

THE BASIC NEEDS TRUST FUND NINTH PROGRAMME CLOSING REPORT
TERMS OF REFERENCE

1. BACKGROUND

1.01 The Basic Needs Trust Fund (BNTF) is a cyclical Programme which was launched in 1979 and is the principal vehicle within the Caribbean Development Bank (CDB) for targeted poverty reduction initiatives. Contributors to the Ninth Cycle of the Unified Special Development Fund (SDF 9) approved a contribution of forty million United States dollars (\$40 mn) for the Ninth Phase of the BNTF Programme (BNTF 9); SDF Paper “Replenishment of the Resources of the Special Development Fund (SDF 9) - Resolution and Report of Contributors on SDF 9” refers. At its Two Hundred and Sixty-Eighth Meeting held on March 16, 2017, the Board of Directors (BOD) of CDB approved Paper BD 21/17 entitled, “Basic Needs Trust Fund - Ninth Programme”. The overall outcome of BNTF 9 is improved access to quality education, water and sanitation, basic community access and drainage, livelihoods enhancement and human resource development services in low-income and vulnerable communities.

1.02 The BNTF 9 Terms and Conditions were varied subsequently by BOD on July 20, 2017 (pursuant to Paper BD21/17 Add.1) to include Montserrat as a participating country (PC) and the reallocation of USD780k from BNTF 7 to BNTF 9 to fund Montserrat. At its Two Hundred and Eighty-First Meeting held on May 28, 2018, BOD considered Paper BD 21/17 Add. 2 entitled, “Basic Needs Trust Fund Ninth Programme – Variation of Terms and Conditions: The Commonwealth of Dominica” and approved, *inter alia*, a waiver of the requirement for counterpart funding by the Government of the Commonwealth of Dominica for BNTF 9 sub-projects to permit CDB to disburse 100% of the estimated cost of BNTF 9 sub-projects, and the Revised Programme Components by Country and Financing Plan.

1.03 Total funding for BNTF 9 was estimated at \$47.43 mn comprising grants of \$40.78 and counterpart funding of \$6.65mn from the governments of the nine PCs, namely: Belize, Commonwealth of Dominica, Grenada, Cooperative Republic of Guyana, Jamaica, Montserrat, St. Lucia, St. Vincent and the Grenadines and a special provision for the integration of Suriname, which joined BNTF as a new PC in 2017. Of the \$47.43 mn grant resources, \$4.4 mn was retained for regional coordination by CDB and \$5.2 mn to be utilised as a performance-based incentive to fund additional sub-projects and project implementation support after the Mid-term Evaluation (MTE) of the Programme. The resources, excluding the performance-based incentive resources, were planned for commitment by December 31, 2019, and to be disbursed by December 31, 2020.

1.04 The Programme was executed in PCs through Country Project grants by national Implementing Agencies (IAs) and by Executing Agencies (EA) in Belize, Jamaica and St. Lucia under their existing social investment fund organisations. BNTF 9 was distinguished by participatory approaches to community development through sub-project interventions which provide social and economic infrastructure and promote human resource development and economic activity.

1.05 The design and operational approaches of BNTF 9 were intended to continue the focus on community development and build on the recommendations from external and independent evaluations of the two immediately preceding cycles.¹ The changes introduced in BNTF 9 were designed to minimise administrative costs; reduce the period for appraisal and approval of sub-projects; and improve the timely

¹ BNTF 7&8 Programme Completion Report (*International Financial Consulting Ltd.*); Mid-Term Evaluation of the BNTF 9 Programme Cycle (*Sarah McIntosh, 2016*); Mid-Term Evaluation of the BNTF 10 Programme Cycle (*Camille Gaskin-Reyes, 2023*).

delivery of project benefits, thereby effecting greater efficiency and effectiveness towards increased development impact. The key features of BNTF 9 are:

- (a) **Restructured IAs** - Project Managers who satisfy higher eligible qualifications; two new positions as part of the core staff providing additional support for M&E and supervision of technical consultants; and relocation of IAs to the ministry with the remit for finance or planning, where possible.
- (b) **Expanded areas of support** - to include support to livelihoods development with a focus on entrepreneurship among youth-at-risk.
- (c) **Shortened process flow** - introducing (i) a simple evidence-based Country Policy Framework (CPF) to replace the Poverty Reduction Action Plan and Country Project Portfolio; and (ii) consolidating existing sub-project preparation documentation within CDB's new portfolio management system, when it becomes operational.
- (d) **Partnerships** - with eligible private sector entities (for example, corporations, charities, and civil society organisations) to leverage additional resources and expand the IAs' technical and financial capacities on Special sub-projects.
- (e) **Increased funding thresholds for sub-projects** - the upper limit for large sub-projects increased from \$600,000 to \$700,000; the upper limit for small sub-projects remaining at \$100,000 for PCs, except Jamaica which is \$200,000; the upper limit for small sub-projects for Belize increasing from \$100,000 to \$200,000.
- (f) **Delegated authority to PCs** - for project cycle management functions on the basis of prior assessment of institutional capacity and the strengthening of such capacity prior to delegation.
- (g) **Special sub-projects** - CDB's grant resources for any Special sub-project involving eligible partner(s) are limited to a maximum of \$665,000 with the government providing a counterpart contribution of at least \$35,000. The upper limit for such special sub-projects will not exceed \$1,000,000.
- (h) **Enhanced accountability and decision-making framework** - three levels of approval for sub-projects within CDB as follows: up to \$100,000 the Division Chief, Social Sector Division approves; over \$100,000 and up to \$400,000 the Director, Projects Department approves; and approval by the President for sub-projects over \$400,000;
- (i) **Implementation of new monitoring and evaluation tools** - including focal points for M&E; and expanded quantitative and qualitative indicators for livelihood sub-projects.
- (j) **Special provision for Suriname** - \$1,200,000 to determine the most efficient governance structure to facilitate the successful integration of Suriname into the BNTF Programme and for pilot sub-projects.
- (k) **Unallocated Performance-Based Incentive** - a set aside of \$5.2 mn for additional sub-projects and project implementation support for distribution, after the MTE, to PCs (other than Montserrat and Suriname) based on implementation performance. Governments will be required to provide an additional 5% counterpart funding toward the cost of additional sub-projects when the incentive is distributed.

- (1) **Building maintenance** –promoting strategies for financial sustainability by encouraging cost-sharing and income-generation initiatives; development of preventative and routine maintenance strategy and plan for the Programme; promoting enhanced technical specifications to minimise deterioration of infrastructure; and implementation of continuous maintenance training.

1.06 In keeping with CDB's Operations Manual, each of the nine PCs completed a Country Project Completion Report (CPCR) at the end of the Programme. These country-level reports are meant to capture the degree to which each of their BNTF 9 Project resources were utilised to achieve their development objectives and deliver the outputs and outcomes as set out in the respective CPF reports for each country project. These CPFs, approved at the beginning of the cycle, operationalised national objectives through a set of priority sub-projects and their related results monitoring framework.

1.07 Additionally, a single independent PCR is now required which will highlight the impact of the BNTF 9 Programme on all beneficiaries and the sustainability of such impact. The BNTF 9 PCR is the central component of the assessment of the Programme and is also done at the end of the cycle. It will assess the overall contribution of the BNTF 9 Programme encompassing the nine national initiatives and the Regional Components. It will draw upon the individual CPCRs, sub-project monitoring reports, sub-project completion reports, the Annual Project Performance Reports and the MTE of the BNTF 9 Programme. The BNTF 9 PCR may also include case studies and beneficiary assessments.

1.08 BNTF 9 Staff Report² states that independent consultants are to be contracted by CDB to conduct the PCR.

2. OBJECTIVE

2.01 The main purpose of this consultancy is to prepare the BNTF 9 PCR comprising a consolidation of nine CPCRs based on the guidance and template in [Annex 1](#).

2.02 Specifically, the Consultants shall:

- (a) analyse and validate nine CPCRs;
- (b) assess the impact of COVID-19 on the implementation and sustainability of interventions;
- (c) identify and complete four case studies;
- (d) undertake beneficiary assessments, including gender analyses, in four selected PCs;
- (e) present an overview of the outputs and outcomes within the context of the Programme's goals, design, processes and results during implementation (both the Country Projects and Regional Components); and
- (f) assess if and how any of the recommendations made in MTE of BNTF 9 Programme were taken into account in the final years of the Programme.

3. SCOPE OF WORKS

3.01 The consultancy firm (led by a team leader), will prepare the BNTF PCR under the guidance and supervision of the BNTF team at CDB. The consultant firm will be guided by CDB's BNTF Portfolio Manager.

² Board Paper BD21/17

3.02 The following activities are required in the execution of duties under this consultancy:

- (a) Reviewing relevant Programme and sub-project documentation of BNTF 9 for the nine Country Projects and the Regional Components including appraisals (including Gender Markers), Back-to-Office Reports, Aide Memoires and Project Progress Reports, APPRs, SPMRs, SPCRs, Performance Audits, minutes of meetings and the MTE.
- (b) Reviewing and drawing on CDB's Performance Assessment System sub-criteria for projects and Technical Assistance; namely: Strategic and Poverty Relevance, Efficacy, Cost Efficiency, Effectiveness, Sustainability, Institutional Development Impact and agreeing on an appropriate scoring system for BNTF in consultation with the CDB BNTF team and other internal CDB stakeholders.
- (c) Assessing the impact of the COVID-19 pandemic on the implementation of the BNTF 9 Programme.
- (d) Conducting interviews with staff of CDB and IAs by telephone/electronic medium or on-site as required, to obtain relevant information and their views on the assessment of BNTF 9.
- (e) Analysing validity and usefulness of report data on outputs, results to be incorporated into the PCR and consolidated Country Project Completion Report (CPCR), as appropriate.
- (f) Identify the key lessons learned and best practices emanating from the BNTF 9 programme implementation which can inform BNTF programme design and implementation
- (g) Identifying sub-projects or IAs for case study assessment (drawing on but not being restricted to the Guidance on Preparing BNTF Case Studies provided in [Annex 2](#)).
- (h) Reviewing and analysing case study assessment results and integrating relevant findings and recommendations, where appropriate into the PCR.
- (i) Using focus groups, interviews, beneficiary feedback surveys and other field-based research methods, conduct beneficiary assessments and case studies (using narrative, imagery and audio-visual communication) in identified PCs and draw out the evidence of outputs, outcomes and key findings and conclusions.
- (j) Reviewing and analysing all beneficiary assessment results and community audits conducted in selected PCs to identify project implementation and performance issues and integrating relevant findings and recommendations as appropriate into the final report.
- (k) Consolidating nine CPCRs (see Scope of Work in [Annex 3](#)) based on the performance of the BNTF Country Projects, the achievement of project outputs and outcomes, and the accountability to stakeholders.
- (l) Preparing a Programme Closing Report, with an executive summary, to be presented to CDB which:
 - (i) is shaped by the results of the sex-disaggregated beneficiary assessments, the case studies and the CPCRs;

- (ii) takes into account main cross-cutting issues including community participation, gender equality, environmental sustainability, climate change resilience, disaster risk management, renewable energy and energy efficiency, citizen security, youth and private sector development and maintenance;
- (iii) Demonstrate how the resources have been utilised under BNTF 9 to achieve planned goals. The report shall capture and summarise the experiences, results, lessons learnt, best practices and recommendations emanating from the completed BNTF 9, taking into account expected Programme achievements, and sectoral and cross-cutting areas of focus; and
- (iv) Assesses the PCs and the extent to which the Programme has achieved its development objectives with respect to strategic and poverty relevance, efficacy, cost efficiency, sustainability and institutional development impact. Indicate how individual country performance contributed to overall programmatic results..

3.03 The consultant shall organise and integrate all BNTF 9 PCR findings and recommendations into an Executive Summary and Matrix to accompany the main report. The matrix should contain an action plan, and should attempt to cover the following six broad areas with time frames and accountability for actions by specific parties/units:

- (a) **Measures to Improve Programme/Sub-Project Design and Operation** – review of the BNTF 9 key design features introduced since 2017.
- (b) **Pace and Quality of Project Implementation** – assessment of the complexity or simplicity of execution, inter-agency or donor coordination arrangements and their functioning, time frames, ahead of schedule/slippage and reasons for advance/delay, institutional performances, availability/adequacy of budget, staff, equipment, consultants, technical assistance, fiduciary management, procurement delays/due diligence, bidding/contractor, financial/accounting, risk management/ mitigation plan, project ownership and stakeholder participation.
- (c) **Results Management, Programme Performance and Supervision** - review of the results-based management arrangements put in place under BNTF 9, and quality control and supervision mechanisms, within both the IA/EA and CDB, which cover different aspects such as environmental management, gender mainstreaming, community engagement, financial management and disbursement rate, partnership arrangements and maintenance management.
- (d) **Lessons Learned, Challenges and New Opportunities** - Review and document the emerging lessons, challenges, and opportunities within the COVID context.
- (e) **Recommendations** – to enhance future Programme implementation and sustainability.

4. METHODOLOGY

4.01 The Consultant will gather data and perform analyses required to realise the objectives stated above and agree on the methodology to fulfil the Terms of Reference (TOR). This should include:

- (a) document review, in particular, the previous BNTF reviews, MTE and CPCRs for BNTF 9, and the BNTF regional technical assistance projects.
- (b) interviews with IAs, EAs, OEs and CDB staff; and
- (c) field missions in up to three selected PCs, as agreed with CDB, to conduct focus group discussions with a wide range of key stakeholders to assess implementation and institutional arrangements and programme performance. A participatory approach should be utilised in the implementation of this aspect of the consultancy.

5. **DURATION OF ASSIGNMENT AND DELIVERABLES**

5.01 The consultancy is expected to commence in the second week of September 2024 and be completed in 60 person days by December 2024. The consultant will be required to submit the following reports in Microsoft Word and send them electronically to george.yearwood@caribank.org. The deliverables are as follows:

- (a) **Work Plan/Inception Report** indicating the methodology and relevant targets within one (1) week of commencement of the assignment. The Consultants will adjust the Report with comments received from CDB.
- (b) **Draft Consolidated CPCRs Report** within three (3) weeks of the commencement of the assignment. The Consultants will adjust the Report with comments received from CDB.
- (c) **Draft Beneficiary Assessments and Case Studies Report** within five (5) weeks of the commencement of the assignment. The Consultants will adjust the Report with comments received from CDB.
- (d) **Draft PCR Report** covering both the BNTF 9 Regional Components and Country Projects including the final case studies and beneficiary assessments, within eight (8) weeks of the commencement of the assignment. The Consultants will be required to present findings, recommendations and lessons learnt from the PCR to CDB staff, BNTF stakeholders and CDB's Strategic Advisory Team (face-to-face or electronically), as required.
- (e) **Final PCR Report** incorporating any significant amendments or inclusions coming out of the presentations and the feedback on the first draft within ten (10) weeks of the commencement of the assignment. The Final Report shall include an Executive Summary with fully cross-referenced findings and recommendations.

6. **QUALIFICATIONS AND EXPERIENCE**

6.01 The consultant should have:

- (a) a minimum of a Master's degree with elements of Social Research, Statistics, Qualitative and Quantitative Data Analysis, Social Development, M&E and/or other relevant fields;
- (b) seven (7) to ten (10) years of practical experience in ongoing M&E and Programme Assessment, project design and management, social development and analysis, knowledge of participatory approaches and methods, and the development of advanced quantitative and qualitative research methodologies for assessing programme results, outcomes and

impact; and

- (c) professional experience working on development programmes for community development and poverty reduction for International Organisations, Banks, and/or Trust Funds is highly desirable.

Preference will be given to those firms with experience in social or rural development/community-based development, and gender mainstreaming, particularly in the Caribbean region.

**TEMPLATE AND GUIDANCE FOR THE PREPARATION OF
THE BNTF 9 PROGRAMME COMPLETION REPORT**

The template covers seven broad areas: Sections A - I. These solicit the main information to be provided in the overarching combined Programme Completion Report for the BNTF 9 cycle. Data from the nine Country Project Completion Reports will help to inform this Programme Completion Report. Every attempt should be made to keep the report brief, but focused, providing specific quantitative and qualitative information (bulleted or in tables wherever possible) related directly to the key questions and the annotated outline of each area or section. The Programme Completion Report should not exceed 25 pages, including Annexes. Each annotated section has an indicative number of pages per section as a guideline. The six sections of the Programme Completion Report are:

A. Summary of Findings and Recommendations

B. Brief Background on the Country Programme, and Programme Completion Report Methodology (max. one and a half pages).

C. Quantitative Information on BNTF 9 in the nine participating countries (PCs) (max. 2 pages).

D. Organisational Structure of the BNTF Programme in the PCs and CDB, and Institutional and Implementation Capacity Issues of the Programme (max 2-3 pages).

E. Accounting for Results and Addressing Poverty (three pages maximum).

F. Results Management (two pages).

G. Incorporation of Key Cross-Cutting Issues (max two pages).

H. Outlook: Sustainability of Country Projects and Country Project Deliverables (draw on the nine Project Completion Reports) (one page)

I. Overall Performance of the Programme (three pages)

Annexes

Annotated Outline of Each Section

Section A contains a **Summary of Findings and Recommendations**.

Section B contains a brief **Background and Rationale** for the Programme and Programme Completion Report **Methodology**.

(include objectives; priorities, country poverty situation and any relevant country-specific information, target groups, gender/ethnic issues, observed demand for services, geographical areas of focus, etc.) one page written in bullets in the same order of points

Section C presents **Quantitative Information on Financial Resources and Financial Status** of the Programme under the BNTF 9 period.

(include an overview of funding by country amounts and source of funds (CDB/counterpart), sub-project allocations, disbursements, extensions in months, completed, incomplete and/or cancelled sub-projects, and financial accounts under the BNTF 9 period (tables and some narrative only as needed to be contained in one page).

Specific points to include under B (listed in the same order) are:

- (a) Approvals: amounts of CDB and country funds approved over the entire period by country;
- (b) Allocations of CDB and country funds to types of sub-projects by country;
- (c) Disbursements: disbursements of CDB and country funds over the entire period;
- (d) The pace of disbursements: yearly percentages of disbursements over available balances for the entire execution period, year by year breakdown by fund;
- (e) Extensions of implementation periods due to delays in project execution (explain why);
- (f) Completed sub-projects: list and amounts of completed sub-projects completed by sector/area for each country (draw from the nine Project Completion Reports);
- (g) Cancellations: list and amounts of cancelled sub-projects by sector/area and amounts for each country (draw from the nine Project Completion Reports);
- (h) Incomplete Sub-projects: list and amounts of incomplete sub-projects by sector/area for each Country (list sub-projects that were not cancelled, but were not completed) (draw from the nine Project Completion Reports);
- (i) Accounts and Audited Financial Statements (AFS): provide information on financial accounting, any irregularities observed and any qualified AFS for the entire period;

Section D addresses the **Organizational Structure and Institutional/Implementation Capacity Issues of the Programme** during implementation.

(briefly describe how the Programme and Country Projects were managed using a diagram/chart and a description to address institutional capacity and coordination issues, including how technical assistance was used; how the roles of authorities, communities and BNTF Implementing Agencies [IAs] were conceived, and what occurred on the ground; explanation of project implementation constraints or delays; assessment of how CDB's guidance and supervisory roles and responsibilities were carried out) two to three pages.

Section E contains an **Accounting for Results and Measures to Address Poverty**

(this area focuses on listing the summary of outputs delivered through the Programme (original vs. achieved as far as possible using the original results matrix) in all sub-projects as well as evidence of intermediate outcomes achieved (i.e., beneficiary use of services, access to increased income, empowerment, community satisfaction with services (can be obtained through surveys, focus groups, etc.) in no more than three pages provide table and narrative of points in the same order as listed

For **outputs** of sub-projects:

- (a) A summarised presentation of the allocation of funds (and sources) to different sub-project types/groups in each country and as a percentage of programme funds -

Priority Areas (Sectors)
Basic Community Access and Drainage
Education, Human Resource Development and Livelihoods Enhancement
Water and Sanitation
Maintenance

- (b) All sub-project types broken down into the categories of **outputs** linked to the BNTF 9 priority areas (sectors).

For **outcomes and poverty reduction**, summarised data should be focused on:

- (a) targeting of low-income groups and increased access for poor communities and citizens to services and facilities;
- (b) level of community/beneficiary satisfaction with facilities;
- (c) level of community/beneficiary satisfaction with coordinating/implementing agencies in-country;
- (d) level of community/beneficiary satisfaction with CDB;
- (e) evidence of increased empowerment of communities and participation in the design, implementation and maintenance;
- (f) evidence of community/beneficiary participation (consultation) in social policy/decision-making;
- (g) evidence of any increases in employment rate and/or access to income-generating activities by low-income beneficiaries of the sub-projects, expressed as the total number of persons/weeks of labour, broken down by gender;

Outcomes should also focus on:

Changes in communities or groups of beneficiaries, where there were BNTF interventions, from pre-existing conditions.

Extract 4 of the best country Cases reported in the nine **Country Project Completion Reports** to demonstrate, both quantitatively and qualitatively, changes linked to the following:

- (a) Improved access to better social infrastructure facilities (by sector).
- (b) Improved access to services, products and markets.
- (c) Enhanced community linkages and morale.
- (d) Improved health conditions.
- (e) The extent to which the poorest among community members were involved in organisational decision-making.
- (f) Provide any evidence (supported with examples) of how the poor can act together and advance change in their communities.
- (g) Responsiveness of public services.
- (h) Evidence (supported with example/s) of how communities are taking advantage of opportunities, and able to maximise expected benefits.
- (i) Assets that have been provided through the sub-project that have contributed to enhanced productivity or income.
- (j) Strong social networks nurtured by the project.
- (k) Quality and quantity of involvement of youth (M, F), women, older persons, and other vulnerable groups; explain the long-term benefits for each group.
- (l) Outcomes of participation in construction as these relate to women, men, and youth.
- (m) Outcomes for persons who participated in employment-related sub-projects.
- (n) Improved basic skills and job readiness among participants in BNTF-funded training.
- (o) Any cases where a sub-project has contributed to a change in policy.

Section F should provide an assessment of **Results Management**, i.e., how well the ongoing progress of the programme and the sub-projects were coordinated, tracked for results, reported on and supervised.

(this area pays attention to information on managing for results (use of baseline, performance indicators, tracking, monitoring, reporting results, data gathering systems and difficulties, portfolio management efforts, problem-shooting and risk management, in-country results management difficulties) and lessons learnt. (two pages in bullets using these items in the same order as points listed)

Section G has to do with the incorporation of **Key Cross-cutting Issues**.

(Drawing on the nine project completion reports, it contains a checklist of points that provide an account and evidence (a brief narrative) of how well key cross-cutting issues such as gender, environment, natural disaster, maintenance, and community involvement/empowerment were integrated into the Programme design and implementation (three pages in bullets)

Section H addresses **Outlook: Sustainability of the Programme and Country Project Deliverables**.

(it takes into account any maintenance, tariffs, institutional capacity and community support/buy-in/rejection issues) one page bulleted based on summarized Information from the nine Country Project Completion Reports.

Summarising key information from the nine Project Completion Reports.

Section I Central Questions for Rating the **Overall Performance** of the Programme – this section brings the assessments all together by answering the following questions:

- (a) *Relevance:* To what extent was BNTF 9 relevant in responding to the region's poverty alleviation, social/economic infrastructure and human development needs as anticipated? How was the shift to the new approach implemented?
- (b) *Results and Reporting Frameworks:* How was the results framework of the Programme (objectives, performance indicators, targets, monitoring and reporting systems) structured *ex-ante* and how did it function during execution?
- (c) *Effectiveness:* What can we say about the effectiveness of BNTF 9? What results were achieved? Were the target beneficiary groups reached?
- (d) *Programme Design Elements:* What special design features and cross-cutting themes were introduced into the design, and how were they taken into consideration during implementation?
- (e) *Efficiency:* How efficiently was the Programme executed? What significant operational, efficiency, implementation and coordination issues or risks emerged, and why? What risks were foreseen at the design stage, and how were they addressed during execution?
- (f) *Organisational Structure of the Programme and BNTF 9's Contribution to Institutional Development:* How was the Programme organised, and how did it function? What was the

contribution of BNTF 9 to the institutional development of implementing agencies, stakeholders and target beneficiaries? What challenges emerged?

- (g) *CDB Supervision:* How did CDB carry out its supervision responsibilities, and were there any implications for Programme implementation?
- (h) *Ongoing Challenges and Follow-Up:* What key recommendations were noted in the independent Mid-Term Evaluation (MTE), and how were they addressed?
- (i) *Lessons Learned and Good Practices:* Generally what lessons were learned, and what good practices were observed? What key sustainability issues emerge?
- (j) *Findings and Recommendations:* Based on the analysis of the Programme's experiences and performance, what main findings and recommendations can be distilled? What have we learned for the way forward?

**GUIDANCE FOR COMPLETION OF BASIC NEEDS TRUST FUND (BNTF) CASE STUDIES
FOR THE BNTF 9 PROGRAMME COMPLETION REPORT**

Guidelines for Preparing BNTF Impact Case Studies

1. INTRODUCTION

1.01 This paper sets out the requirements for preparing impact case studies and a completed impact template, the associated eligibility guidelines, and generic assessment criteria/ points for consideration to be built upon in shaping a methodology for the BNTF Impact Case Studies Assessment of BNTF 9 programme, as part of the consultancy.

2. THE SELECTION PROCESS

Selection of Case Studies

2.01 Case Studies are useful in evaluating past or existing programmes that are unique, those that are implemented in a new or challenging environment, and/or those that can offer best practices or reference points that could serve to enhance prevailing challenges in other communities or countries. The review and selection of sub-projects for the impact case studies assessment will need to incorporate a methodology for the section of case studies by sector, as well as the identification of the participating countries (PC) that will be included in the assessment.

2.02 The approach will include a comprehensive review to identify strong sub-project examples and develop case studies describing impacts that have provided benefits to one or more areas of poverty reduction, well-being, quality of life, livelihoods, whether social/economic environmental/political and local/national/regional, applying a gender lens. These should also encompass some of the following: job creation/sustainable employment, benefits to the economy, health, public policy and services. Criteria assessment for evidence of sustainability is to be developed as part of the consultancy.

2.03 A BNTF initiative may underpin impact, which provides benefits in more than one area. Therefore, an impact case study may describe more than one type of impact arising from interventions; for example, a new bridge or a new energy technology can generate both economic and environmental impact. In refining the case study methodology and undertaking the assessment, these dynamics need to be considered as there may be both positive and negative impacts on the community or country that were not anticipated during the design of the sub-project.

2.04 Sub-projects to be used as case studies should not be retrofitted to each impact but should be directly associated with the impact. The exercise should identify the strongest case studies demonstrating results attributed to BNTF investment, regardless of the types of impact that they describe.

Shaping general and specific approaches to assess sub-projects

2.05 A review of project documents related to the country and the sub-project including the Country Policy Framework (CPF), sub-projects (SP) monitoring reports, the mid-term report and meeting minutes, as well as any other documents necessary to provide context, offer baseline data, a better understanding of expected outcomes/ impact of the initiative, and the major stakeholders and beneficiaries of the project.

2.06 Taking into consideration the country context and the intended outcomes of the identified sub-projects, a strategy for data collection will be devised across the board, and tweaked for each case where necessary, by use of a mixture of quantitative and qualitative research tools such as further background

documents; focus groups; individual interviews; questionnaires/ surveys; user feedback and individual testimonies; and observations. The approach should ensure the most effective method for data collection to measure both intended and unintended impact, considering the indicators outlined in Sections 3 and 4 of this document.

Measuring Impact

2.07 The consultants will assess impact according to generic criteria and level definitions. These are to be developed by the consultancy and agreed with CDB. The information below provides some guidance but is not exhaustive.

2.08 Table 1 provides a basic template for collecting information for each case study. It includes considerations for the identification and participation of stakeholders, associated, inputs, outputs and related outcomes; guidance for assessing the direct impact of the intervention; cost-benefit analysis; key considerations and lessons learned.

2.09 The assessment should also consider the extent to which the sub-project allows for community participation, and provide an analysis of the organisation and governance structures of the sub-project, and their efficiency and the effectiveness of the institutional, legislative and financial management approaches.

2.10 Each case study must provide a clear and coherent narrative that includes an account of who or what constituency, group, sector, organisation and so on, has benefited, been influenced, or acted upon. Evidence appropriate to the type(s) of impact described should be provided to support the claims made of the nature and extent of the impact, in terms of its reach and significance.

2.11 The consultancy should recognise that some evidence in case studies may be of a confidential or sensitive nature and should, therefore, ensure ethical considerations are made. The arrangements for submitting and assessing case studies that include such material should be discussed and cleared with CDB (BNTF) before fully developing the case study/studies.

2.12 Table 1 guides the types of information to be collected in shaping each case study.

Table 1 – Case Study Impact Template

Title Develop a succinct and ‘to the point’ Title for the Case Study – what type of support (e.g. new, safer schools) and for whom (e.g. children) should be captured.	
Summary of the case study Describe the intervention (location, grant size, duration, applicant and partners, collaborators, etc.)	
Measuring Impact on Key Stakeholders	
Key Stakeholders Identify the key stakeholders most impacted by the sub-project/intervention. (e.g. children, women, indigenous groups, the elderly etc.)	Intended/ Unintended Impact/ Change Highlight the impact on each stakeholder group. (e.g. increase in local business activities/ profits)

Identifying Sub-Project Inputs and Outputs		
<p>Inputs Identify the inputs that went into the activity (time, money, donated equipment etc.)</p>	<p>Outputs Identify the resulting outputs – what resulted from the inputs and the consequent outcomes or changes that occurred as a result of the intervention. Specify Outputs (against an initial baseline where possible) (see BNTF Results Monitoring Framework for relevant output indicators), i.e. numbers of classrooms built, teachers trained, persons employed, jobs created; km of road built; water supply line installed; maintenance budget allocations made.</p>	
Measuring related outcomes		
<p>Outcomes/ Results Based on the relevant outputs, list the stated outcomes based on interviews/ focus groups etc. Describe the essence of the Change/Results/details of the nature of the impact. Table 2 offers guidance on the types of outcomes (economic, social, political etc.)</p>	<p>Related Indicators Specify the related indicator that supports the outcome stating how the outcome was measured. Table 2 offers guidance on examples of indicators (economic, social, political etc.)</p>	<p>Source Specify where the information was obtained, e.g. focus groups, testimonials, questionnaires, assessments etc.</p>
Establishing Impact of Intervention		
<p>Baseline Describe the situation prior to the start of the intervention. This information can be gathered through interviews and testimonials, government statistics and/or initial sub-project documents.</p>	<p>Impact without CDB intervention Discuss the impact on the community if there was no CDB intervention. Include any other external entities that have projects in the same community including private sector investments, donors, government and/or community-based initiatives.</p>	<p>Value added by CDB intervention Describe or assign a value to the change experienced as a direct result of the CDB intervention. This could be achieved by considering the situation prior to the start of the sub-project, what would have occurred without the CDB intervention and identifying the added value of the CDB intervention.</p>
<p>Assessment of Cost Benefits</p> <p>The case studies should attempt to include a cost-benefit analysis to measure the investment into each sub-project and the related immediate and future returns on the investment. Strategies for approaching this analysis may include:</p> <ul style="list-style-type: none"> • The identification of a discount rate, assists in the calculation of costs and benefits following the initial period of investment. • The formulation of financial proxies to place a value on the benefits to stakeholders outside of economic benefits. • A calculation based on the ratio of input and return. 		

References to corroborate the contribution, impact or benefit

Provide a list of contributors/ interviewees, background documents etc. to support the findings of the case study.

Key Considerations

Include a discussion on any additional information relevant to the sub-project. This information may include a further discussion on cross-cutting themes (gender, citizen security, sustainability issues etc.) or key issues not covered in the fields above. (See section 3.5)

Lessons Learned

Provide a summary of best practices and any other major lessons learned. (e.g. examples of community engagement in the sub-project, unexpected positive or negative impacts, success stories in dealing with unexpected factors such as a natural disaster or personnel challenges).

Measuring Economic, Social, Health-Related and Political Impact

2.13 An indicative list of potential examples of impact is provided in Table 2. The list of types and examples of impacts is not intended to be exhaustive, and some examples are relevant to more than one type of impact. Efforts should be made to ensure that impacts on individuals (academic knowledge included), families, communities, environment, institutions, culture, policy decisions, etc. are included. Strong evidence of a link to an impact must be clearly demonstrated and can be defended. The examples in Table 2 also provide a guide to potential types of evidence or indicators that may be most relevant to each of the types of impact described. The consultancy should consider any appropriate verifiable evidence.

2.14 An integral part of the case studies assessment would include the analysis of a variety of impacts, such as economic impacts but also captures the identification and measurement of the wider social, cultural, political, environmental and health-related impacts. The methodology to be developed should highlight less tangible impacts, which are more difficult to measure but equally as important. Strategies for capturing this data may include interviews, focus groups, newspaper articles and opinion pieces, and/or cultural manifestations such as storytelling or other forms of artistic expression, where relevant. Table 2 provides basic examples of types of indicators for a variety of impacts. The consultancy will provide a more thorough list, tailored to the country/community context, the specific sector and the sub-project being assessed.

Table 2 - Examples of Measuring Economic, Social, Cultural, Health-Related and Political Impacts

Type of Impact	Examples
<p>Economic Impact</p> <p><i>The extent to which the sub-project brought about positive or negative economic change to the beneficiaries, the wider community and/or the country. The impact may be seen in an increase in employment, new/increased income and strengthened socio-economic status; the creation of new businesses; and/or the expansion of existing business activity.</i></p>	<ul style="list-style-type: none"> • # of persons who have attained sustainable employment as a result of BNTF skills training and/or other support (e.g. resource centre facilities and services). • % increase of income owed to higher-skilled employment. • # of new business created, established its viability, or generated revenue or profits as a result of the intervention. • A new business sector or activity has been created. • Potential future losses have been mitigated by job creation, improved methods of risk assessment and management in safety or security-critical situations.

<p>Social Impact</p> <p><i>Impacts where the beneficiaries may include individuals, groups of individuals, organisations or communities whose knowledge, behaviours, cultural/creative practices and other activities have been influenced.</i></p>	<ul style="list-style-type: none"> • Level of impact on community cohesiveness, regeneration, innovation, gender equality, inclusion (e.g. persons with disabilities, indigenous community etc.) • Level of impact on public interest and engagement in environmental management, social activities promoting equality. • # of examples of expanding or increased initiatives in science, agriculture and renewable energy in schools, other institutions and society. • Changes in the quality of life of key stakeholders within the target community. • # of social empowerment programmes that keep the public informed of rights and opportunities. • Change in the awareness, participation, attitudes or understanding amongst (sections of) the public on their ability to make informed decisions on issues of sustainability, poverty reduction, security, etc. • Risks to citizen security have been reduced or mitigated.
<p>Health</p> <p><i>Impacts where the beneficiaries may include individuals (including groups of individuals) whose health outcomes have been improved or whose quality of life has been enhanced (or potential harm mitigated) through the application of enhanced water systems.</i></p>	<ul style="list-style-type: none"> • Changes in access to potable drinking water by population (disaggregated by gender, social groups, etc.) (to also be expressed in terms of % changes) • Public health and quality of life have been enhanced through, for example, improved access to safe drinking water. • # of cases where costs of treatment or healthcare have reduced for the poorest and most vulnerable.

<p>Environmental</p> <p><i>Impacts where the key beneficiaries are the natural environment and/or the built environment, together with societies, individuals or groups of individuals who benefit as a result.</i></p>	<ul style="list-style-type: none">• The environment has been improved through the introduction of new infrastructure, operations, management and maintenance practices.• The management or conservation of natural resources, including energy, water and food, has been influenced or changed;• New methods or monitoring techniques introduced and sustained and are leading to changes or benefits.• The management of environmental risk or hazard has changed.• The operations of a business or public service have been changed to achieve environmental (green) objectives.• Reduction in carbon dioxide or other environmentally damaging emissions due to direct BNTF intervention.
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<p>Political</p> <p><i>Impacts on public policy and services</i></p> <p><i>Impacts where the beneficiaries may include non-governmental organisations (NGOs), charities and public sector organisations (e.g. Ministries of Education) and society, either as a whole or groups of individuals in society.</i></p>	<ul style="list-style-type: none">• New infrastructure has led to raising standards (e.g. building codes, design specifications)• Changes to education or the school curriculum have been instituted/supported• The development of policies and services of benefit to various target groups within communities.• A policy has been implemented (including those realised through changes to legislation) or the delivery of public service has changed.• Sections of the public have benefited from public service improvements – water, and sanitation (supported by clear, tangible results in quantitative and qualitative terms).• Policy debate has been stimulated or informed.• Policy decisions or changes to legislation, regulations or guidelines have been triggered or supported.• The work of an NGO, charitable or other organisation has been influenced by the research.• Improved governance through increased citizen participation in policies and the development of government initiatives, particularly for marginalized groups (e.g. indigenous, disabled etc.)
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Key considerations

2.15 The consultancy should include within the case studies assessment methodology, and as part of the analysis, the following cross-cutting issues relating to significance, sustainability, gender, the environment, disaster risk reduction and climate change, the impact on vulnerable communities and citizen security. The list below provides initial guidance in shaping the key considerations.

Significance	The degree to which the impact has enabled, enriched, influenced, informed or changed the poverty and vulnerability situation of community residents and beyond, especially the poorest and most vulnerable. It also pertains to impacts and benefits where schools, organisations, and governments are concerned.
Sustainability and Maintenance	Takes into consideration the level of resilience and asset building, quality of leadership, vision for the future and level of investment in people, as well as the extent to which infrastructure is properly maintained.
Gender Equality & Mainstreaming	The application of gender tools of analysis to identify any changes or potential future impacts which have/may affect men/women and boys/girls, taking into consideration that interventions may affect males and females differently depending on the age group and social/ cultural background. The assessment for gender mainstreaming should also offer considerations for gender budgeting.
Environment, Disaster Risk Manager and Climate Change	Places emphasis on how BNTF interventions have helped communities or organisations avoid or reduce harmful greenhouse gas emissions, reduce waste and enabled residents/personnel to benefit from clean energy and encouraged action on climate change and disaster risk mitigation and management.
Inclusion of Vulnerable Groups	Highlights the impact and level of engagement of marginalised and/or disadvantaged groups (e.g. indigenous, disabled community, children etc.) who may have been affected positively and/or negatively by the intervention.
Citizen Security	The degree to which the impact has decreased crime and/or violence within the community, whilst empowering citizens/ preserves human rights.

**SCOPE OF WORKS FOR
CONSOLIDATING BNTF 9 COUNTRY PROJECT COMPLETION REPORTS**

The Programme Completion Report assignment shall provide an unbiased account of the operational experience and results of a fully disbursed project, rank the performance of the project, and distil the lessons learnt that can be fed back into a new design.

An appropriate set of data collection instruments and mix-methods including beneficiary assessment should be used for preparing the BNTF 9 country completion report. The consultants will refer to CDB's 'Project Completion Report template for capital projects' to ensure some consistency and to decide with CDB which parts are relevant and useful to the BNTF 9 country completion reports (recognising that a substantial part of the capital project template does not relate to the BNTF programme).

The assignment shall provide information on, *inter alia*:

- the financial status of the Country Project under BNTF 9;
- organizational structure and implementation capacity;
- the measures used to address poverty reduction and results (accountability to stakeholders; feedback mechanisms);
- assessment of results-based management (monitoring of progress, reporting and supervision; measurement and demonstrating evidence of results including disaggregation of data);
- assessment of the integration of key cross-cutting issues;
- assessment of the sustainability of the Project and sub-project deliverables;
- approaches to building the capacity of community groups, local partners, and Implementing Agencies (IAs)/ Executing Agencies (EAs) that have been most successful;
- Project's contribution to the Country Strategy;
- key factors influencing success; any multiplier effects from the Country Project; innovation;
- key risks affecting performance, outputs;
- value for money (procurement, use of resources to maximize results, etc.); and
- lessons learnt; what worked and didn't work, and where/what sectors.

For the Beneficiary Assessments, a clear description of the following is required:

- the beneficiaries (disaggregated by sex, age, and social groups);
- how they benefited from the sub-project/Country Project; and
- did their lives change from what was envisaged in the initial results monitoring framework or planning document

Compelling stories, imagery, and audio-visual communication should be incorporated. The material should be properly edited and packaged for online dissemination.

More specifically, the completion reports should each include:

Organizational Structure and Institutional/Implementation Capacity Issues of the Programme during implementation:

- (a) contribution of BNTF to institutional development, i.e., an assessment of how the Programme contributed to institutional strengthening of the institutions involved and the communities, including their representative institutions;
- (b) a brief outline of institutional issues and weaknesses or overloads encountered and efforts to resolve them;
- (c) institutional and other (e.g. contractor, fiscal, counterpart, climate-related) factors related to any project delays;
- (d) management of project funds/budgets and any problems encountered, including auditing, transparency and checks and balances issues;
- (e) quality of coordination among all the major stakeholders viz. CDB, Ministries, IAs/EAs, National Oversight Entities (OEs), Community Liaison Officers (CLOs), targeted communities, NGOs, sponsoring agencies, consultants and contractors, as well as the success of troubleshooting efforts;
- (f) effectiveness of community action to move things along, and consultation of implementing agencies with communities and community participation on aspects of design and execution;
- (g) any major procurement/tendering and any contractor delays, as well as design issues, and quality and timeliness of contractor work;
- (h) any major problems related to the monitoring of and response to ongoing project risks, including natural disasters, but also those due to political, institutional or other factors;
- (i) summary of the number of meetings by IAs/EAs with responsible government agencies per year to discuss and resolve ongoing implementation issues;
- (j) summary of the number of CDB inspection visits to country projects per year, and responsiveness of CDB; and
- (k) summary of any major government interventions and institutional impacts on the programme while under execution;

Results Management:

- (a) Availability of baseline, performance indicators, knowledge and use of the original documentation and results framework of the Country Project, capacity to collect ongoing data on project progress, report in a timely manner, and make decisions based on information;
- (b) functioning and use of management information systems, including user training, and availability and use of results monitoring systems; and

- (c) frequency of inspection visits to sub-projects, including follow-up action, and any issues related to compliance with project reporting and audited financial statements.

Incorporation of Key Cross-cutting issues:

The aim is to provide as much summarised information as possible on:

- (a) how attention was paid to gender equity in the design and implementation of sub-projects, including training, people hired, persons in coordinating and leadership roles etc;
- (b) how many gender awareness training seminars were conducted (provide lists of participants of consultation meetings by gender and minutes of such meetings);
- (c) women's participation in leadership positions in communities, institutions or NGOs/CBOs involved in the programme;
- (d) role of males in the coordination and leadership structures of the programme and in steering/coordination institutions;
- (e) how environmental safeguards were incorporated in the design and building of facilities, infrastructure, training maintenance and other areas;
- (f) what environmental and natural disaster screening tools were used and how were they incorporated;
- (g) how the inspection of environmental-related aspects in sub-projects was carried out;
- (h) how many environmental impact statements were completed;
- (i) if any and how many environmental violations occurred;
- (j) how the design and positioning of facilities, as well as building standards and codes took into account the occurrence of natural disasters and their potential impact;
- (k) the number of sub-projects in infrastructure that were destroyed by natural disasters if applicable;
- (l) how infrastructure maintenance and sustainable ways to ensure facilities are maintained were built into post-project operation;
- (m) how sub-projects were geared to low-income communities as a target group and aimed at reducing poverty, including any evidence that this occurred;
- (n) how communities were consulted (what forms of dialogue and consultation were used to bring communities on board in sub-project design and implementation);
- (o) how communities were empowered to actively participate and to buy in (list any activities such as project committees involving citizen groups, number of community consultations or town meetings held, communication through pamphlets, flyers, and radio programmes with examples, number of community members who assumed leadership roles, how they contributed their input to design, implementation, and maintenance of infrastructure);

- (p) community employment generated by the sub-projects;
- (q) the community accepted “ownership” of the facilities and services, once completed, including examples of how these facilities were inaugurated, how many community organizations and groups of beneficiaries were present; and how arrangements were structured to involve them in helping to maintain or safeguard the protection of the completed facilities; and
- (r) employment: number of persons employed within the projects or as a result of the programme broken down by gender.

Outlook: Sustainability of the Country Project Deliverables

- (a) an assessment of any major resolved or unresolved sustainability issues, such as community or institutional capacity for maintenance and operation of facilities and sub-projects (including the functioning of community institutions such as Water Boards or Project Monitoring Committees);
- (b) an outline of ways in which operational costs are generally being or can be covered after the programme ends;
- (b) general information on technical and spare parts maintenance of roads and water and sanitation systems;
- (c) general information on the ongoing interest of the government agencies and communities to maintain institutional support in the continuation of services;
- (d) an indication of the number of sub-projects that are already showing maintenance problems, that are in disrepair or need rehabilitation, or have been destroyed by natural disasters; and
- (e) pending or unresolved issues about insufficient sustainability of facilities.