approach responds to queries like why and how. Community consultations, focus groups, in-depth interviews and participant observation are examples

of qualitative research approaches. Despite the differences, quantitative and qualitative approaches are usually combined to yield the most comprehensive picture of a situation. This method is called triangulation, as it contributes to verifying and knitting together varying perspectives and different types of data. Participatory approaches to data collection focus on collective inquiry and analysis of key stakeholders especially persons affected by the project.

Data can be drawn from primary sources which involve obtaining data directly from individuals, objects, processes or situations. Secondary data sources are also valid and reflect data collected by another researcher or agency.

Data collected during the project initiation, preparation and appraisal process can help to define the context and establish baselines **while throughout**

**the implementation phase, data provides** critical information about the status of the project and progress towards achievement of goals. The determination of baselines, for example through the use of pre-tracer studies, is particularly salient to HRD and Livelihoods types of interventions.

At the end of a project, identifying intended and unintended outcomes is possible through systematic data collection. Varying types of media can be utilised to collect data, including paper-based surveys and interviews, use of telephone, online platforms as well as audio/visual aids. Differing instruments can be administered either through face to face or remote modalities. Table 15 below provides examples of different data collection processes which can be used throughout the project lifecycle. Similar methods can be used to facilitate the stakeholder engagement process at the community level.

**Table 15: Data Collection Processes**

Processes	Techniques	Pros and Cons	Potential application by BNTF	Timing
Participatory data collection – employs a variety of known techniques and tools	Community Meetings: allow a member of the community to ask questions, make a suggestion and discuss issues that are important to them (face to face or remote modalities can be utilised.)	Pros: Can increase the level of awareness and understanding of important issues for target communities; can be a relatively low-cost option Cons: May not be a true representation of the community due to gender disparities and power issues.	CLOs (with M&E unit support) can convene and organise community meetings, allowing for broad participation by target groups as well as their understanding about the value of monitoring and evaluation.  Additionally, these meetings can serve to flag issues requiring attention.  Given the possible limitations, community meetings should be used along with other data collection methods.	Ongoing
	Mapping: generates discussion about local development priorities and the extent to which they have been met.  Different types include: <ul style="list-style-type: none"> <li>• Social mapping</li> <li>• Resource mapping</li> </ul>	Pros: can increase stakeholders’ understanding of the community and can be highly effective in communities where there are low literacy rates	The CLO with support from the PMC can undertake resource mapping to collect and plot information on the distribution, access and use of resources within target communities. This mapping can be done again after the BNTF intervention to identify any changes.  Similarly, social maps can be sketched by CLOs to detail the key elements that make up targeted communities including its resources and assets.  Social maps can serve as a useful complement to other methods and for before and after SP comparisons.  Information collected and prepared via other sources such as community development ministries or organisations can also be used by CLOs to finalise mapping exercises.	Baseline Agreed intervals SP completion Post-completion

Instrument	Techniques	Pros and Cons	Potential application by BNTF	Timing
	<p>Transect walks allow for aspects of a community to be observed including:</p> <ul style="list-style-type: none"> <li>Survey of Housing conditions</li> <li>Survey of sanitary conditions</li> <li>Survey of Road conditions and public access</li> </ul>	<p>Pros: provides a big- picture view of the community</p>	<p>External evaluators</p>	<p>Ongoing</p>
Analysis of records and secondary data	<p>Can also include newspaper articles, web pages, etc.</p> <p>However, two main techniques are:</p> <ol style="list-style-type: none"> <li>Using Records</li> </ol>	<p>Pros: Data can typically be accessed at low cost.</p> <p>Cons: need to understand how the data were collected, how variables were defined and how coding and cleaning were done. Data may not be regularly updated so may not be able to provide before- and after-data. Data may not be available at the relevant level of analysis (e.g. the beneficiary community level).</p>	<p>The IA can source secondary data and information from the following sources:</p> <ul style="list-style-type: none"> <li>Government files, reports and records</li> <li>Databases</li> <li>Census and household survey data</li> <li>Documents (budgets, policies and procedures, organisational charts, maps)</li> <li>Newspaper and television reports</li> </ul>	<p>Pre-implementation</p> <p>During Implementation</p> <p>Post-implementationXS</p>
	<ol style="list-style-type: none"> <li>Using Existing data sets</li> </ol>	<p>Pros: Less expensive and faster than collecting new data</p> <p>Cons: data may not be exactly what is needed and validity need to be verified</p>	<p>BNTF M&amp;E unit can partner with other development agencies working in the same target communities or with the same target group and use their data sets for evaluations</p>	
Observation	<p>Structured or unstructured in-person observation of interventions on the ground</p>	<p>Pros: allows for the collection of data on actual behaviours rather than perceptions or self- reporting. The collection is also done in 'real-time' rather than retrospectively. A useful tool to collect descriptive data.</p> <p>Rigorous methods should, however, be used to validate and triangulate observations</p> <p>Cons: can be labour intensive and sampling and recording of data can be difficult</p>	<p>BNTF M&amp;E officers, CLOs (with M&amp;E support) can use observation for the following:</p> <p>(1) To gain direct information by making field visits, e.g.:</p> <ul style="list-style-type: none"> <li>Observing training activities</li> <li>Unobtrusively recording the number of women participating in training or other activities</li> <li>To understand ongoing behaviour, e.g. teachers interacting with children</li> <li>To examine physical evidence of changes in the target community, e.g. to validate the progress of construction</li> <li>To provide a viable alternative when written or other data collection methods may not be feasible or appropriate</li> </ul>	<p>At agreed intervals during implementation</p> <p>Post-implementation</p>
Surveys and interviews	<p>Structured questioning of beneficiaries and recording of responses (administered either face to face or remotely)</p>	<p>Cons: Not very useful for measuring behaviour. Can be labour intensive, expensive and time- consuming. An excellent tool for collecting data about people's perceptions, opinions and ideas. Can be structured or unstructured</p> <p>Pros: Can explore complex issues in depth</p>	<p>A sample or all of the target community can be polled by CLOs (with M&amp;E support) along with a team of trained survey administrators/interviewers using semi-structured or structured surveys. External consultants can also be engaged to coordinate and lead the process.</p>	<p>At agreed intervals during implementation</p> <p>Post-implementation</p>

Instrument	Techniques	Pros and Cons	Potential application by BNTF	Timing
Focus groups	A qualitative tool in which small groups of people are brought together to discuss specific topics using the guidance of a moderator (face to face or remote modalities can be used).	Cons: analysis is time-consuming, participants may not truly represent the target population and dominant participants may influence others. Pros: can be conducted quickly and cost-effectively. Can be used to triangulate methods and when target groups may have low levels of literacy.	CLOs with M&E support can use to solicit immediate feedback and collect data on the following: 'How' and 'why' rather than 'whether' and 'how much' Group interaction Intensity of opinions Contextual responses (not yes or no) External consultants can also be engaged to coordinate and lead the process	At agreed intervals during implementation Post-implementation
Checklists	Checklists are used to encourage or verify that several specific lines of inquiry, steps, or actions are being taken, or have been taken	Pros. May need other tools to ensure that Cons. Helps to organise ideas and requirements and how to check off tasks and achievements.	CLOs, Engineers, Consultants and M&E specialists can use this approach can use this to check compliance as well as to determine the level of integration or mainstreaming of key ideologies and policies. It can be used also to identify the level of risks inherent in certain situations and if more in-depth exploration is required. Examples of this are the Gender Checklist, the Environmental Checklist and the CVA checklist.	Pre-Implementation

#### QUICK LINKS TO RESOURCES:

- [Programme Reporting Schedules](#)
- [Sample Outcomes and Outputs](#)
- [SPCR](#)
- [SPMR](#)
- [APPR](#)



## CHAPTER 8: MANAGING KNOWLEDGE AND COMMUNICATION

Engaging BNTF stakeholders in the identification of lessons and recommendations emanating from M&E activities can serve to reinforce learning and the use of findings to improve SP design and implementation.

A reporting and dissemination strategy is therefore key to the success of the M&E system and should include:

- Details on audiences for distribution of reports and other products, and their key information requirements: The audiences for BNTF reports include both internal and external stakeholders and as such, the BNTF must mediate and respond to different interests.
- The format the information should be in: while there is still an important audience for formal reports, more accessible, user-friendly and simplified formats and media are being used and integrated into communications plans, particu-

larly when working participants with low levels of literacy.

- How the information should be distributed: A range of formal and informal dissemination strategies can be used to ensure that the information reaches the intended audiences. These can include publications or e-versions placed on websites or through social media outlets and press releases to print, radio and television media. Multiple communications formats can be used to maximise accessibility, reach and reader impact when large formal reports are being produced. These include executive summaries, issue papers, summary case studies, and video, slide decks and evaluation briefs. These can be augmented by facilitating verbal communication of the report through face-to-face presentations and discussions, especially among the target communities.
- When the information is required.



**Table 16: Reporting to various Audiences**

Report Type	Due Date	Audiences & Interests	Overall Focus of Report	Contents	Dissemination
Defined Reporting at the sub-project level Routine Monitoring SPMRs SPCRs	During implementation as required. During implementation as agreed at SP outset Post-completion	BNTF Co-implementing Agencies and BNTF M & E Unit. BNTF M&E Unit (Programme improvement) IAs (Programme improvement) OE for quality assurance	Progress to date Progress to date Improvements in performance	Progress Reports, and Final Reports Financial reports Outputs delivered, including performance against targets	Submit to IA Submit via BIS/PPMS
MTE	Mid-cycle	Funders (Accountability) CDB (Management) SSDF (Programme improvement) IAs (Programme improvement)	Improving performance Learning for the way forward	Reasons for successes/challenges Areas for improvement	Distribute MTE to partners Present report in public forums: Consultations in every PC for IAs, their OEs, PMC and other key stakeholders CDB evaluation findings meeting with donors and staff
PCR	End of cycle	Funders (Accountability and decision making) CDB (Decision making) BNTF (Management and programme improvement) IAs (Programme improvement) External Stakeholders (Learning)	Conclusions Lessons Recommendations for next BNTF cycle	Overall performance Programme quality and value Conclusions Lessons Recommendations Document individual and or family welfare stories	Distribute hard copy report, summary brochure, and evaluation brief to stakeholders Post report on website and social media Present the report in a public forum at two levels: Workshops in every PC for IAs, their OEs, PMC and other key stakeholders CDB evaluation findings meeting with donors and staff
Impact Assessments	2-5 years post-cycle	Donor- Accountability and Learning CDB- Learning and Strategy BNTF- learning and programme planning Local partners and stakeholder- learning	Poverty Impact (both intended and unintended)	Lessons Learnt Conclusions Recommendations Changes in welfare in target beneficiaries Document individual and or family welfare stories	Distribute hard copy report, summary brochure, and evaluation brief to stakeholders Post on website Post on social media Workshops in every PC for IAs, their OEs, PMC and other key stakeholders CDB evaluation findings meeting with donors and staff

## 8.1 Advocacy, Engagement and Communication for Development<sup>3</sup>

Communication is a very important ingredient and cross-cutting tool of the BNTF Programme. It promotes dialogue between communities in the identification of problems, solutions, and the management of operations. It facilitates the participation of those most in need while building capacities and promoting partnerships. Reflecting on the BNTF Mission and Vision communication for development reinforces many of the core principles that underpin the BNTF Programme. This chapter explains some of the ways in which communication can be incorporated into sub-projects to make them more focused on the poorest and most vulnerable, and on achieving results.

### 8.1.1 ADVOCACY

Advocacy can be described as the strategies, actions taken, and solutions proposed to influence decision-making at the local and national level to create positive change for people and their environment.

There are some key considerations when developing an advocacy approach. Advocacy is not simply about changing individual behaviour, but also about changing the way organisations behave. Advocacy can therefore be seen as making representations and seeking action or change on another's behalf. It requires being involved in targeted, planned action. In the BNTF context, the advocacy process of promoting a cause or proposal is targeted at selected stakeholders such as community groups, OEs, and public officials

#### ADVOCACY STEPS

1. Identify a problem in a community
2. Understand all aspects of the problem

3. Help others to understand the problem fully
4. Find ways to solve the issue
5. Come up with a solution to that problem
6. Establish strong support for that solution
7. Create an effective implementation plan to ensure the solution is correct

### 8.1.2 LOBBYING AND COMMUNICATION

Lobbying and communication are key approaches to ensure the community is best served by the IA. Often the approaches are difficult to tell apart, but they need to work together to ensure campaigns are successful.

#### LOBBYING

In the BNTF context, lobbying is an attempt by IA staff or community/beneficiary groups to influence others, especially high-level public officials. It is one of the most common methods used by citizens to influence public policy. It enables citizens to put pressure on politicians and government officials so that they take

an interest in the people and support their community's cause.

Lobbying requires some level of formality. It is important to build relationships with those people who can influence the proposed advocacy campaign. However,

when lobbying government, it is not simply a matter of knowing the right people and phoning or meeting them to get their support.

#### Checklist:

- Determine the facts
- Get as many different opinions on the matter as possible
- Decide on one viewpoint to follow
- Convince the decision-makers
- Draw up a formal submission
- Deliver this submission on time
- Be proactive – the lobbying process should begin as soon as possible around the new funding cycle.

**Advocacy is any action geared towards changing the policies, positions or programmes of any institution. In essence, advocacy is about coming up with an argument to support the held position. This position or opinion aims to solve a problem.**

<sup>3</sup>. Adapted from "The ECD Advocacy Toolkit", produced by Caribbean Child Support Initiative with funding from the Caribbean Development Bank (2015).

## ENGAGEMENT

Effective community engagement refers to a strategy or process which aligns interests and creates understanding for sustained mutual benefits. (Vernon 2017) This is predicated on the principles of meaningful participation and social inclusion. Meaningful participation hinges on people being involved in decision making around issues that affect them and centres on the following values:

- a. **Open:** creates public and accessible processes for information sharing and deliberation.
- b. **Fair:** acknowledges biases and works to create a level playing field.
- c. **Truthful:** promotes accuracy and authenticity in fact and spirit.
- d. **Broad-based:** represents the diversity of interests
- e. **Responsive:** considers and is influenced by contributions of participants
- f. **Deliberative:** provides enough time for

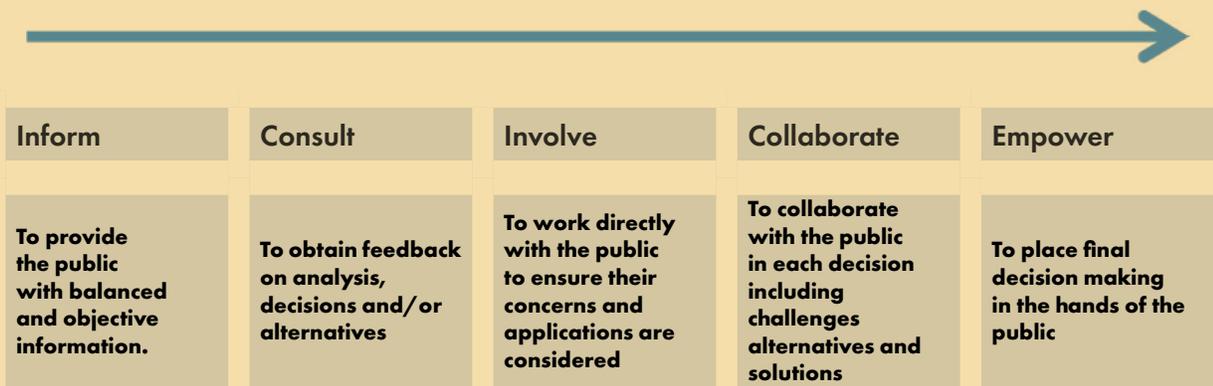
- g. thoughtful contemplation and response to a variety of perspectives.

- h. **Competent:** Results in better decisions.

Social inclusion on the other hand, speaks to the terms under which individuals and groups take part in society, thereby ensuring they can improve their abilities, opportunities and dignity. Consideration is therefore given to facilitating the participation of otherwise excluded groups such as women, persons with disabilities, youth, indigenous people and other vulnerable categories of persons.

Stakeholder identification and analysis are fundamental approaches which are foundational to effective engagement. It allows for the right stakeholders to be engaged at any given point. With value placed on International Association of Public Participation (IAP2) spectrum of public participation, there is recognition of the need for increasing levels of shared decision authority, with progression from merely informing citizens to the ultimate state of empowerment. The link to the Community Engagement Guidance note provides further details.

## THE SPECTRUM OF PUBLIC PARTICIPATION



### Steps in the Engagement Process

1. **Stakeholder Identification:** Surveying your stakeholders and identifying people, groups of people or organisations who have an interest or who are affected by the project.

2. **Stakeholder Analysis (Map and prioritise Stakeholders):** Involves identifying and grouping people, groups or organisations according to their interests and influence and levels of interest in the project and determining how best to involve and communicate with each of these *stakeholder* groups throughout.

### 3. Drafting Stakeholder Engagement Plan:

Refers to the strategy used to engage various stakeholder groups to ensure participation, involvement in decision making and ensure consistent communication about project details

### 4. Designing Communication Strategy:

Speaks to approach designed to ensure that key information is communicated effectively.

### 5. Execute Engagement Approaches and Communication Strategy:

Refers to the decisions and activities undertaken to successfully implement the engagement approaches and communication plan.

## 8.1.3 COMMUNICATION FOR DEVELOPMENT

In 2006, the Rome Consensus from the World Congress on Communication for Development<sup>4</sup> defined communication for development as:

“...a social process based on dialogue using a broad range of tools and methods. It is also about seeking change at different levels, including listening, building trust, sharing knowledge and skills, building policies, debating and learning for sustained and meaningful change. It is not public relations or corporate communications”.

Communication involves sharing an idea or concept with interested parties. This can include communication between two people, or between organisations, or between one organisation and many people.

As in any process, it is important to determine the goal. It may be to:

- ✦ Inform

- ✦ Persuade
- ✦ Motivate
- ✦ Entice people into action

### Steps in the Communication Process

There are seven steps in the communication process:

#### Step 1:

Develop the idea or message to be transmitted

#### Step 2:

Convert the idea/message into suitable words or symbols for transmission

#### Step 3:

Transmit the idea by a chosen method (e.g., newsletters, via social media, the Internet, or meetings), ensuring the message is appropriate to the receiver

#### Step 4:

Receiver gets the message

#### Step 5:

Receiver interprets the message – ideally exactly as intended

#### Step 6:

Receiver accepts the message

#### Step 7:

Receiver uses the information, either by rejecting it or using it to act.

Questions to ask to ensure successful and strategic communication:

- ✦ Which audiences should be reached?
- ✦ Has an audience analysis been conducted?

4. World Congress on Communication for Development: Lessons, Challenges and the Way Forward, World Bank, Washington DC, 2007

**It is also about seeking change at different levels, including listening, building trust, sharing knowledge and skills, building policies, debating and learning for sustained and meaningful change.**

**It is not public relations or corporate communications.**

- Once people hear the message, what should they do?
- What messages could be appropriate?
- Which channels of communication would be most appropriate?
- How will the communication process be monitored and evaluated?

### Storytelling

BNTF stories can be more memorable than facts, and make statistics more meaningful and real. Country project public relations should include not just signage and advertisements, but also storytelling about what worked well, and what has changed communities, people's lives, livelihoods and behaviours. These stories can be captured as case studies.

#### 8.1.4 TAKE-AWAY MESSAGE

The take-away message should answer the question: what does this have to do with me?

Good takeaway messages **focus on peoples' needs**. Ensure that the message is communicated across as many different channels as possible and that the message is culturally sensitive.

#### 8.1.5 CHANNELS

This refers to **how** the message is delivered. Will meetings be used? Will radio, television or both be used? Will e-mail, newspapers, pamphlets, banners, etc., be used?

It is helpful to offer supporting data – particularly when giving interviews on radio or TV, for example.

#### 8.1.6 EVALUATION

To see whether the initiative is reaching the targeted audience, constantly monitor the effect of the message in the community and on the role players and stakeholders. Changes may be required if it is not effective. For effective campaign evaluation, it is helpful to keep track of which methods work and which don't.

## 8.2 Communities of Practice and Networking

### 8.2.1 WHAT ARE COMMUNITIES OF PRACTICE?

Communities of practice (COPs) are formed by people who engage in a process of collective learning in a shared domain of human endeavour. An example is a group of project managers sharing experiences with the implementation of the BNTF Programme.

A neighbourhood, for instance, is often called a community but is usually not a community of practice. Three characteristics are crucial:

1. **The domain:** A community of practice is not merely a club of friends or a network of connections between people. It has an identity defined by a shared domain of interest. Membership implies a commitment to the domain, and therefore a shared competence that distinguishes members from other people
2. **The community:** In pursuing their interest in their domain, members engage in joint activities and discussions, help each other and share information. They build relationships that enable them to learn from each other.

#### DEFINITION:

**Communities of practice are groups of people who share a concern or a passion for something they do and learn how to do it better as they interact regularly.**

3. **The practice:** A community of practice is not merely a community of interest (people who like certain kinds of movies, for instance). Members of a community of practice are practitioners. They develop a shared repertoire of

resources: experiences, stories, tools and ways of addressing recurring problems – in short, a shared practice.

**It is the combination of these three elements that constitutes a community of practice and by developing these three elements in parallel that such a community is cultivated.**

### 8.2.2 WHAT DO COMMUNITIES OF PRACTICE LOOK LIKE?

Communities develop their practice through a variety of activities. The following table provides a few typical examples.

Problem-solving	"Can we work on this design and brainstorm some ideas; I'm stuck."
Requests for information	"Where can I find the revised procurement guidelines?"
Seeking experience	"Has anyone dealt with a contractor in this situation?"
Reusing assets	"I developed a template format for our last workshop. I can send it to you and you can adapt where needed."
Coordination and synergy	"Can we combine our purchases to achieve bulk discounts?"
Discussing developments	"What do you think of the new SPMR interim solution? Is it any better?"
Documentation projects	"We have faced this problem in every BNTF cycle. Let us write it down once and for all."
Visits	"Can we come and see your PMC in action? We need to establish one in our city." Can we learn about community-based contracting in your project?"
Mapping knowledge and identifying gaps	"Who knows what, and what are we missing? What other groups should we connect with?"



### 8.2.3 HOW CAN THE CONCEPT BE APPLIED TO THE BNTF PROGRAMME?

Establishing a COP is an important vehicle in developing strategic capabilities within the BNTF Programme:

- Communities of practice enable BNTF staff and representatives to take collective responsibility for managing the knowledge they need, recognising that, given the proper structure, they are in the best position to do this.
- Communities among BNTF staff and representatives create a direct link between learning and performance because the same people participate in communities of practice and project oversight.
- BNTF staff and representatives can address both the tacit and dynamic aspects of knowledge creation and sharing and the more explicit aspects.
- Communities are not limited by formal structures: connections are created among people across geographic boundaries in respective PCs.

From this perspective, the knowledge of the BNTF Programme lives in a constellation of communities of practice. Each takes care of a specific aspect of competence required to improve programme efficiency and effectiveness. However, the very characteristics that make communities of practice a good fit for stewarding knowledge – autonomy, practitioner-orientation, informality, crossing boundaries – are also characteristics that make them a challenge for traditional hierarchical organisations.

### 8.2.4 POSSIBLE APPROACHES AND ACTIVITIES THAT CAN BE ADOPTED BY COPS

- Workshops: face-to-face workshops with community members can build social capital
- Email: virtual interaction through e-discussions
- Websites: develop these as a repository of knowledge, including newsletters, best-practices studies, reports, etc.
- Policy impact: develop an advocacy campaign and lobby for policy development of change
- Partnerships: establish linkages with other like-minded groups

### 8.3 The Role of ICT in Communication

Information and communications technology (ICT) encompasses a full range of increasingly converging technologies, including traditional and emerging devices such as interactive community radios, television, mobile phones, computer and network hardware and software, the Internet, satellite systems and podcasting.

Thus, ICTs is not a panacea for development problems but rather an important tool to be applied as part of a broader strategy for sustainable development.

ICT can be employed fulfilling three partly overlapping functions:

- **Access** – using ICT to facilitate access to and share timely and relevant information and knowledge
- **Voice and communication** – using ICT to strengthen the voice of poor, excluded and disadvantaged people in decision-making and self-expression
- **Networking** – using ICT for networking and human communication while fostering multi-stakeholder partnerships to achieve effects on a larger scale.

**THE TERM ICT REFERS TO: INFORMATION CHANNELS such as the worldwide web, online databases, electronic documents, management and accounting systems, intranets, etc.**

**COMMUNICATION CHANNELS such as e-mail, electronic discussion groups, electronic conferences, the use of cell phones, etc.**

**HARDWARE AND SOFTWARE used to generate, prepare, transmit and store data, such as computers, radio, TV, computer programmes/tools, etc...**

### 8.4 BNTF Management Information System

The overall objective of an online BNTF management information system (MIS) is to improve the management of the BNTF Programme and assist the IAs and the CDB (the BNTF team and management) with information capture, appraisal, approval, execution, monitoring, reporting, fund management, impact assessment and evaluation of sub-projects undertaken in the BNTF Programme. The MIS includes workflow management for standardising processes and procedures. The BNTF MIS is a web-based, user-friendly application periodically updated allowing for the

generation of web-based reports such as Sub-Project Monitoring Reports (SPMR) and Sub-Project Completion Reports (SPCR), and sectoral lessons learnt.

The MIS allows for Management of the BNTF Programme by CDB and IAs relative to all aspects of funding, procurement and sub-project management. In addition, it provides the following:

- Important financial reporting, annual work plan and budgets, and annual performance reporting
- Knowledge sharing capability for CDB and IAs, to help establish results-oriented reporting
- Web-based interface for easy and simplified access in the BNTF PCs and CDB, executed within a secured portal that allows individual transaction processing and a single data storage repository
- Fund management capabilities for funds tracking, linking sub-projects to each Financing Plan, Country Policy Framework and the country Poverty Reduction Strategy/SDG targets
- Capturing themes and cross-cutting issues to support the assessment of project and programme performance in gender equality, environmental mainstreaming, sustainability, renewable energy and energy efficiency, community participation, procurement, contract management, etc...





