OPERATIONS MANUAL

FOR THE BASIC NEEDS TRUST FUND

UPDATED OCTOBER 2013

CARIBBEAN DEVELOPMENT BANK

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ABBREVIATIONS

AO: Administrative/Accounts Officer

APPR: Annual Project Performance Report

AWPB: Annual Workplan and Budget

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

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

DOM: Commonwealth of Dominica/Dominica

DRM: Disaster Risk Management

EA: Environmental Assessment

ECD: Early Childhood Development

EIA: Environmental Impact Assessment

EOI: Expressions of Interest

EMB: Environmental Management Plan

FP: Financial Proposal

GDP: Gross Domestic Product

GRN: Grenada

GUY: Cooperative Republic of Guyana/Guyana

HM: Hazard Mitigation

HRD: Human Resource Development

IA: Implementing Agency (formerly referred to as the BNTF Office)

ICT: Information and Communication Technology

IP: Implementation Progress

JAM: Jamaica

JSIF: Jamaica Social Investment Fund

k: thousand

LCS: Least Cost Selection

LFA: Logical Framework Analysis

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

NCB: National Competitive Bidding

NGO: Non-governmental Organisation

NHIA: Natural Hazard Impact Assessment

NPRS: National Poverty Reduction Strategies

OE: Oversight Entity (formerly referred to as Project Steering Committee)

OECS: Organisation of Eastern Caribbean States

OM: Operations Manual

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

QCBS: Quality and Cost:based Selection

RBM: Results-based Management

RFP: Request for Proposal

RFQ: Request for Quotation

RMF: Results Monitoring Framework

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

STL: St. Lucia

SVG: St. Vincent and the Grenadines

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

US/USA: United States of America

WRM: Water Resource Management

THE BNTF

PROGRAMME
All activities, regional and national

PROJECTS
National activities

SUB-PROJECT
Single national activity that meets selection criteria

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GLOSSARY OF TERMS

Accountability: This means decision-makers are held responsible for exercising the authority invested in them; an established structure must address responsibility, reliability, confidence and transparency in all relevant matters, including development and partner cooperation

Activity: The action taken or work performed through which inputs (such as funds, technical assistance and other types of resources) are mobilized to produce specific outputs

Appraisal: Quality control of a proposal; an assessment of relevance, feasibility, potential risk and sustainability of a programme/project prior to the funding decision

Assumptions: Hypotheses about factors or risk that may affect the progress or success of a programme/project

Audit: An independent external or internal examination that gives assurance of the accuracy of financial records/financial information and/or evaluates and confirms financial accountability, internal control or compliance with applicable statutes and regulations and/or appraises performance and/or quality management. The audit must be undertaken by a professional auditor with applicable audit certification (either the country's Auditor General or a professional accountant in public practice) to professional (international) auditing standards applicable to the engaged professional

Baseline study: An analysis describing the situation prior to a programme/project, against which progress can be assessed or comparisons made

Beneficiaries: The individuals, groups or organisations that benefit directly or indirectly from a programme/project (whether targeted or not)

Budget: A document that translates plans into money; descriptor of a spending limit

Counterpart resources: The funds or other resources that a recipient commits to contribute from its own (or third-party) source for the implementation of a programme/project

Gender Equality/Gender Equity: Gender equality is the measurable equal representation of women and men; it does not imply that women and men are the same, but that they have equal value and should be accorded equal treatment

Implementing agency: An entity appointed by the recipient to carry out an initiative and provide day-to-day management

Indicator: A quantitative or qualitative factor or variable that provides a simple and reliable means to help measure achievement, reflect change or assess performance

Inputs: The financial, human, information and material resources used in a programme/project

Logical Framework Analysis (LFA): A management tool that facilitates programme/project planning, execution and evaluation

Means of verification: A set of data that is used to measure an indicator

Monitoring: A continuing function of systematic data collection (on specified indicators) that provides management and other stakeholders with information on the type and extent of progress, achievement of objectives and use of funds

Objective: Something that effort is directed towards; an aim, goal, purpose or intention of action

Outcome: The likely or achieved effect (typically short-term and medium-term) of programme/project outputs

Outputs: The products, capital goods and services that result from a programme/project

Programme: In this manual, the programme is a BNTF funding intervention; six cycles have been completed, and the current cycle is BNTF 7; a project is a subset of a BNTF Programme

Project: In this manual, a project is a sequence of activities that occur in a participating country (PC) that requires local institutional strengthening, management and technical support; a sub-project is a subset of a related project

Recipient: Any entity that is receiving funds from the CDB

Risk: This refers to the unknown danger or disadvantage of future events and outcomes; it expresses likelihood of a negative impact on the achievement of planned results

Risk analysis: An examination of risk to assess the probable consequences of an event (or combination of events) that may have a negative impact on the achievement of planned results

Relevance: The extent to which programme/project objectives are consistent with beneficiary requirements, country needs, global priorities, and partner and donor priorities. The question of relevance is often asked retrospectively, to see whether programme/project objectives or design remain appropriate given changed circumstances

Quality assurance: Any activity to assess or improve programme/project merit, worth or compliance with given standards (e.g., appraisals, results-based management, reviews during implementation, evaluations, assessment of portfolio quality and development effectiveness, etc.)

Results-based management (RBM): A performance framework for measuring expected results of a programme/project at various levels: immediate (output level), medium-term (outcome level) and long term (impact level)

Sub-project: In this manual, a sub-project is a single activity that occurs in a participating country (PC) that meets selection criteria; a sub-project is a subset of a related project

Target: A goal, specification or measure that the programme/project aims to achieve

Target group: Specific individuals and/or organisations that are intended to benefit from the programme/project

Terminal disbursement date (TDD): The latest date on which money can be withdrawn by the recipient from BNTF financing

FOREWORD

We all know that working with communities is an important way to help improve the social, economic and environmental situation of the community, and this can have far-reaching benefits for the country's development as a whole. The Basic Needs Trust Fund, a grant-funded poverty reduction programme of the Caribbean Development Bank (CDB) which started over three decades ago, is one of our major platforms for supporting communities in ten Caribbean countries.

We hope that the users of this BNTF Operations Manual will find it to be a comprehensive, useful and easy resource in their day-to-day tasks and planning.

We give thanks to all those who have contributed to the development of this manual. We consider it to be a 'living document' that will be updated as BNTF cycles progress and new priorities emerge. We wish to keep it simple and reliable, and welcome the inclusion of videos and other instructional and learning material in various multimedia, so please keep the ideas coming! The manual can be used as a flipbook or printed as a PDF file. We urge you use the extracts for easier sharing when you make visits to communities.

With best wishes,

Darran Newman,
Portfolio Manager,
Basic Needs Trust Fund
Caribbean Development Bank
Barbados

Chapter 1

Introduction

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Poverty

Education and HRD

Water and Sanitation

Basic Community Access and Drainage

Vulnerable Youth

Gender

Since its inception in 1979, the Basic Needs Trust Fund (BNTF) has been helping to reduce poverty in targeted communities by providing infrastructure and livelihood enhancement services nationally and regionally. So far, there have been six BNTF Programme cycles, implementing over 2,000 sub-projects to directly impact the lives of more than 2.8 million people in poor communities. These programmes support a socially inclusive development process that empowers the poor and vulnerable, and support institutional development. Community participation is essential to every sub-project, as this facilitates local ownership of BNTF investments and enhances social capital within each community.

Successive BNTF Programmes have undergone design modifications and increased resource contributions, and currently support interventions in ten participating countries (PCs) with Special Development Fund (SDF) resources. PCs are Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, and the Turks and Caicos Islands.

Today, a large percentage of the poor (particularly the youth) continue to need access to BNTF investments. Analyses of BNTF 5 and BNTF 6 reveal that the greatest demand is for education and human resource development (46%), water and sanitation (23%) and community access (13%).

The seventh cycle of the Basic Needs Trust Fund (BNTF 7) aims to reduce poverty and vulnerability by enhancing access to basic social and economic infrastructures and supporting education and development. Specifically, as detailed in Figure 1, this new programme seeks to provide low-income, vulnerable communities with better access to quality education and human resource development (HRD), and to improve water and sanitation, and basic community access and drainage.

Investments by Sector (BNTF 5 & BNTF 6)

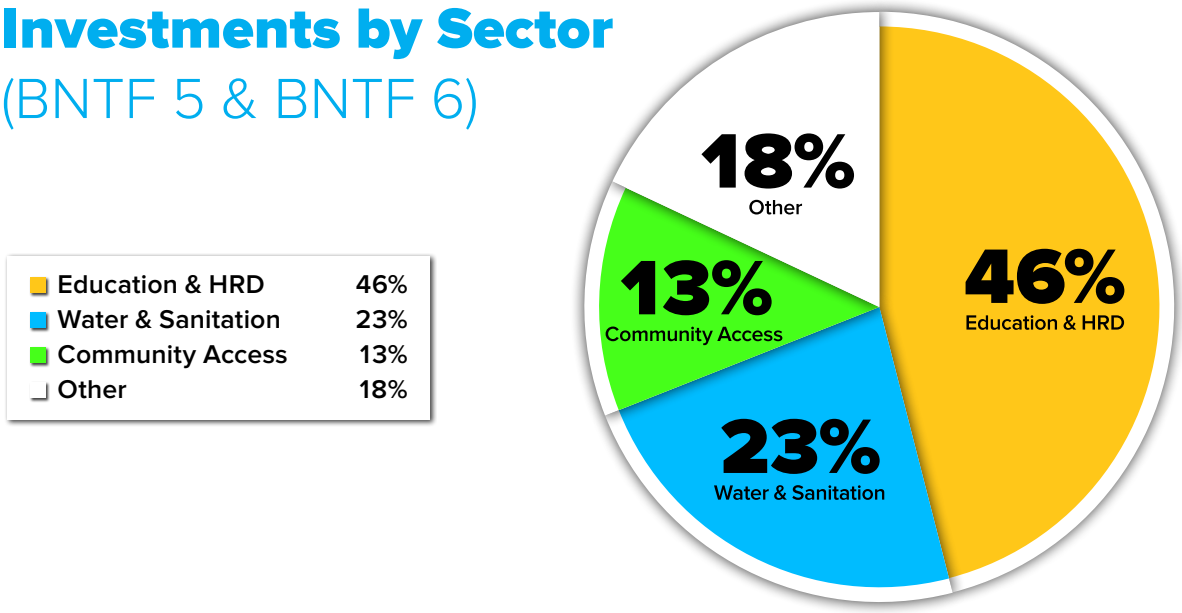

Figure 1: Investment by sector under BNTF 5 and 6

The Big Picture: **Programme Scope**

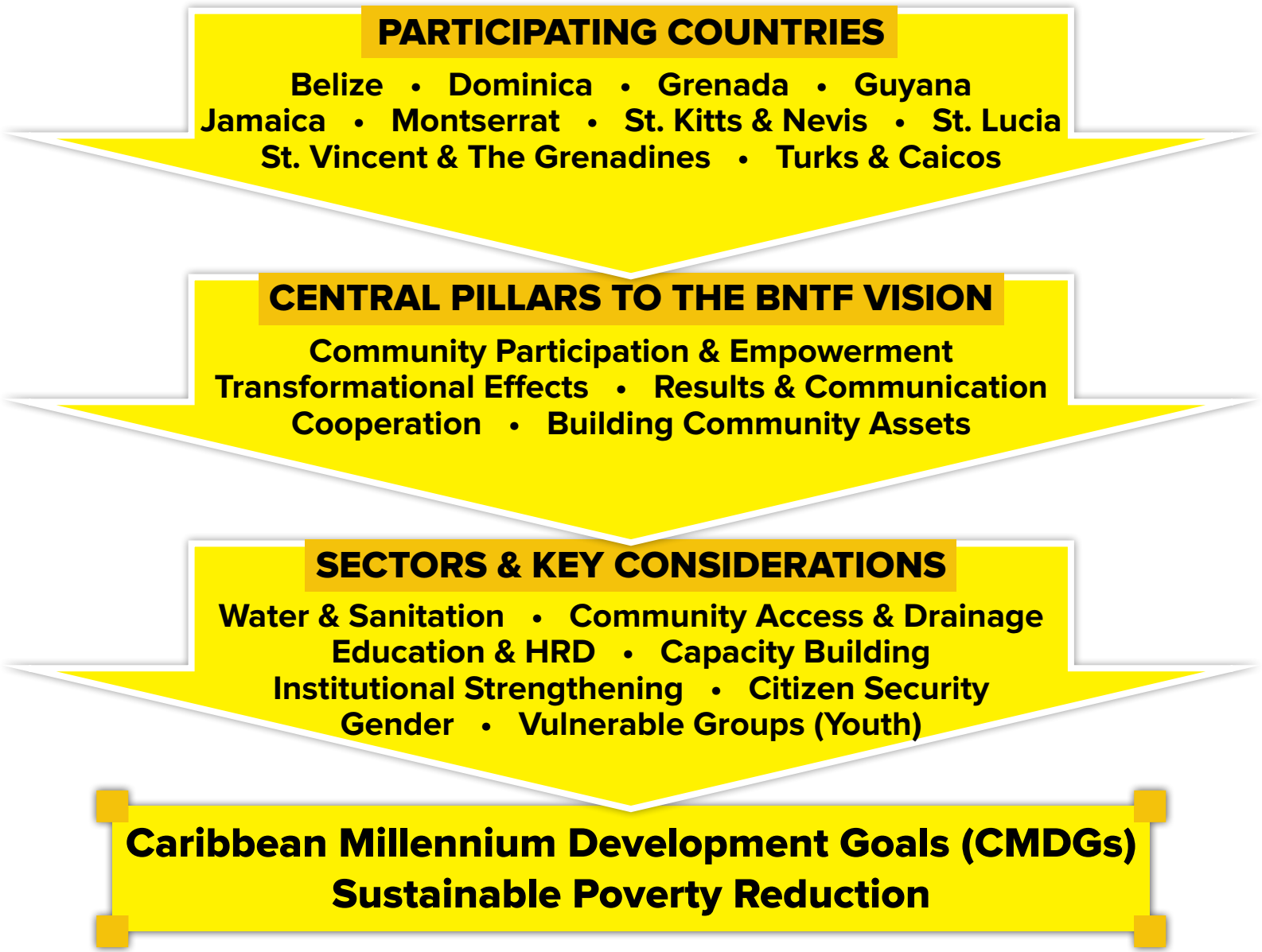

Figure 2: The big picture – programme scope

BNTF 7 **Vision Wheel**

Figure 3: The BNTF vision wheel

1.1

The BNTF Mission and Vision

Fulfilment of the BNTF vision is realised by operations undertaken in five central pillars:

- **Community participation and empowerment:** enabling the most vulnerable to be directly involved and take ownership of the project and future community development
- **Results and communications:** generating more rigorous evidence on where and how the BNTF has had most impact on people's lives in low-income communities
- **Community assets:** helping communities build more assets and be more resilient
- **Transformational effects:** helping communities to emerge out of poverty and be less vulnerable over time, stemming intergenerational poverty
- **Cooperation:** attracting a range of needed services and addressing wider challenges being faced by community residents (e.g., disability, inequality and youth at risk)

Additionally,

- **The BNTF Programme invests in community-led development in a way that nurtures community change processes. It takes a holistic approach to building multi-faceted aspects of a community (it sees the community as an integrated whole), and it is responsive to local demand, needs and priorities.**
- **The BNTF Programme prioritises and links 'sector support' and 'direct community support', and builds capital in a holistic manner.**

BNTF MISSION STATEMENT:

By providing resources to poor communities, we improve access to basic public services and enhance employability. We aim to reduce the economic and social vulnerability of women, men, girls and boys, lowering risks that may otherwise impact their income and well-being.

BNTF 7 **Organisational Chart**

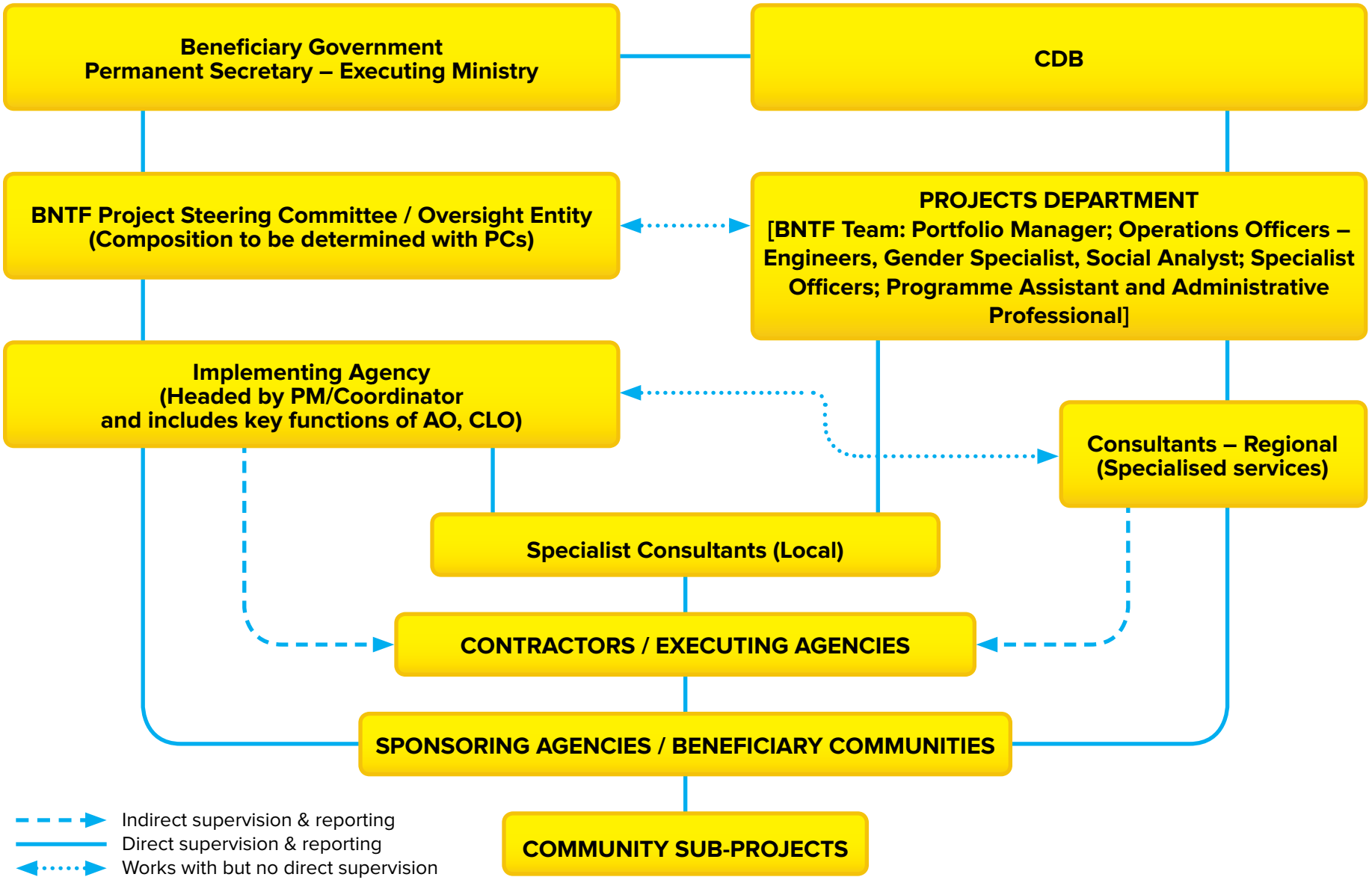

Figure 4: BNTF organisational chart

1.2
The BNTF Structure

Three **main organisational units** shape the BNTF Programme, as follows:

1. The **Caribbean Development Bank (CDB)** has responsibility for overseeing the entire BNTF Programme and granting sub-project approvals and no-objections
2. The **Oversight Entity (OE)** has overall responsibility for the coordination and guidance of national BNTF sector portfolios
3. The **Implementing Agency (IA)** and its staff are responsible for the day-to-day management of project activities.

The relationship between these entities and other stakeholders is detailed in the Organisational Structure (in Figure 4) and governed by the principles of **good governance**.

FAQ:

How does the BNTF align with regional and international development frameworks?

The BNTF Programme aligns with the Caribbean-specific Millennium Development Goals. Like the seventh Special Development Fund, it aims to strengthen poverty reduction and human development. Its objective is consistent with strategic objectives and corporate priorities of the Caribbean Development Bank (promote broad-based economic growth, inclusive social development and associated corporate priority to promote social protection measures; promote good governance and associated corporate priority to promote social partnerships).

TALKING POINTS: UNDERSTANDING THE BNTF

DESCRIPTION

* The Basic Needs Trust Fund (BNTF) is a grant-funded programme by the Caribbean Development Bank (CDB)
* Started over 30 years ago and now in its seventh cycle (BNTF 7)
* A key CDB instrument for addressing poverty reduction
* Provides access to basic infrastructure and services in disadvantaged communities
* Consistent with CDB strategic objectives of (a) promoting broad-based economic growth and inclusive social development and associated corporate priority to promote social protection measures; and (b) promoting good governance and associated corporate priority to promote social partnerships
* Aligned with the Caribbean-specific Millennium Development Goals (CMDGs)
* Consistent with the seventh cycle of the Special Development Fund (SDF 7) theme of strengthening poverty reduction and human development
* Has implemented over 2,000 projects directly impacting more than 2.8 million people

FOCUS

* The BNTF focuses on where needs are greatest
* Previous programme cycles have invested in rural and inner-city community infrastructure and related services in water and sanitation, access roads and drainage, human resource development and education (including day care centres), markets and health facilities
* A market-driven and outcome-based approach to training and livelihood enhancement for vulnerable youth and marginalised communities

APPROACH

* In the BNTF Programme, community participation is integral to the approach
* This facilitates investment ownership by the community and enhances social capital

TARGET

* There are ten participating countries (PCs) in the BNTF Programme: Belize, Commonwealth of Dominica, Grenada, Guyana, Jamaica, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, and the Turks and Caicos Islands
* 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

* Portfolio approach to sub-project preparation and appraisal
* This achieves efficiency and effectiveness gains
* Sub-projects with similar outcomes are grouped for appraisal

EXPECTED OUTCOMES

* BNTF 7 is likely to enhance access to quality education and HRD, and improve water and sanitation, and basic community access and drainage in low-income, vulnerable communities

1.2.1 *Key Sectors and Special Considerations*

Poverty

- **Over a period of 15 years, Country Poverty Assessments (CPAs) have shown that income poverty continues to be a major developmental challenge for these ten countries (despite decreasing poverty levels in some countries)**
- **These CPAs also show that more than 25% of the population lives below national poverty lines in eight of these countries. Poverty is prevalent in at-risk groups:** indigenous people, the elderly living alone, those affected by disability, school-aged youth (especially those in female-headed households), and households with large numbers of youth and elderly dependents

Education and HRD

- **The quality of education is improving, thanks to the ongoing prioritisation of teaching efficiency, enhancing the learning environment and related initiatives**
- **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**

Water and Sanitation

- **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**
- **Approximately 23% of BNTF 7 funds are committed to this sector**
- **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**

BNTF at a Glance

The Basic Needs Trust Fund (BNTF) programme is a community-based, participatory poverty reduction initiative that:

- Targets the poorest people and communities
- Responds to their priorities and demands in 10 countries
- Engages them as stakeholders in the development process
- Enables their participation in the full sub-project cycle
- Builds community and organisational capacity for sustained development
- Is responsive to men's and women's expressed gender needs
- Promotes partnerships for additional services and support in communities

Basic Community Access and Drainage

- Key issues facing the road infrastructure sector are inadequate funding and attention to preventative, routine and periodic maintenance
- Also, lack of proper roadside drainage structures
- And 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)

Vulnerable Youth

- 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

Gender

- Women account for 67% of the economically inactive population and are over-represented among the unemployed
- Across the region, women increasingly migrate from rural areas for "domestic worker" roles in private households with little protection or job security
- In rural communities, women typically work as unpaid family labourers, on small farming plots, in small firms/less profitable sectors of the economy, or in the informal sector
- 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

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The role of consultants

The role of local contractors

BNTF 7th Cycle Onwards:

The Step-By-Step Project Lifecycle

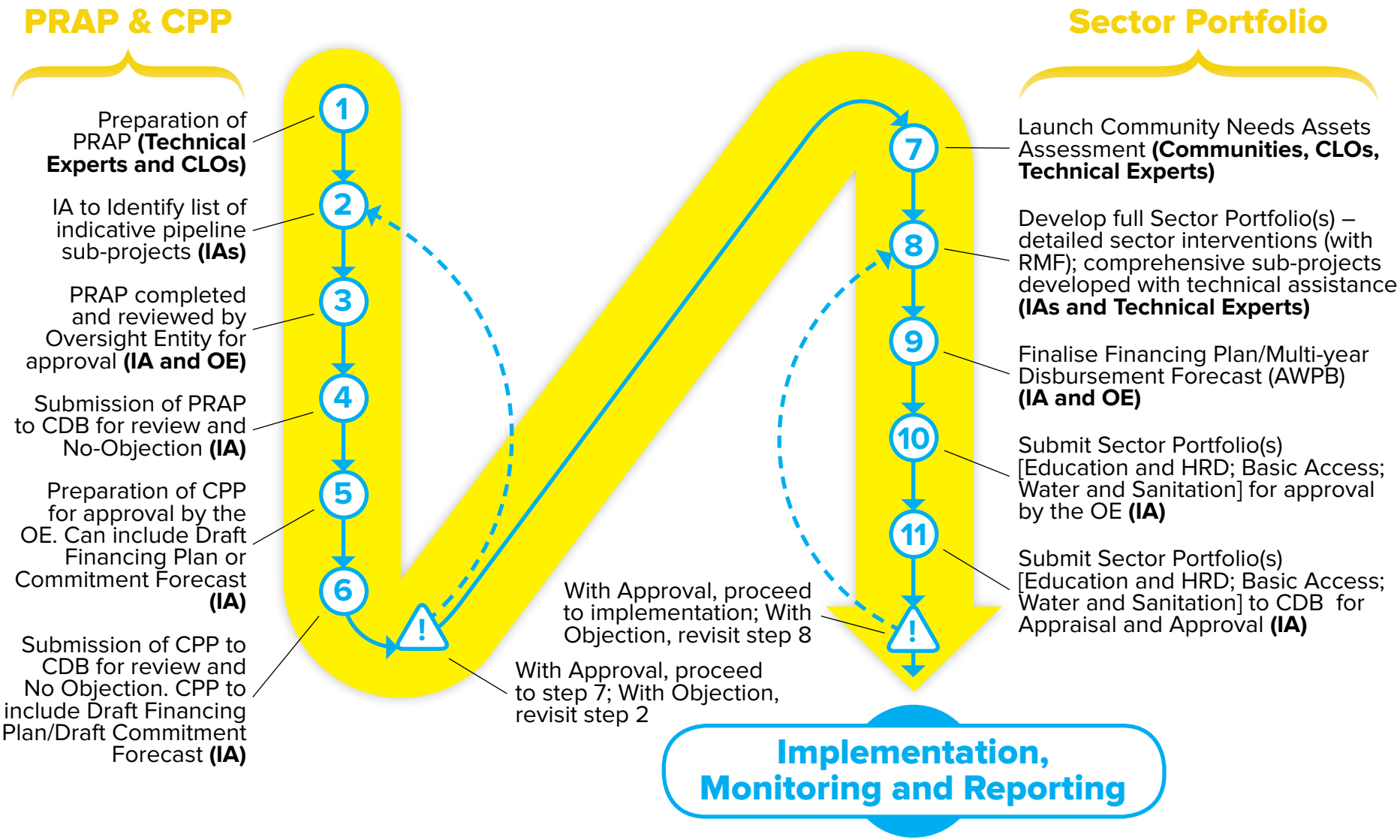

Figure 5: The step-by-step project or sub-project lifecycle

2.1

Understanding the Sub-project Cycle

The BNTF Sub-project lifecycle sets out those critical steps (activities and decisions) that are required in order to progress a sub-project through from inception to completion as detailed in Figure 5.

It is easy to submit a request for a sub-project using the **sub project request form**. The request is logged, along with all other sub-projects being considered for funding, in the sub-project register.

The next step is to complete a **sub-project proposal** in consultation with the Community Liaison Officer (CLO). The process of preparing this proposal allows the CLO and the community to discuss and work out the details of the proposed sub-project, and talk about the likely results of this initiative.

To help identify suitable sub-projects and to review and compare sub-project proposals, the BNTF refers to a country-level document called the Poverty Reduction Action Plan (PRAP). This document is an important planning instrument that provides a governing framework; it refers to wider national policies aimed at reducing poverty.

Commencing with BNTF 7, the key steps are as follows:

1. The PRAP is prepared using technical expertise and the inputs of the CLO from community consultations and engagement
2. The Implementing Agency (IA) identifies an indicative list of sub-projects as part of the PRAP outputs
3. The list of sub-projects is reviewed by the Oversight Entity (OE)
4. The PRAP with the indicative list of sub-projects is submitted to the CDB for review and No Objection
5. The PRAP informs the preparation of the Country Project Portfolio (CPP) with the indicative list of sub-projects (which can include a draft financing plan or commitment forecast) for approval by the OE
6. The CPP is submitted by the IA to the CDB for review and No Objection
7. Technical experts, sector ministries and organisations carry out appraisals to design and develop community-owned sub-projects; CLOs lead the Community Needs Assets Assessments (CNAAs)
8. Technical experts work with the IA to prepare portfolios of comprehensive sub-projects linked to sector interventions in the Results Monitoring Framework (RMF) for input into the Sector Portfolio
9. The financing plan is finalised with a multi-year forecast in support of the Sector Portfolio
10. Sector Portfolios for the three BNTF key sectors (Education & HRD, Water & Sanitation, Basic Community Access & Drainage) are submitted for approval by the OE

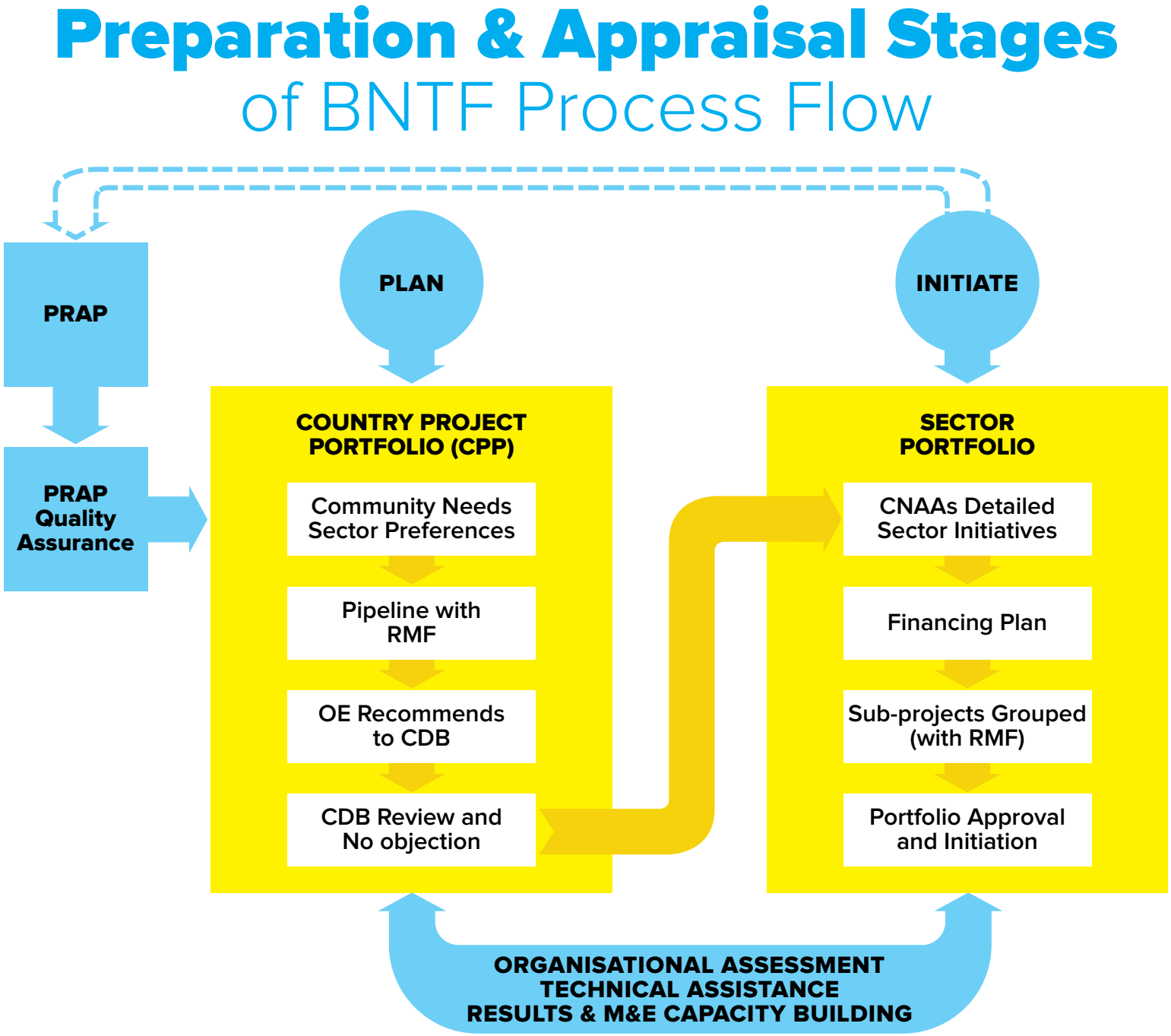

Figure 6: Project preparation and appraisal stages

11. Sector Portfolios are submitted to the CDB for appraisal and approval

Sector Portfolios are considered for approval based on the **BNTF selection criteria**. The below checklist serves as a guide in selecting sub-projects for 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 in the PRAP?
* 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)

2.2

Getting Started

The three main stages of the preparation and appraisal phase are explained in detail here: the Poverty Reduction Action Plan (PRAP), the Country Project Portfolio (CPP) and the Sector Portfolio.

CHECKLIST: WHAT SHOULD THE PRAP DO?

* 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)
* Using the allocation of resources template (see Table 1), inform the allocation and distribution of BNTF funds for sub-projects contained in the country project portfolio

KEY POINTERS TO THE PROCESS FLOW

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

2.2.1 Stage 1: The Poverty Reduction Action Plan (PRAP)

The **PRAP** is an important planning instrument for the BNTF Programme. The PRAP is intended to relate closely to wider national policies aimed at reducing poverty. The CDB supports PCs in conducting CPAs, and preparing poverty maps and Poverty Reduction Strategies (PRSs). The data derived from these assessments and other credible data sources is used in each country to update their PRAPs.

TIPS FOR IMPROVING THE PRAP

* Ensure the PRAP 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 skills training 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

Mapping and Gap Analysis

Mapping and a gap analysis are critical to the PRAP exercise and should be undertaken to identify where gaps exists in the three keys sectors. This should be done in two phases:

Phase 1: Complete Mapping and Gap analysis template.

Phase 2: Use a pie chart to provide a visual summary of the number and percentage of sub-projects per sector.

ISSUES TO BE ADDRESSED IN THE PRAP

* 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

PRAP » CPP **Sector Portfolio**

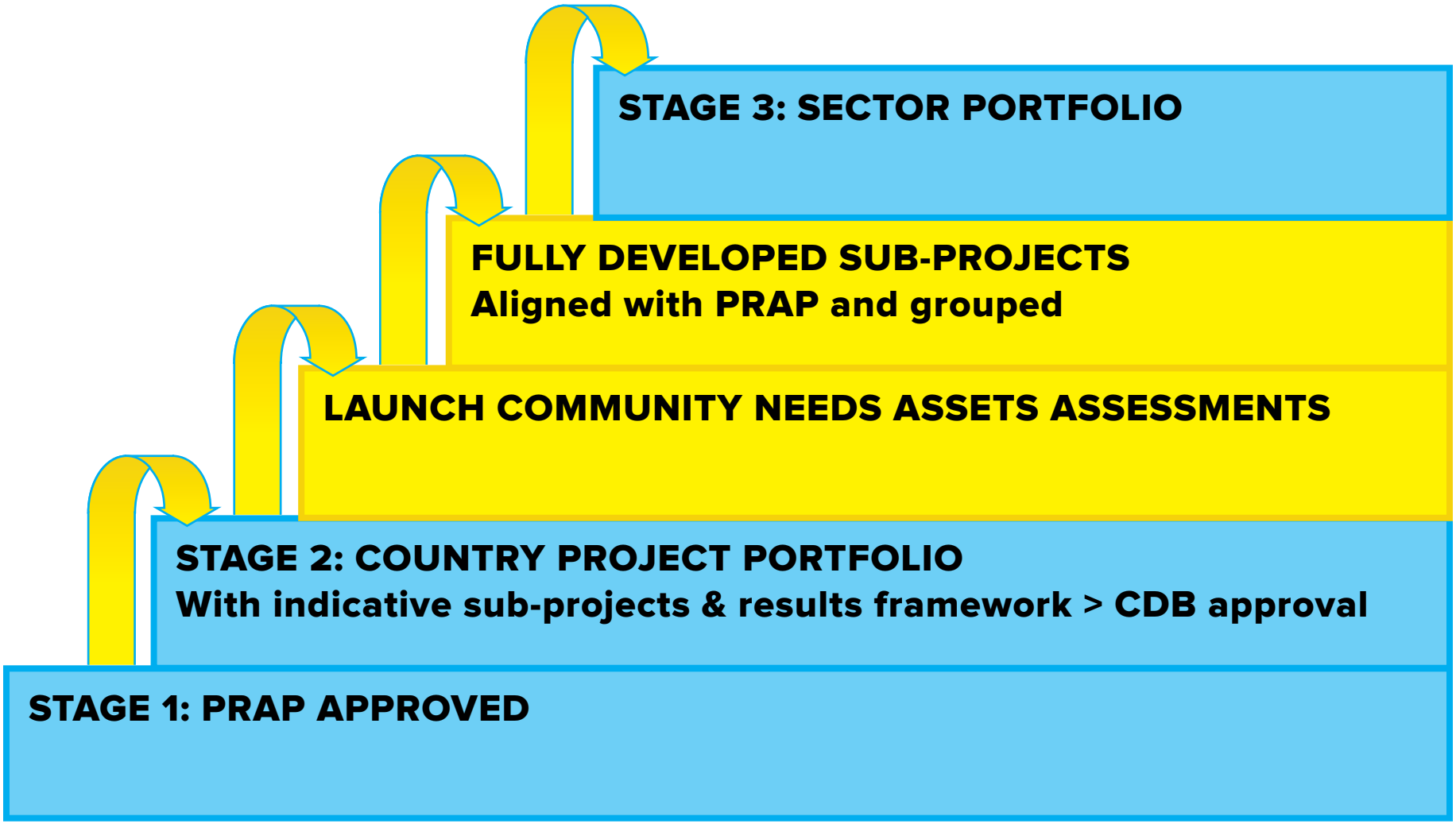

Figure 7: Sequential stages in project preparation and appraisal

Table 1: BNTF 7 resource allocation, informed by the PRAP

	SECTOR Select the three BNTF key sectors and any other key areas in which the CPP focuses:			
	EDUCATION & HRD	**WATER & SANITATION**	**BASIC COMMUNITY ACCESS & DRAINAGE**	**AT-RISK YOUTH, CITIZEN SECURITY, INSTITUTIONAL STRENGTHENING/ CAPACITY BUILDING, OTHER**
POVERTY REDUCTION STRATEGY PAPER (PRSP) TARGETS Descriptive targets corresponding with the key sector/key areas as taken from the country's PRSP & sector/development strategies				
PRSP MEASURES How the targets are to be measured for each sector/key area				
BNTF INTERVENTIONS (PLUS BENEFICIARIES) In broad terms, description of subproject categories, target groups (location; m/f), timeframe, and the BNTF role in meeting the PRSP targets in row 2				
KEY PARTNERS 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%				

2.2.2
Stage 2: Country Project Portfolio (CPP)

Appraisal takes place at two levels: the CPP level and the Sector Portfolio level. CDB staff and consultants support IAs in preparing the CPP 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.

What is the purpose of the CPP?

The CPP 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.

PROJECT PORTFOLIO MANAGEMENT

– The centralised management of one or more portfolios, which includes identifying, prioritising, authorising, managing and controlling projects, sub-projects and other related work to achieve specific strategic business objectives.

(From 'Project Management Body of Knowledge' 4th edition)

Considerations When Preparing The **Sector Portfolio**

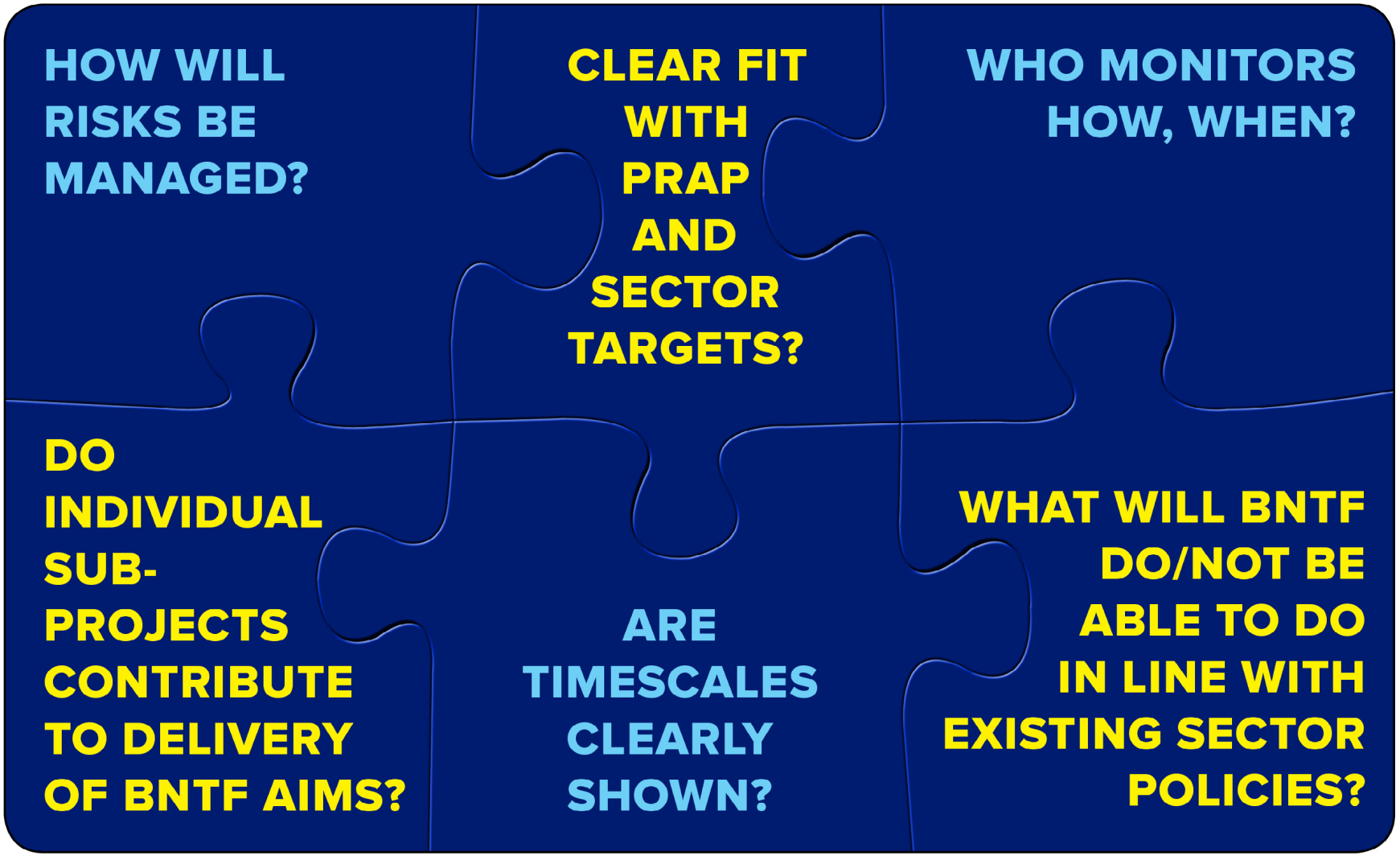

Figure 8: Considerations when preparing the Sector Portfolio

What should the CPP do?

- **List and describe the priority sectors and the indicative sub-projects which comprise the BNTF portfolio, based on the findings of an evidence-based prioritisation of resources informed by the PRAP**
- **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**

The CPP in the process flow

As demonstrated in Figure 7, the CPP is the second of three sequential stages in the BNTF Project preparation and appraisal phase: the PRAP, the CPP and the Sector Portfolio.

Note that **Preparation of Risk Assessment and Management** is carried out when developing the CPP.

2.2.3 Stage 3: 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.

Additionally, the Multi-year Disbursement **Forecast** (with Annual Workplan and Budget) should be included in the Sector Portfolio at the beginning of a BNTF Programme cycle. This forecast should specify the activities to be undertaken in the year 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.

2.2.4 Community Needs Assets Assessment (CNAA)

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 CNAA 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 **CNAA**.

CNAA Approach

The CNAA is led by the CLO with the involvement of community residents. Consultants can also contribute, if the IA deems it necessary.

The CNAA report should be presented as follows:

Section 1:

Briefly (1/2 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, name 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**
   - **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**

Table 2: CNAA template

SECTOR, PROBLEM, ISSUE TO BE ADDRESSED BY BNTF (AND PARTNERS) as highlighted in the PRAP	**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				

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. Is there a sense that a broad cross-section of the community has been heard?

5. What are the main challenges that may arise in the process of implementing the sub-project?

6. 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.

2.2.5 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	Relationship to government Extent to which it implements government mandate Government funding/support Management capacity Ability to implement programme and sub-project Prior experience in the area of the sub-project
Membership-based Organisation (e.g., Belize Tour Guide Association, Belize Western Association of Agro-Processors Organisation, a local co-operative)	Overall management capacity Extent to which it meets members' needs Extent to which it is an open organisation Extent to which it meets the needs of the broader community Expertise and experience in the sub-project sector
Community Service Organisation (e.g., YWCA in Belize City)	Overall management capacity Programming capacity — ability to develop and implement new programmes Extent to which it meets clients' needs Extent to which it is an open organisation Extent to which it meets the needs of the broader community Expertise and experience in the sub-project sector
Informal group of people or non-registered organisation (e.g., Organisation of Black Unity Arts and Craft Skills Training in Belize City)	Government registration, regulation and accountability Overall management capacity and skills Accountability to members/client group Extent to which it meets clients' or members' needs Openness to new members Extent to which it meets the needs of the broader community Expertise and experience in the sub-project sector

2.3

Quality Assurance of Country Portfolio

The BNTF Programme has built-in quality control systems. It also promotes accountability and sustainability, including supervision by the CDB of IAs and consultants, and periodic independent institutional, operational and/or compliance audits. Performance audits include indicators for financial, operational and institutional monitoring for compliance improvement.

CHECKLIST FOR PORTFOLIO QUALITY

The following questions should be considered in assessing portfolio quality:

* Evidence of correct prioritisation and sequencing of 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 PRAP direction?
* Is there evidence of integrated, holistic community development and asset building with cooperation and co-production involving other partners?

2.3.1 Good Practice in Enhancing BNTF Performance

BNTF Programme performance should be measured on achieving the following:

1. **A community participatory approach to:**
   - **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**
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 M&E systems for tracking achievement of results**

3. **Investment approaches to:**
   - **Provide higher performance specifications for building construction**
   - **Include "green" building standards, renewable energy techniques, and efficiency and energy conservation techniques, where appropriate**
   - **Encourage community-based preventative maintenance techniques and other non-conventional approaches to maintenance**
   - **Support training up to National Vocational Qualification certification, and provide access to micro-enterprise development**

2.3.2 Acceptance Criteria

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

Education and HRD

- **Overcrowding:** The existing school or teaching facility operates significantly beyond capacity (e.g., there is less than 1.86 m^2 (20 ft^2) 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

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

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, 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 farm lands and other areas of agricultural production is difficult and/or the solution eases the movement of goods to/from small-scale farms (e.g., essential inputs, produce to market, etc.)
- **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

2.4
Defining the Team

The BNTF Programme has three main organisational units:

a) Caribbean Development Bank (CDB)

The CDB is responsible for overseeing the entire BNTF Programme and granting sub-project approvals and No Objections. It also maintains a register of qualified consultants and issues contracts to them as necessary for sub-project implementation.

b) Oversight Entity (OE), formerly the Project Steering Committee

The OE has overall responsibility for executing BNTF Projects in compliance with requirements, standards and covenants set out in the Grant Agreement between the national government and the CDB.

c) Implementing Agency (IA), formerly the BNTFO

The IA and its staff are responsible for the day-to-day management of project activities. Each participating country has an IA, headed by a Project Manager (PM) who is accountable to the OE.

2.4.1
What is the role of the CDB?

The Caribbean Development Bank (CDB) is the administering agency for the BNTF Programme. Its main responsibilities are:

- **Conduct project launch workshops in each country**
- **Review and give No Objection to CPPs**
- **Appraise and approve Sector Portfolios**

- **Appraise and give No Objection to sub-projects**
- **Provide project supervision (both desk and country/field visits and review of monitoring reports)**
- **Select consultants and administer consultancy service contracts**
- **Train/attach project staff and CDB staff**
- **Provide consultations and seminars**
- **Employ a core of support professionals, including Engineers, Gender Specialist, Social Analyst and Programme Assistant; additional resources may be drawn as necessary from other divisions within the CDB and/or through external consultancies**
- **Conduct mid-term and end-of-project evaluations of each BNTF Programme cycle**

2.4.2 *What is the role of the OE?*

The Oversight Entity (OE) is established by the government of the PC, and has overall accountability and responsibility for the coordination of the national BNTF Project. Unless otherwise agreed, the CDB procures specialist consultants to work in close collaboration with IAs, contractors and sponsoring agencies, to design and supervise the implementation of national projects.

The OE is pivotal to the BNTF Programme's wider partnership approach with stakeholders, and is expected to provide strategic oversight to the national project. It ensures the national project is managed in accordance with the country's broad strategic objectives and policy direction on poverty reduction. It also ensures the national project complies with the requirements, standards and covenants set out in the Grant Agreement between the government and the CDB.

Each participating government is required, as a condition precedent to the first financial disbursement, to appoint an OE (or other body acceptable to the CDB) to take responsibility for the execution of the national BNTF Project, as detailed in the **TOR**.

The OE should be composed of a broad cross section of members drawn from a wide range of government departments and organisations, with (as a minimum) the following members:

- **A representative of the Ministry of Finance and Planning**
- **Members of the line sectors involved (according to portfolio priorities)**
- **A representative of the NGO sector**
- **A representative of the private sector**
- **A Project Manager (PM) who is an ex-officio member and serves as secretary**

OE members should be mainly representative of the sectors that are identified for intervention in the PRAP. In addition, representatives of relevant BNTF sectors

may participate in OE discussions on sub-projects as necessary, but shall not have OE voting rights.

The Community Liaison Officer may attend OE meetings and receive OE reports as necessary but his/her status shall be that of a non-voting member of the OE. A recording secretary should assist the PM, to take minutes of proceedings at all OE meetings.

The OE has overall responsibility for the coordination and guidance of the national BNTF Project.

Its specific responsibilities are:

- **To ensure BNTF poverty reduction targeting is aligned with the country's PRAP and the country's broader national policy objectives on poverty reduction**
- **To ensure that BNTF country operations comply with standards and covenants set out in the Grant Agreement between the government and the CDB (including adoption of the BNTF Operations Manual)**
- **To explore the potential for linkages with other investment programmes to leverage and amplify the BNTF contribution**
- **To provide oversight for the preparation/revision of the PRAP as a guide to allocating resources and designing BNTF interventions**
- **To ensure that the PRAP is completed and submitted to the CDB by the specified completion date**
- **To adopt the country PRAP once it has been approved by the CDB**
- **To approve eligible sub-projects and advise the government to submit these to the CDB for its approval**

2.4.3 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.

Established within each participating country, the IA contains at least the following staff:

- **Project Manager (PM)**
- **Community Liaison Officer (CLO)**
- **Administrative/Accounting Officer (AO)**
- **Confidential Secretary/Receptionist**

In addition, the following support staff may be included:

- **Accounting Clerk**
- **Driver/Messenger**

- **Engineer/Technician**

The PM heads the IA and has ultimate responsibility for the management of staff and other resources, including consultants and other technical experts. The PM reports directly to the OE through its Chairperson. The PM heads the IA and is an ex-officio, non-voting member and Secretary of the OE.

The PM has the following **specific responsibilities.**

- **Assist the OE and government to develop and implement the PRAP**
- **Assist the OE and government to develop and implement the BNTF Operations Manual**
- **Prepare all Sector Portfolios for consideration by the OE and the CDB**
- **Supervise the implementation of all sub-projects**
- **Supervise and ensure completion and the timely submission of SPMRs, SPCRs and annual project reports**
- **Coordinate project activities with other similar donor-funded projects**
- **Ensure that poverty reduction projects are addressed in a gender-sensitive and environmentally sustainable manner**
- **Ensure that projects adhere to CDB and country standards**
- **Produce periodic reports, especially the APPR and Annual Workplan and Budget (AWPB), which specify the activities to be undertaken in the following year, the expected outputs and the budgeted costs on which contracts and expenditure are to be based**

2.4.4 What is the role of the CLO?

The Community Liaison Officer (CLO) in the IA has the following **specific responsibilities**:

- **Responsible to the PM for the active involvement of a representative group of the beneficiary community in identifying, formulating, preparing and implementing all sub-projects funded by the BNTF Programme**
- **Assist in the training and sensitisation of stakeholders**
- **Responsible for problem analyses and the identification, design and preparation of sub-project proposals (paying particular attention to very needy community groups and disadvantaged/ poor women)**
- **Complete monthly SPMRs – specifically sections II (Key Issues and Actions for Management Attention), III (Implementation Progress), IV (Achievement**

of Planned Outcomes), VII (Lessons Learnt) and VIII (Issues and Actions) – and coordinate the inputs of others (e.g., PE and consultants inputs)

- **Complete the SPCR**

2.4.5 What is the role of the AO?

The Administrative/Accounting Officer (AO) in the IA has the following **specific responsibilities**:

- **Report to the PM and be responsible for the management of project accounts (including payments to contractors and suppliers) in accordance with internationally accepted accounting principles**
- **Provide administrative services to the IA, including recording project monitoring indicators and compiling annual audit reports**

2.4.6 What is the role of the community?

It is essential to engage and involve local communities in BNTF initiatives. To achieve this, the IA is required to form a Project Monitoring Committee (PMC) for each sub-project.

2.4.7 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.

The PMC is composed of between 5 and 7 members. They must live in a defined geographical community or represent a community of interest, and they must volunteer their time to the sub-project. They facilitate information-gathering activities and participate in results-based monitoring activities and reporting.

PMC members are not expected to be experts but rather people with a keen interest in sub-project achievements.

The PMC has the following specific responsibilities:

- **Participate in the design and monitoring of sub-project implementation on the community's behalf**
- **Promote the maintenance of facilities (PMC members should also join the sub-project maintenance sub-committee)**
- **Obtain technical assistance when required to improve the sustainability of project outcomes**

Several resources are available to PMCs:

- **Each PMC member should read the principles of Managing for Development Results (MfDR)**
- **To strengthen PMC monitoring during sub-project implementation, they should also access Project Implementation Support**
- **To strengthen the planning and management capabilities of community entities, they should also access information on related cross-cutting issues**

2.4.8 What is the role of consultants and contractors?

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 providers of labour. Either the CDB or the IA takes responsibility for selecting and hiring suitable consultants and contractors for each sub-project.

The role of consultants

- **Typically, technical consultants are engaged to prepare/review designs of infrastructure sub-projects and**

to manage the implementation of approved works

- When a consultant is employed to work on a sub-project, this consultant must work in close collaboration with the PM and CLO and communicate with beneficiary groups and sponsoring agencies at various stages of the project cycle
- Supervising consultants for works are hired through the CDB directly
- Irrespective of the source of the consultant's contract, every consultant employed to work on any BNTF Sub-project is accountable to the IA
- Once engaged on a sub-project, the consultant reports to the PM of the IA

The role of local 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)
- Preference is given to contractors from within the beneficiary community or from a neighbouring community, especially to those who hire skilled and unskilled labour from within the participating and beneficiary communities
- Contractors must be aware of the importance of hiring vulnerable and disadvantaged men, women and youth when possible, but local hiring practice must not compromise the integrity or quality of the work
- Contractors are generally supervised by either the IA or by an independent consultant hired to oversee the sub-project.

QUICK LINKS TO RESOURCES

Sub-project request form

Sub-project proposal form

Selection criteria

Guidance for preparation of the PRAP

CNAA format and key questions

ONA format and key questions

TOR Oversight Entity

TOR Project Manager

Sub-Project Monitoring Report

Sub-Project Completion Report

Annual Project Performance Report

Annual Workplan and Budget

TOR Community Liaison Officer

TOR Administrative Officer

Additional resources

Funding rejection letter

Letter requesting ministry No Objection

Chapter 3

Programme Design and Management

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(a) Education and Human Resource Development

(b) Water and Sanitation

(c) Basic Community Access and Drainage

3.2 Project Management Support 54

3.3 Project Implementation Support 54

3.4 Institutional Development 54

3.5 Project Monitoring and Evaluation (M&E) 55

3.6 Regional Coordination 55

Programme Management Support

Programme Implementation

Programme M&E

Each participating country (PC) must target BNTF resources in a manner consistent with its PRAP and aligned with the approaches and targets of its Country Strategy Papers (CSPs).

As the BNTF focuses on community development outcomes, PCs should use both direct targeting and demand-driven approaches in project design and management.

At the community level, participatory planning methods should be used to:

1. Assess critical sector issues which impact households and community livelihoods, and
2. Identify activities and resources that help to achieve sub-project outcomes

Gender equality and environmental sustainability and climate change should be integrated as cross-cutting considerations, with performance indicators to track results. Specific consideration should also be given to **community participation and empowerment**, **maintenance**, and **vulnerable youth and citizen security**. Project requirements in these areas are anchored by **awareness-building** and institutional-development activities with stakeholders.

Each sub-project should seek to rationalize activities with any regional development programmes and non-governmental/private sector initiatives. A **Logical Framework Analysis** (LFA) summarises this aspect of project design.

The BNTF Programme has two components:

1. Country Projects
   a) Sub-project Grants
   b) Project Management Support
   c) Project Implementation Support
   d) Institutional Development
   e) Project Monitoring and Evaluation (M&E)
2. Regional Coordination
   a) Programme Management Support
   b) Programme Implementation
   c) Programme M&E

3.1
Country Projects

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

3.1.1 Sub-project Grants

Sub-project applications are considered in the context of each Country Project Portfolio. Sub-projects in the selected development 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**
- **Integration of maintenance considerations that support the BNTF Programme**

Sub-project applications should emphasise all sector and community linkages that support achievement of sector results. They should also integrate cross-cutting areas of gender equality, environmental sustainability and climate

FAQ:

What are the sub-project eligibility and funding thresholds?

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

- ★ Small sub-projects – not exceeding $100,000
- ★ Large sub-projects – exceeding $100,000 but not exceeding $600,000

For Jamaica:

- ★ Small sub-projects not exceeding $200,000
- ★ Large sub-projects – exceeding $200,000 but not exceeding $600,000

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

change, community participation and empowerment, maintenance, and vulnerable youth and citizen security.

3.1.2 Sub-project Requirements

Sub-projects must have the sponsorship of diverse members of the targeted poor communities or vulnerable groups, and the relevant sector ministries

Sub-projects must be subject to environmental assessment and gender analysis

Sub-projects must address the sustainability issues of recurrent operating costs and maintenance

3.1.3 Sub-project Categories

There are three sub-project categories:

a) Education and Human Resource Development

b) Water and Sanitation

c) Basic Community Access and Drainage

(a) Education and Human Resource Development

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 across all sub-sectors

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

Table 4: 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 provide furnishings and equipment
Activities linked to a specific sector infrastructure sub-project financed by the BNTF to facilitate outcomes
Refurbish or extend existing secondary school buildings and facilities, including the provision of special learning spaces and school facilities
Provide school furniture, ICT technology, supplies and equipment specifically required for curriculum delivery
Provide facilities for expanded or enhanced student support services (e.g., school feeding) specifically required to improve participation, retention and achievement
Provide facilities for disadvantaged youth, community resource centres and sports facilities (e.g., equipment, musical instruments)
Train vulnerable community members in, for example, quality-enhancement activities associated with local-level training, career development, curricula implementation and teacher development
Provide market-driven skills training including ICT, microenterprise skills development and ancillary training support to enhance incomes and entrepreneurship, preferably in close partnership with certified training institutions and providers, NGOs, the private sector and employers; can include support related to trainers, course materials, tools, stipends, internships, apprenticeships and course evaluation tools
Train stakeholders in 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
Train stakeholders in 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; can include training in project proposal planning, development, cost forecasting, performance monitoring, maintenance planning and related skills
Build capacity in planning and monitoring within government institutions and NGOs

Output Indicators
Water supply lines installed or upgraded (kilometres)
Installed water capacity (cubic metres)
Households with access to potable water (number, sex of head of household)

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

Skills Training

In recognition of the significant contribution that skills acquisition can make to alleviate poverty (through enhancing employability to obtain increased earnings), BNTF 7 allocates substantial resources to support specific skills training activities. These activities can be provided at training institutions but also on-site during 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 and more.

Skills training 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:

a) There are opportunities for income generation or income enhancement, but individuals (men and women, and youth of

Mini Case: Early Childhood Education Gets a Boost in Grenada

The BNTF stepped up its support for early childhood education.

Following the destruction caused by Hurricanes Ivan and Emily, funding under BNTF 6 for the education sector was focused on enhancing school plant and facilities. This covered constructing, upgrading and extending pre-schools and day care centres. These activities were intended to address overcrowding issues, increase access, reduce environmental threat as a result of disrepair, and enhance the teaching and learning environment.

Teachers at the Green Street Pre-school and the Hillsborough Pre-School and Day Care Centre are pleased with the transformation of their school plant. This transformation resulted in the generation of a waiting list, something that was unprecedented.

According to the BNTF partner in Grenada, “The BNTF Project fills a huge void in the investment in early childhood education.”

Parents (mainly female) of pre-schoolers are grateful that their children are able to access a facility that is affordable and of high quality so that they themselves can venture into the labour market. Some parents are able to participate in skills training activities to enhance their employability, while others are able to take up employment opportunities.

This BNTF intervention serves to highlight the fact that there is unmet demand for early childhood education and that such interventions can have a multiplier effect on both children and parents, in particular through skills development for women.

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.

Mini Case: Transformation through Skills Training – Dominica High School

Dominica Community High School (DCHS) is a government-assisted secondary school where the subject of Agricultural Science plays a central role. Agricultural Science is a compulsory subject which every student has to study from form one to form five. This is in keeping with the school's motto of 'Self Reliance for a Better Future'.

Two skills training sub-projects were approved for funding in 2009 under BNTF 5, namely Animal Production and Crop Production.

According to the principal of DCHS, "The Dominica Community High School skills training programme is a hallmark of the Basic Needs Trust Fund fulfilling the Social Cntract. The BNTF is in the vanguard of equipping vulnerable groups who can find solutions to unemployment and under-employment. Its expressed commitment to human rights – the right to a holistic development, a development that adds value [and] that has the potential to create sustainable jobs and wealth – [achieves] a transformation that can thwart the grips of poverty, dependence and depression."

The outputs from this BNTF support were as follows:

i. A cadre of trained students in the areas of animal and crop production

ii. An increased student interest in Agricultural Science

iii. Improved performance in the School-Based Assessment (SBA) component of the Caribbean Secondary Education Certificate, increasing the number of grade 1s that students achieved

iv. Marketing and sale of products to two supermarkets, a primary school, three secondary schools, parents, staff and friends of DCHS

v. New income for the school which contributes to the maintenance of the building and school insurance

vi. An alliance with furniture workers who provide sawdust for the poultry pens

both genders) in the community lack the required and appropriate level of skills, knowledge and/or abilities to take advantage of those opportunities. Examples include when men, women or youth need help to identify and secure employment, training and coaching in job-search skills (e.g., résumé development and writing, job search techniques and interview skills).

b) Men, women and youth of both genders 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

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.

Mini Case: Communities Making A Difference – Sustainable Water In Dominica

Through BNTF funding, potable pipe-borne water is now being supplied to the upper part of Liraudel, in Dominica. The entire community of Petite Savanne has a reliable water supply system with extensions to lower Registe and Ravine Shalle. Water quality is better, and system breakdowns no longer affect the community.

The people of Petite Savanne wrote the project proposal and they were involved in the monitoring committee and overall project implementation.

Once implementation had begun, there wasn't much need for community input. However, periodic meetings were held between the community, BNTF and other stakeholders. For Petite Savanne, the views of the community were considered in relation to the design and implementation of the project. Initially the project was intended to bring an extension of supply to only one location but after consultation the entire system was upgraded. Residents felt they were empowered through proper proposal writing, implementation and efficient project management. For Liraudel, the project was expanded after consultation by building additional water tanks to serve households living above the existing storage tank. Participants gained experience in project management and monitoring.

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 5: Water and sanitation sub-project types

Water & Sanitation Sub-project Types
Provide intake structures, water reservoirs, tanks and/or small water treatment facilities; can include training in the use and maintenance of these facilities, and also basic health and hygiene education
Provide supply and distribution lines delivering potable water to poor communities
Construct, upgrade and refurbish public baths/toilets/laundry facilities in remote or inner-city communities
Construct facilities for minor wastewater disposal or solid waste management
Train vulnerable communities on topics of basic health and hygiene
Train sub-project beneficiaries and PMCs in facilities management and maintenance, maintenance of infrastructure, water systems operation and management, and conservation practices

Output Indicators
Water supply lines installed or upgraded (kilometres)
Installed water capacity (cubic metres)
Households with access to potable water (number, sex of head of household)

(c) Basic Community Access and Drainage

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:

1. Inadequate funding and attention to preventative, routine and periodic maintenance
2. Lack of proper roadside drainage structures
3. 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 sub-projects include:

Table 6: Basic community access and drainage sub-project types

Basic Community Access & Drainage Sub-project Types
Construct or rehabilitate footpaths, rural roadways, small-scale drainage systems, footbridges, light-vehicle access bridges and (to improve river transportation) small-scale boat landings
Initiatives to facilitate continuous all-weather usage
Train sub-project beneficiaries and PMCs in the maintenance of basic community access and drainage infrastructures

Output Indicators
Individuals who have benefitted from improved road infrastructure conditions (number, by age, sex)
Initiatives to facilitate continuous all-weather usage
Sea defences/landslip protection/urban drainage (kilometres)

3.2 Project Management Support

This refers to the support required for project co-ordination including:

a) Funding IA members/consultants and costs related to supervision, field visits and beneficiary consultations

b) MIS operations and maintenance, intranet, information-sharing and networking activities within and among communities to encourage community partnerships, networking, dissemination of lessons learnt, knowledge management and advertisements

c) 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

3.3 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.

The CDB passes project management responsibility and accountability to PCs, and supports areas identified for institutional development under the Regional Coordination component. This is based on the findings of institutional assessments being undertaken in the preceding BNTF Programme and on discussion with PCs.

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

3.5 Project Monitoring and Evaluation (M&E)

This refers to activities that facilitate assessment at country level of project outcomes and impact. 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 investments, 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 operationalize 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.

3.6 Regional Coordination

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

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

Programme Management Support

This can include institutional enhancements including human resource development to benefit the management of the project in a particular country. For example, it can cover training in the use and operation of management information and results-monitoring systems.

Programme Implementation

During the implementation process, the regional programme can support:

- **Independent performance audits, including financial audits of IAs, based on agreed performance benchmarks**
- **Building capacity in applying key principles and operational guidelines in the field**
- **Developing comprehensive MIS to improve project and fiduciary management and reporting, and enable efficient tracking of programme data, timely reporting, operational efficiency assessments, improved risk management and better information-sharing, networking and knowledge management**

Programme M&E

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

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

1. Assessment of the efficiency and effectiveness of the BNTF Programme, including client surveys and qualitative assessments (the CDB establishes baseline data and targets for the programme after completion of project baseline surveys)

2. Cumulative BNTF Programme performance reports based on PC MIS reports to monitor performance indicators, review disbursements and supervise sub-project implementation progress

3. Mid-term evaluations (MTEs) conducted by independent consultants (the CDB contracts these consultants within two years of Grant Agreement conditions being satisfied), guided by selected performance criteria; MTEs are timed to allow recommendations on meeting objectives/enhancing achievement of objectives to be implemented within the remaining time period

4. Impact assessment of the BNTF Programme, to determine its effect on (a) target beneficiaries relative to primary welfare, (b) infrastructure, (c) social dynamics and (d) governance; also to assess (e) targeting, (f) its comparative effectiveness and (g) the sustainability of programme results

QUICK LINKS TO RESOURCES

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Notional LFA

Chapter 4

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There are five main cross-cutting issues in the BNTF Programme:

1. Gender Equality
2. Environmental Sustainability and Climate Change
3. Community Participation and Empowerment
4. Maintenance
5. Vulnerable Youth and Citizen Securitys

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)

4.1
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 impacts the design of interventions and their evaluation.

DEFINITIONS:

GENDER

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.

GENDER EQUALITY

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.

GENDER MAINSTREAMING

Gender mainstreaming refers to the incorporation of a gender equality perspective into all stages and at all levels of policy, programming and projects.

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**:

Education and HRD

- **Increased enrolment/attendance, disaggregated by sex**
- **Minimum of 40% of each sex participating in non-segregated training**
- **Min. 40% of either sex on schools' boards/PTAs**

FAQ:

What can the BNTF Programme do?

(i) 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

(ii) 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

(iii) Provide training for Community Liaison Officers (CLOs) and other relevant stakeholders in gender analyses and participatory community development

Mini Case: Construction Skills Training Project for Women, St. Lucia

In general, although opportunities for women in the construction industry appear to be increasing, women continue to be under-represented in terms of levels of employment. The problems faced by women entering and working in this sector include educational segregation (which leads to occupational segregation), the image of the industry, recruitment practices, sexist attitudes, and the working environment (job sites).

The Construction Skills Training Project for Women (West Coast) St. Lucia (2007) was a collaborative initiative of the Basic Needs Trust Fund and the National Skills Development Centre which targeted 120 unemployed women residing in the coastal districts of Anse-La-Rey, Canaries, Soufriere and Choiseul for training in social and technical skills. The objective was to provide opportunities for women in the male-dominated (non-traditional) sector. The project covered the period September 2007 to April 2008.

In seeking to address the underlying problems to increasing participation of women in the construction industry, the project adopted a multi-pronged strategy. The main elements were:

- Establishment of a Project Monitoring Committee
- Pubic sensitisation (project launches, banners, television documentary on technical vocational training)
- Screening (including basic literacy and numeric test and interviews)
- Productivity enhancement training (including self-management, health and hygiene, teamwork, communications, work ethics)
- Gender awareness training (targeted at contractors and facilitators, as well as trainees, to enhance perceptions of self)
- Orientation career counselling
- First aid training
- Technical vocational orientation
- Technical vocational training (painting and tiling, carpentry and roofing, plumbing, electrical installation, air condition and refrigeration, and masonry and steel bending)
- Attachments (mentoring)

Originally, there was no budget for insurance coverage and child day care services but this was added in consideration of the associated hazards and the inability to secure child services (classes were scheduled from 3:00pm to 7:00pm). Protective gear was provided at most classes.

One hundred and twelve (112) trainees completed the training. The individual classes had between 80% to 100% attendance.

The most common reason for non-completion was that the trainees had found alternative employment.

Sixty-seven trainees were able to secure attachments. Seven dropped out of the attachment programme. The early departure from home to go to work meant that some of the women had to pay a relative to prepare their children for school. For some who had to incur transportation costs, the stipend was insufficient to compensate for the disruption in the work-home balance. Many of the trainees were able to secure long-term employment at companies in areas such as carpentry, electrical installation, resorts and general construction. Four women who did not access the attachments were able to secure temporary employment. Nine of the women have collaborated to establish the West Coast Women in Construction Cooperative and have developed a small business retailing decorative concrete products. Two of the tiling and painting trainees became sub-contractors with a major general construction contractor.

- **Min. 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**

Water and Sanitation

- **Reduced time for fetching water, disaggregated by sex**
- **Increased water connections, disaggregated by sex of head of household**
- **Min. of 40% of each sex on the water boards/maintenance committees**
- **Min. 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**

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

Basic Community Access and Drainage

- 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

4.1.1 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:

Gender Considerations at Key Stages of the BNTF Project Cycle

	Process Flow	Gender Mainstreaming
1	PRAP	• Use participatory approaches when collecting data • Ensure data sets are disaggregated to reflect women and men • Analyse what roles will be played by both men and women • Ensure stakeholder analysis reflects gender considerations
2	COUNTRY PROJECT PORTFOLIO	• The RBM should reflect disaggregated data sets (women and men) • The priority listing should be informed by stakeholders views that represent gender equality • Refer to gender checklist
3	TA (for CPP)	• Ensure there is scope within the Terms of Reference (TOR) for working with vulnerable groups/women
4	SECTOR PORTFOLIO (CNAA, Minutes of meetings, MOUs, Technical designs/ drawings, Environmental Checklist, Environmental Management Plan)	• Use participatory methods when collecting data • Ensure designs respond to gender considerations • Ensure environmental impact assessments respond to gender considerations
5	TA (for Sector Portfolios)	• Ensure there is scope within the Terms of Reference (TOR) for working with vulnerable groups/women
6	OUTPUTS	• Use deliberate targeting to ensure benefits are distributed in an equitable way
7	OUTCOMES	• Ensure impact assessments reflect gender considerations

Figure 9: Gender considerations at key stages of the BNTF Project cycle

4.2 Environmental Assessment

4.2.1 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 and, therefore, there are no associated checklists and guidelines for assessing these smaller projects. 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.

4.2.2 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".

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.

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 into account fully 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 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 environmental 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.

4.2.3 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 minimized 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 propose 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 minimized through the design process.

4.2.4 Issues for Inclusion in an EIA Framework

Several issues must be appropriately addressed 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 **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 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 the 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 to 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 perceptions 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

a) 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.

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 management plan (EMP).

Table 7: Environmental mitigation measures

IMPACT	MITIGATION MEASURES	APPLICATION WHERE/WHEN
Biological Resources		
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	
Water Quality and Quantity		
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.

Table 7: Environmental mitigation measures

IMPACT	MITIGATION MEASURES	APPLICATION WHERE/WHEN
Flooding		
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
Air Quality		
Dust from construction activities	Water the roads; reduce aggregate stockpiles	During construction
Noise and Vibration		
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	
Building Issues		
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	

Table 7: Environmental mitigation measures

IMPACT	MITIGATION MEASURES	APPLICATION WHERE/WHEN
Slope Instability and Erosion		
Erosion by wind and water	Undertake restoration planting	During construction and facility operation
	Avoid highly erodible soils	
	Stabilise slopes	
	Undertake compaction	
	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
Social Conditions		
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 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

Stakeholder Contribution to EMP

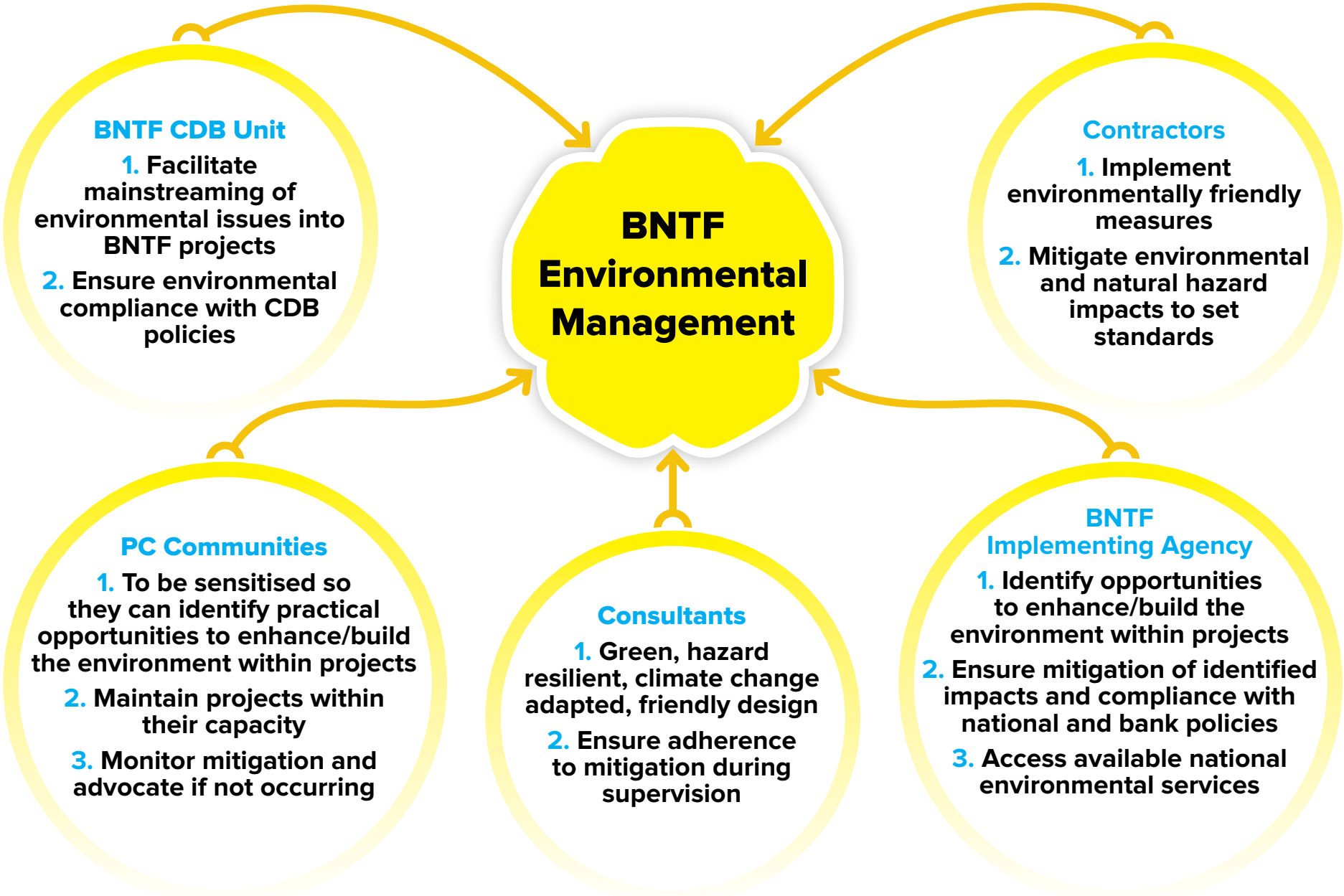

Figure 10: Stakeholder contribution to EMP

The purpose of the EMP is to:

- **Identify all residual environmental impact specific to the project**
- **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**
- **Specify short- and long-term monitoring requirements for critical parameters, including pollutants and natural hazards**

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

> **"A project's EMP consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels.**
>
> **The World Bank, Operations Manual (Annex C), 1999**

b) Using mechanisms to mitigate impact

Table 8 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.

Natural Hazard Impact Assessment

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).

Table 8: Examples of natural hazard experienced in PCs

COUNTRY	HURRICANES	STORMS	STORM SURGES	FLOODS	DROUGHT	EARTH-QUAKES	VOLCANIC ERUPTIONS
Belize	✓	✓		✓		✓	
Dominica	✓	✓	✓	✓		✓	
Grenada	✓	✓	✓	✓			
Guyana		✓		✓			
Jamaica	✓	✓	✓	✓		✓	
Montserrat	✓	✓	✓			✓	✓
St. Kitts and Nevis	✓	✓	✓	✓		✓	
St. Lucia	✓	✓	✓	✓	✓		
St. Vincent and the Grenadines	✓	✓	✓	✓		✓	✓
Turks & Caicos	✓	✓	✓		✓		

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

a) Frequency of occurrence

b) Magnitude of release

c) Intensity – size and concentration of impact and effects

d) Time dimension, which includes the suddenness of onset and duration

e) 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 susceptible to damage and, in many cases, complete 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 8.

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 for main categories of major natural hazard impact and cost:

1. Costs to the built environment (mostly direct impact) – these include residential, commercial and industrial buildings, and communications and transportation infrastructures

2. Indirect impact and costs to the business community – these include insured and uninsured interruptions and failures, and transfer of benefits and income

3. 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

4. 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"**

4.3 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**

Mini Case: Replicable Innovative Practice

In Guyana, Jamaica, Montserrat, St. Vincent and the Grenadines, and St. Kitts and Nevis, comprehensive training is provided to community groups. Beneficiaries learn about the benefits of proper maintenance, how to plan small-scale preventative maintenance activities, how to budget, fundraise and achieve sponsorship, and how to manage minor maintenance contracts.

Maintenance steps

1	Form a maintenance committee with a team comprising: a) Administration b) Inspection & Maintenance c) Funding
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
3	Identify and define maintenance activities/tasks to be undertaken on each asset, and the type and frequency of work required
4	Estimate time requirements for each task
5	Develop an annual maintenance inspection and work schedule

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

.

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

4.4 *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**.

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

FAQ:

What are the 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

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

Mini Case: Communities Making A Difference – Sustainable Water In Dominica

Through BNTF funding, potable pipe-borne water is now being supplied to the upper part of Liraudel, in Dominica. The entire community of Petite Savanne has a reliable water supply system with extensions to lower Registe and Ravine Shalle. Water quality is better, and system breakdowns no longer affect the community.

The people of Petite Savanne wrote the project proposal and they were involved in the monitoring committee and overall project implementation.

Once implementation had begun, there wasn't much need for community input. However, periodic meetings were held between the community, BNTF and other stakeholders. For Petite Savanne, the views of the community were considered in relation to the design and implementation of the project. Initially the project was intended to bring an extension of supply to only one location but after consultation the entire system was upgraded. Residents felt they were empowered through proper proposal writing, implementation and efficient project management. For Liraudel, the project was expanded after consultation by building additional water tanks to serve households living above the existing storage tank. Participants gained experience in project management and monitoring.

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 Project Monitoring Committee (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 **PRAP** 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:

1. Information about community needs is best obtained from community members
2. 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)
3. Do not assume that one person or group speaks for everyone
4. Consider each person's opinion
5. Verify information and perspectives
6. 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)

DETAILS OF THE MAINTENANCE COMMITTEE

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

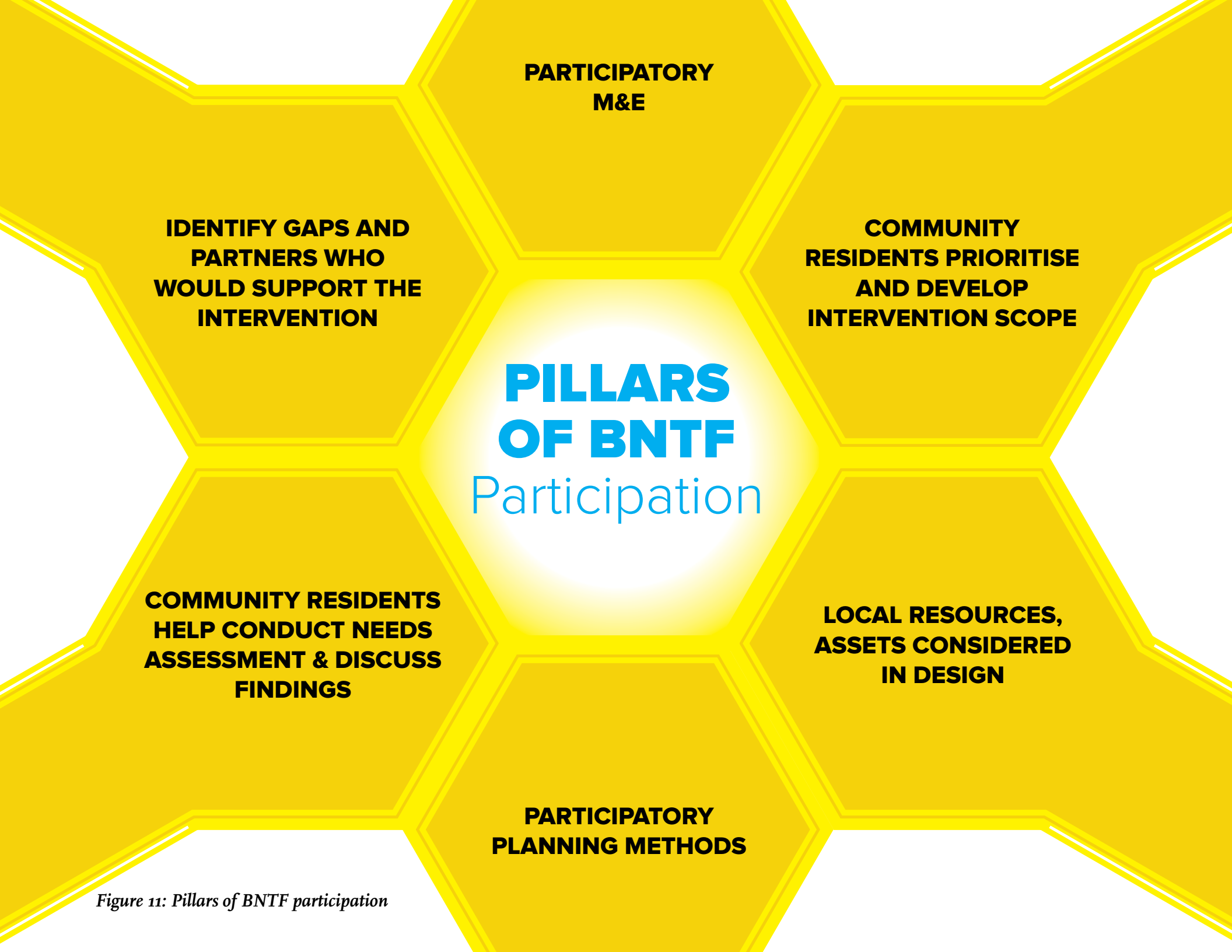

Figure 11: Pillars of BNTF participation

7. Different community members have different perceptions, needs and suggested solutions
8. Mediate and look for common ground, but do not limit discussion on differences
9. Ensure the process is open and transparent
10. Community dialogue and co-operation should be encouraged as consultations form part of the community capacity development process

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. 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 capabil-

ities 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.

2. 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.

3. 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.

4·5 Vulnerable Youth and Citizen Security

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.

FAQ:

What are some of the ways citizen security can be mainstreamed?

- ★ 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)
- ★ 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)
- ★ 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)
- ★ Reduce domestic and gender-based violence
- ★ Improve living conditions through environmental design (upgrade settlements, provide safe green spaces for community activities)
- ★ Enhance the policy and legislative frameworks for citizen security

4.5.1 *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.

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.

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Social Impact Assessment Guidelines

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5.1 Governance

The BNTF 7 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.

The CDB Strategy on **Governance 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".

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 communities) and have the written sponsorship of the beneficiary community groups (NGOs, CBOs, faith-based groups)**
- **A PMC, comprising 5-7 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, IA), or similar document**
- **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. 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-projects is a least-cost solution, conforming to the specific criteria and sector policy standards established for that type of sub-project. 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 all 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 CDB's "Guidelines For Procurement of Goods and Services"**

5.1.1 *The Grant Agreement*

The BNTF Grant Agreement is signed by the CDB and the government. This agreement specifies terms for BNTF Grant expenditure and reporting and describes the terms and conditions of the grant.

1. Disbursement

The government is required to place the agreed counterpart contribution of the BNTF Grant amount into an account in a commercial bank in prescribed instalments for prescribed periods. The following applies to BNTF 7 and 8

- **Fully committed by December 31, 2014**
- **Terminal disbursement date December 31, 2016**

2. Conditions precedent to first disbursement

- **Designation of representatives**
- **Authorisation for withdrawals**
- **IA to continue its operations in independent accommodation available to the community**
- **Establishment of the OE**

3. Conditions precedent to disbursement (sub-projects)

For each sub-project

- **Evidence, acceptable to the CDB that the sub-project has been prepared in accordance with the format set out by the IA and in the and BNTF Operations Manual and approved by the OE**
  - **Large sub-project**
    - **Sub-project profile**
    - **Approval by the CDB of sub-project proposal**
  - **Small sub-project**
    - **Sub-project profile**
    - **The CDB shall give No Objection to small sub-projects**

4. Beneficiary (specific responsibilities)

- **Personnel – Project Manager/Coordinator; Community Liaison Officer; Administrative/Accounting Officer (within six months of satisfying all precedent conditions)**
- **Set up a special account in a commercial bank (during the lifetime of the project)**
- **Establish the OE and IA (a precedent condition)**
- **Comply with the BNTF Operation Manual (a precedent condition)**
  - **PRAP – Poverty Reduction Action Plan – March 31**
  - **Annual performance audit – 120 days after the end of each fiscal year**

5. Implementing Agency (specific responsibilities)

- **Annual Project Performance Report – January 15**
- **Country Project Portfolio – June 30**
- **Environmental Performance Report – July 30**
- **Annual Workplan and Budget – November 30**
- **Support Management Information Systems and Web Technologies**

5.2 Procurement

BNTF's guidelines for the procurement of work, goods and services are intended to ensure:

- **A fair and transparent procurement process**
- **Judgement 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 the **Procurement Guidelines** and the **BNTF Procurement Plan**.

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

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

Pre-qualification

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

- **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 is able to provide all the equipment required in a timely manner.

- **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) are able to bid. Pre-qualification is not necessary for small routine contracts but is usually necessary for larger contracts and more complex works.

- **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**

The procurement procedures, specifications and contract packaging must be suitably adapted to reflect these considerations, provided these are efficient and are acceptable to the 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 CDB uses the following standard documents:

- **Consultant agreements (CAs) including Terms of Reference (TOR)**
- **Standard bidding documents for procurement of works**
- **Contractors pre-qualification report**

BNTF PROCUREMENT METHODS

1. NATIONAL COMPETITIVE BIDDING

'National Competitive Bidding' (NCB) is the competitive bidding procedure for public procurement in the PC. See full details in the Procurement Guidelines.

Important considerations for developing proper national bidding documents:

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

2. SHOPPING

'Shopping' 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)
* RFQ 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 using the same principles as NCB, 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 CONTRACTING

'Direct Contracting' is contracting without competition (single source).

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 (Normally goods procured under CDB financing must have their "source" and "origin" in an eligible country)

4. COMMUNITY PARTICIPATION

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

Engagement of consultants may also be considered.

Consultant selection must be in accordance with CDB procedures for the selection and engagement of consultants by recipients of CDB funds, except for Jamaica.

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

Shortlisted candidates 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

- **Bid evaluation report**
- **Consultant's monthly report, including labour returns**
- **Consultant's payment certificates**

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

5.2.1 *Methods for Procuring Consultants*

There are three methods of consultant selection: Quality and Cost-based Selection (QCBS), Least Cost Selection (LCS), and Selection based on the Consultants' Qualifications (CQS)

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:

Steps in the consideration of proposals

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)
2	Prepare an evaluation report and submit this to the CDB for No Objection
3	Open FPs, award points for FPs, and then combine points for TP and FP
4	Submit final evaluation report to the CDB for No Objection

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

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.

5.2.2 *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 CDB-appointed consultants (architectural/ engineering/ environmental/ gender specialists, etc.) to the IA. The IA must:

a) 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 on the basis of services to be provided by the IA-assigned or CDB-assigned consultants

b) 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 the CDB before proceeding

c) 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

d) 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

e) Obtain all necessary approvals for final tender documents, including pre-bid estimates, advertising for tenders or agreeing the list of pre-qualified bidders (recommended by consultant and submitted to the CDB for No Objection)

f) Arrange for pre-bid site meetings, and issue all tender documents from the IA in conjunction with the consultant

g) 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

h) 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

i) 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.)

j) 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

k) Obtain all required local recommendations for award of contracts before submitting to the CDB for No Objection

l) Submit to the CDB copies of the signed contract, insurances and bonds (performance, advance guarantee, etc.), in readiness for applying for eligible reimbursements

m) The AO must enter into the BNTF MIS all contract award information/costs

n) Maintain a current and detailed register of bid evaluations (in the BNTF MIS)

o) Update the MIS database on sub-project total cost and unit costs; this data is used to inform future appraisals of similar sub-projects

p) 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.

5.3 *Financial Management*

1. Fiduciary responsibility to donors

To prove fiduciary best practice to its donors, the BNTF Programme requires financial management of project funds to satisfy the requirements of the Grant Agreement and CDB Policies and Procedures Manual – Guidelines for Withdrawal of Proceeds of Loans (in addition to all standard accounting practices of the PC).

Full compliance with these requirements is facilitated when they are linked to the development goal of improving public financial management institutions and to the fiduciary goal of reducing or eliminating misuse of project funds.

2. Payment of the grant

A BNTF Grant is made only for an intended and specific purpose, and this is described in Article III of the Grant Agreement, paragraph 3.01 (a), parts (i) to (iv). The amount/percentage of the grant is described in the same paragraph 3.01 (b) to (e).

In the same way as the grant may only be used for a specific purpose, expenditure may only be made on items described in the Grant Agreement General Provisions (Schedule 1). If any variation is required, this can only be allowed following approval by the CDB.

3. Accounting systems

While it is understood that different countries employ different methods to prepare and report accounting information, there are generally accepted international financial reporting standards which are increasingly being adopted as alternatives to nationally developed standards.

In addition to financial reporting and accounting standards, the IA in each PC is expected to adhere closely to the PC's financial management legislation and the requirements of the PC's Auditor General when managing project funds.

4. Utilisation of the BNTF MIS

The BNTF MIS stores information which is used mainly to:

i. Provide a record of project data including the approved financing plan

ii. Manage disbursements using the project control form to track payments made to specific project components

Typically, the MIS should be used to generate the Sub-project Monitoring Report (SPMR)

5. The role of the CDB

To supervise the IA accounts and audit checks during the sub-project

- **To ensure adherence to project procurement procedures**
- **To verify and check for the completeness of documentation for payments**
- **To review applications for fund withdrawals and ensure compliance with guidelines and the Grant Agreement**

REQUIREMENTS FOR DISBURSEMENT PROCESSING

* Applicable conditions have been met
* Signatories are valid
* Expenditure falls within the scope of the project/sub-project
* Funds are available
* Terminal disbursement date (TDD) is valid

6. The role of the IA

Reconciliation of the grant account is the responsibility of the IA. This exercise entails providing accurate and reliable data on available balances in BNTF Country project/grant accounts. There is a timetable and guidance for **conducting reconciliation**

Additionally, the IA is expected:

- **To ensure payments are made to suppliers/contractors according to contract documents and in accordance with certificates issued by engineers and other consultants, where applicable**
- **To maintain accounting records in accordance with international accounting standards and national financial regulations**
- **To submit the required documentation to enable fund withdrawals**

7. Withdrawal procedures

The guiding document for fund withdrawal is the CDB Policies and Procedures Manual – Guidelines for Withdrawal of Proceeds of Loans.

This states:

- **The methods by which funds may be withdrawn from the BNTF Grant**
- **The supporting documentation that must be submitted with a withdrawal application; this includes details of banking instructions, copies of contracts and additional documents to be supplied by the Project Manager (e.g., performance bonds, insurance documents, advance payment guarantee)**

8. Annual performance audit

The annual performance audit should be independent and acceptable to the CDB. Annually for each calendar year, the IA must submit this audit to the CDB (as stipulated in the Grant Agreement). The IA should include with this audit an approved (Executing Ministry) Plan of Action for implementing audit recommendations.

9. Taxes and contingencies

The CDB must give prior approval for funds to be used to pay contingencies. Specifically, in General Provisions (Schedule 1), Article III, paragraph 3.01 (i) it says that 'payment will not be made on account of expenditures for identifiable taxes imposed under the laws of the Project Country'. Moreover, in General Provisions (Schedule 1), Article III, paragraph 3.01 (iii) it says that 'payments on account of expenditures for contingencies designated for financing by the bank in the budget will be made only if such expenditures shall have been previously approved by the Bank'.

10. Financing plan

A financing plan is a multi-year disbursement forecast which makes assumptions about exchange rates, institutional capacity, the work programme and budget. See examples for inclusion in the Sector Portfolio in Table 9, and for project management and institutional development in Tables 10 and 11.

The key steps are as follows:

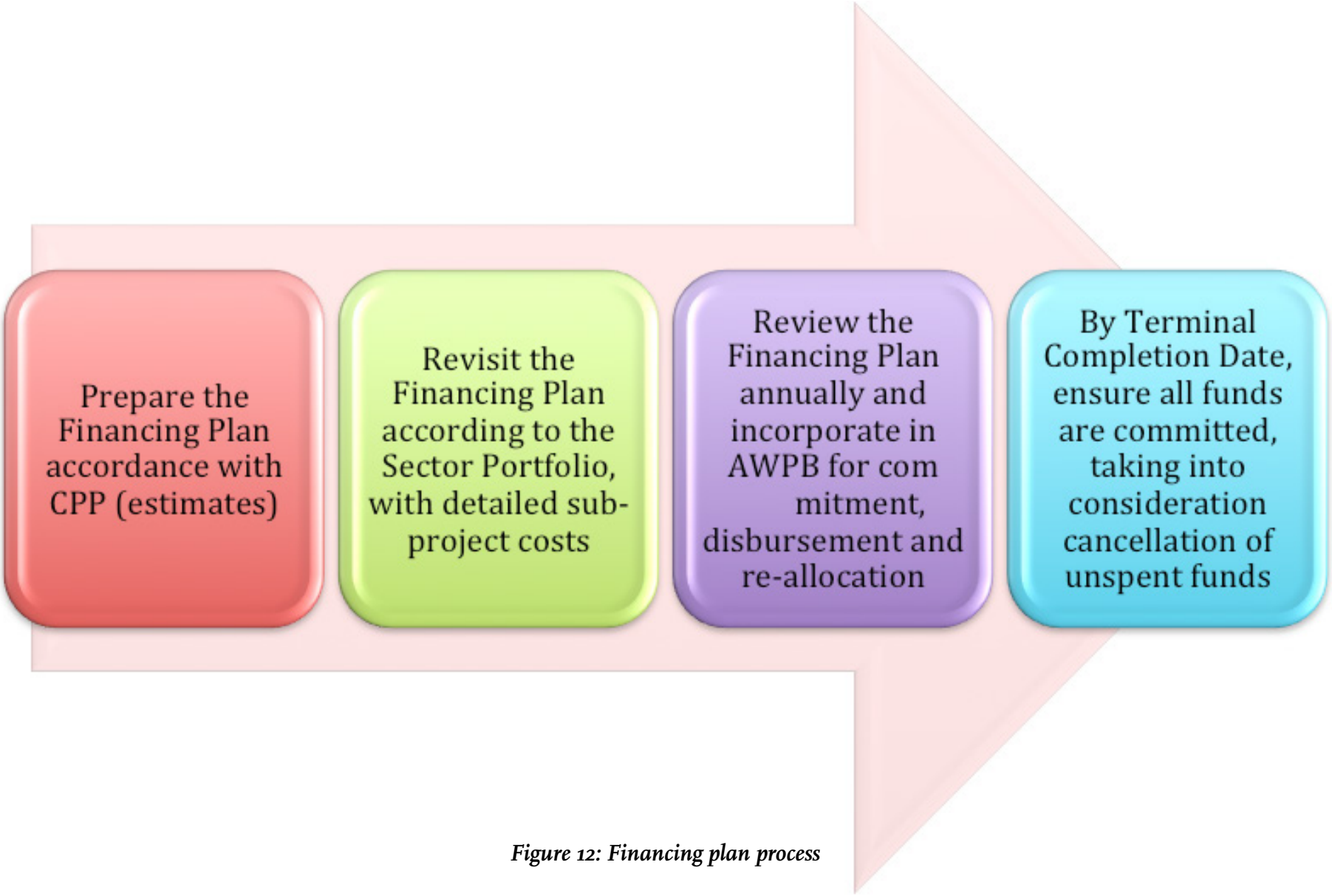

Figure 12: Financing plan process

1. Prepare the Financing Plan in accordance with CPP (estimates)
2. Revisit the Financing Plan according to the Sector Portfolio, with detailed sub-project costs
3. Review the Financing Plan annually and incorporate in the Annual Workplan and Budget (AWPB) for commitment, disbursement and re-allocation
4. By Terminal Completion Date (TCD), ensure all funds are committed, taking into consideration cancellation of unspent funds

Guidance notes:

- **Report periodically (at agreed intervals) on the SPs; reporting is linked to the MIS**
- **Consider how to commit funds based on each sub-project/implementation start and end date**
- **Forecast how the funds are to be disbursed**

Templates for the Financial Plan to be included in the Sector Portfolio.

Table 9: Sub-project multi-year financing plan for (insert country name)

COMPONENT		YEAR 1			YEAR (N)			TOTAL		
		CDB	Gov't	Total	CDB	Gov't	Total	CDB	Gov't	Total
1	**Sub-projects**									
a	Education and Human Resource Development									
b	Water and Sanitation									
c	Basic Community Access and Drainage									
	Sub-total									Total PC allocation

Table 10: Project management multi-year financing plan for (insert country name)

COMPONENT		YEAR 1			YEAR (N)			TOTAL		
		CDB	Gov't	Total	CDB	Gov't	Total	CDB	Gov't	Total
2	**Project Management Support**									
a	Salaries and Allowances									
b	Office Administration									
c	Social Marketing									
	Sub-total									Total PC Allocation

Table 11: Institutional development and M&E multi-year financing plan for (insert country name)

COMPONENT		YEAR 1			YEAR (N)			TOTAL		
		CDB	Gov't	Total	CDB	Gov't	Total	CDB	Gov't	Total
3	**Institutional Development**									
b	Environment Sustainability									
c	Maintenance									
a	Gender Equality									
	Sub-total									
4	**M & E**									
	TOTAL									Total PC Allocation

5.4 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 the way in which grant funds are used.

5.4.1 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, 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)**

5.5
Selection of Sub-projects

5.5.1
Detailed Criteria for Sub-project Selection

Selection priority must be given to sub-projects likely to achieve the objective of poverty reduction and sustainability in poor communities and among vulnerable groups. Sub-project types and selection criteria are outlined in detail in Chapter 3.

5.5.2
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 or 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.

FAQ:

What are key governance considerations when selecting sub-projects?

- ★ Sub-project design should emphasise sector and community links so that sector results can be achieved while also integrating the cross-cutting issues of gender equality, environmental sustainability and climate change, community participation and empowerment, maintenance, and vulnerable youth and citizen security.
- ★ Irrespective of origin, all sub-project requests must be sponsored by diverse members of target communities/vulnerable groups and by the relevant sector ministries. They must also address sustainability issues concerning recurrent operating costs and maintenance. All sub-projects are subject to environmental assessment and gender analysis.
- ★ Unless agreed otherwise with the CDB, all BNTF-financed physical assets must be publicly owned (or constructed on land that is publicly owned). This includes facilities and services significantly supported by the government (e.g., faith-based run/owned schools).
- ★ The BNTF Programme encourages the use of ICT and green technologies at the sub-project level, and requires construction activities to conform to national and industry norms.

5.6
Completion, Hand Over and Operation

5.6.1 *Guidelines*

For BNTF purposes, a sub-project is defined as complete on the day that the 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 SPCR within 90 (ninety) calendar days of project completion.

The SPCR is created from a web-based template. It assesses the following:

The appropriateness of the project goal (long-term) and the planned outcomes (end-of-project) using the indicators

The quality of participation by all members of the community in:

1. Decision-making
    a) Employment
    b) Volunteer work and in-kind contribution
    c) Skills training
2. Unexpected results (positive and negative)
3. Satisfaction of men, women and youth of both genders with the quality of work done and the process
4. Information on whether or not the sub-project meets the expectations of the community; and
5. Concerns about future viability or sustainability of the project

5.6.2 The Handing-over Process

Hand over is performed with representatives of the PMC, consultant and IA.

1. A technical inspection/walk-through is done and a snag list is prepared
2. Depending on the content of this list, the contractor is given a set time to complete the works
3. A hand-over date and time are set once works are close to completion
4. A final walk through/inspection is done with representatives of the PMC, consultant, contractor and IA; general maintenance and community management are discussed again
5. 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
6. An official handing-over or opening ceremony can be arranged; the community should play a key role; dignitaries and the CDB should be invited

QUICK LINKS TO RESOURCES

- Governance Toolkit
- BNTF Procurement Guidelines
- BNTF Procurement Plan
- Terms and Conditions for Operation of a Special Account
- Risk register
- Stakeholders in Procurement
- Risk Assessment template
- Grant Reconciliation

Chapter 6

Management for Development Results (MfDR)

6.1 Effectiveness and Managing for Results 120

The Five Principles of MfDR:

6.2 Using the MfDR Toolkit: The Logic Model 125

6.3 Reporting on Performance 128

Sub-Project Monitoring Reports

Sub-Project Completion Reports

Annual Project Performance Reports

6.4 Using the MfDR Toolkit: Results-based Monitoring and Evaluation 130

Developing the Results Monitoring Framework (RMF) for a Country Project

A useful element of MfDR is its results chain or results framework. In the BNTF Programme, results frameworks are required for all sub-projects.

The MfDR strategy includes a strong notion of causality, theorising that various inputs and activities lead logically to a higher order of results

6.1 Effectiveness and Managing for Results

This section considers how far the desired outcomes have been delivered by the project outputs.

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

Similarly, performance, outputs and outcomes in the three key sectors (Education and HRD, Water and Sanitation, Basic Community Access and Drainage) are measured against Level 2 indicators developed for SDF 7, as detailed in Figure 11. Each sub-project is expected to adopt the relevant indicators.

> **MfDR is defined as a management strategy focusing on performance and achievement of outputs, outcomes and impact. It is cross-cutting across strategies (e.g., country assistance strategies), projects (e.g., sector projects), development projects and sub-projects, public sector budgeting (i.e., results-based budgeting), and it enables monitoring and evaluation of all the above.**

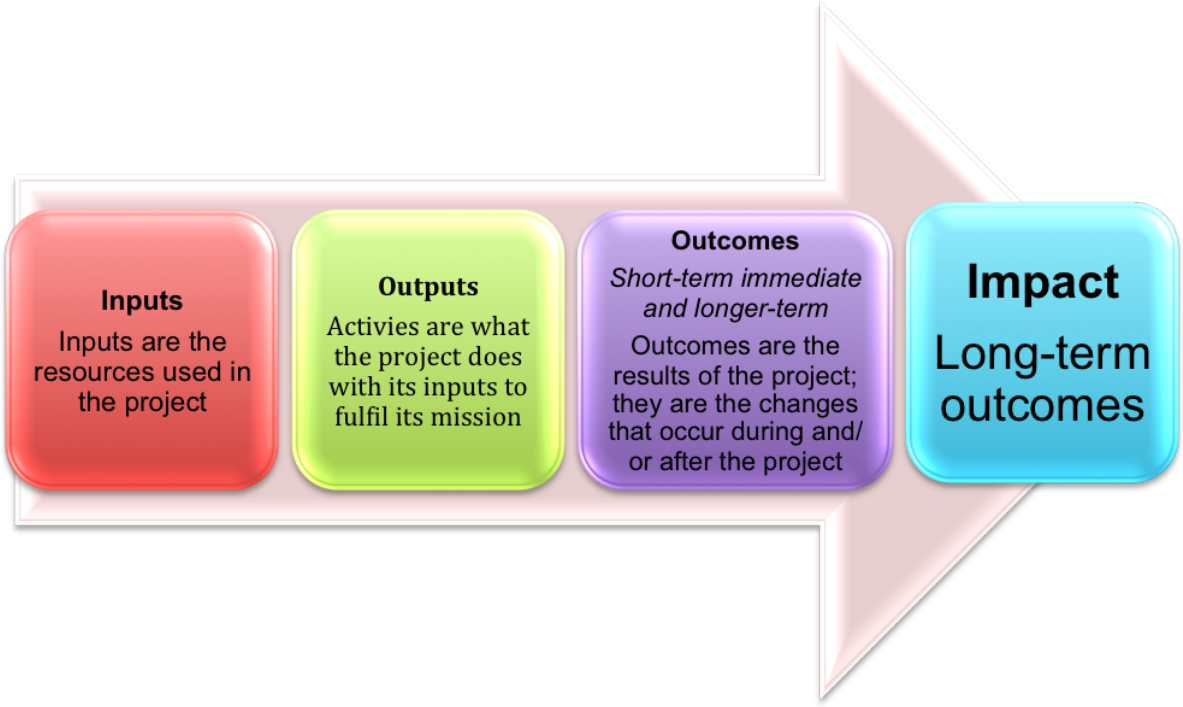

Figure 13: Results chain/framework clearly depicting cause and effect

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[1], 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 project plan should demonstrate a clear link between the problem and how the planned activities contribute a solution.

There are three distinct project 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. Impact can be related either to specific objectives of an intervention or to unanticipated changes caused by an intervention. What changed?

1 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).

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.

Today, the BNTF Programme strongly emphasises both implementation and results-based monitoring. This requires the regular collection of information on how effectively the government or an organisation is performing.

FOCUSING MORE ON RESULTS

1. If you do not measure results, you cannot tell success from failure

2. If you cannot see success, you cannot reward it

3. If you cannot reward success, you are probably rewarding failure

4. If you cannot see success you cannot learn from it

5. If you cannot recognise failure, you cannot correct it

6. If you can demonstrate results, you can win public support

— Adapted from Osborne and Gaebier 1992

Planned Outputs: Education and Training	Planned Outputs: Social and Economic infrastructure	Planned Outputs: Water and Sanitation
•Primary and secondary classrooms built or upgraded according to minimum standards •Teachers trained/ certified in primary and secondary education (nos) •Students benefiting from improved physical classroom conditions, enhanced teacher competence (nos)	•Secondary roads build or upgraded (km) •Beneficiaries of road projects (nos, by sex) •Landslip protection/ urban drainage (km) •Community infrastrucuture build/ upgraded (no of roads, bridges, foothpaths, walkways)	•Water supply lines installed or upgraded (included length of pipes) (km) - Urban, Rural •Households witih access to sanitation and water supply (nos) - Urban, Rural

Graphic: SDF Level 2 indicators

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

The Five Principles of MfDR:

1. Focus the country-contributor dialogue on results at all phases of the development process

A good example of this in the BNTF is CMDGs, PRAPs and stakeholder consultation. In practice, some countries are better able to achieve this focus than others. Nevertheless 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 government and other stakeholders (e.g., civil society groups). It also ensures that evaluations are conducted to determine whether planned results are actually 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 7. 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

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

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 BTNF are stakeholder and public consultations, programme, sector and organisational performance reviews and evaluations, and internal knowledge management systems (the CDB MIS). Key concepts are that (a) information generated through ongoing performance measurement 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.

6.2

Using the MfDR Toolkit: The Logic Model

In many development agencies, a logic model is referred to as a 'results framework'. Used properly, a logic model describes how development inputs can lead to immediate results/outputs, and shows how these outputs lead to outcomes. It is a powerful tool for summarising the '*change logic*' behind any development intervention.

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. Figure14 provides an example of a BNTF simple logic model. Figure 15 provides an illustrative logic model for the water and sanitation sector.

BNTF **Simple Logic Model**

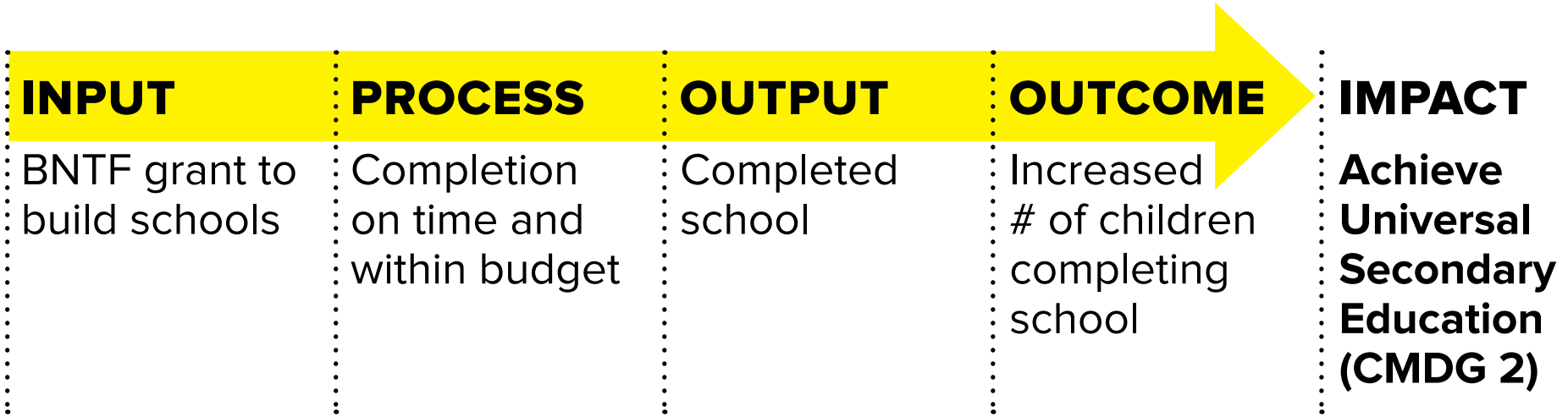

Figure 14: BNTF simple intervention model

Logic Model: Water & Sanitation sector

EFFECTS	RESULTS
Inputs	Channel Funds Water Authority Approvals Human Resources Raw materials
Activities	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
Outputs	Sensitisation campaign on proper sanitation and hygiene Expansion of water supply system
Intermediate Outcomes	Improved hygiene practices Increased access to potable water by poor communities
Outcome	Reduced incidence of water-borne diseases Improved quality of life in poorest communities

Figure 15: An illustrative logic model for water and sanitation

6.3 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 12). 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 12: Schedule of reporting

TYPE OF REPORT	FREQUENCY
Sub-project Monitoring Reports	Periodic, as agreed at sub-project start (and depending on 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 end of BNTF cycle
Programme Closing Report	Once, near end of BNTF cycle

Sub-Project Monitoring Reports

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 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, accurate and candid

The first SPMR must be completed at the time the 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 the CDB).

Sub-Project Completion Reports

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 the CDB.

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

Annual Project Performance Reports

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

Provisions are made for an MTE and PCR at project close. Independent consultants are contracted by the 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.

An M&E System and Impact Assessment Model is developed to provide quantitative and qualitative information on the performance of the BNTF Programme as a whole and the Sector Portfolios.

A Participatory Community M&E is expected to determine BNTF Programme effect on (a) target beneficiaries relative to primary welfare, (b) infrastructure, (c) social dynamics and (d) governance; also to assess (e) targeting, (f) its compar-

ative effectiveness and (g) the sustainability of programme results.

6.4 *Using the MfDR Toolkit: Results-based Monitoring and Evaluation*

In the BNTF Programme, the Sub-project Monitoring Report (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 countries and agencies 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?

Table 13: Example of developing outcome statements

FROM	TO
Rural crops are spoiling before getting to market	Improve farmers' access to markets
Children are dropping out of school	Create incentives for families to keep children in school

Developing the Results Monitoring Framework (RMF) for a Country Project

The results framework is the logic that 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:

1. 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.

2. It provides the basis upon which the SPMR operates. This is done by establishing quantified and time-bound targets and measurable

FAQ:

What are the issues when choosing outcomes for BNTF Sub-projects?

- ★ IAs are only required to report on immediate sub-project outcomes
- ★ These may reflect the utilisation of new or upgraded facilities/infrastructure or access to employment or income-generating opportunities in the case of skills-building projects
- ★ Significantly, line and central ministries should track progress on intermediate or long-term outcomes. These outcomes may include ECD, primary and secondary school completion rates and learning outcomes
- ★ It is important for outcome statements to be developed. These reformulate the concerns identified by stakeholders during the PRAP into positive desirable outcomes

Results-based Monitoring: Adult Literacy

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

Figure 16: Example of Results-based Monitoring: Adult Literacy

indicators, and identifying their means of verification, or sources.

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

Tables 14 (a-e) provides templates to be used for developing a RMF for country projects. It is included as part of the CPP and Sector Portfolios.

FAQ:

What are the issues to consider in choosing outcomes to monitor and evaluate?

- ★ Are there stated poverty-reduction goals either in national development plans or party manifestos?
- ★ Are clear BNTF priority areas identified in the PRAP?
- ★ Are there international commitments, MDGs and CMDGs? If not, a participatory stakeholder consultation may be necessary to reach consensus on the key outcomes that should be monitored. The process should seek to obtain the views of government, civil society and donors

Example: A simple hypothetical Results Monitoring Framework (RMF)

HYPOTHETICAL RESULTS MONITORING FRAMEWORK — DOMINICA COMMUNITY HIGH SCHOOL SKILLS TRAINING			
Narrative	**Objectively Verifiable Indicators**	**Source(s) of Verification**	**Assumptions**
IMPACT: Contribution to enhanced national food security in Dominica	% reduction in imports of selected products by 20xx (baseline - X) % increase in youths (m/f) engaged in agriculture (baseline - X)	Statistical Office Ministry of Agriculture	Local demand Stable macro-economic environment
PURPOSE: Increased interest in and demand for agricultural science among youth	Cadre of x certified agricultural scientists youth (m/f) # of new micro agri-businesses by age/sex of owner (baselines - X)	CXC MOE Beneficiary Assessments Project Monitoring Committee (PMC)	Students sit test and do well
OUTPUTS: Enhanced CXC Agricultural Science Programme in X no. of schools	% increase in students enrolled in X no. of schools (baseline - X)	School Ministry of Education	No praedial larceny, favourable weather, MOE support
ACTIVITIES: Livestock, agriculture, fencing	$100,000 in income Indicators related to yield quantity (eggs, etc.)	Project management BNTF Implementing agency Ministry of Finance School	Timely disbursement of grant/ counterpart funds; qualified teachers

Table 14a: Indicative Education and HRD RMF for BNTF 7 and 8

EDUCATION AND HRD				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
		EDUCATION/HRD ENHANCEMENT SUB-Projects COMPLETED IN COMPLIANCE WITH STANDARDS	Year	Year
1. 2.	*(Select ones appropriate to sub-projects in column 1)*	*(Select ones appropriate to sub-projects in column 1)****		
3. 4.	Primary and secondary classrooms built or upgraded according to minimum standards (nos.)	No. of sub-projects in i) capacity building ii) skills training		
5. 6.	Teachers trained/certified in primary and secondary education (nos.)	No. of trainees completing at least 1 TVET course		
7. 8.	Students benefiting from improved physical classroom conditions, enhanced teacher competence (nos.)	No. and cost of sub-projects targeting the strategic needs of women No. of rooms built or upgraded		
9. 10.		No. of teachers trained No. of students benefiting from BNTF projects and support		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

*** Other outputs based on national targets are to be included as necessary (aligning with those in PRAP Table 1); sex disaggregated outputs and indicators must be included based on BNTF gender guidance, lists of indicative gender sensitive indicators for the 3 key sectors (shared by the CDB) etc.

Table 14b: Indicative Water and Sanitation RMF for BNTF 7 and 8

WATER AND SANITATION				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
		WATER ENHANCEMENT SUB-PROJECTS COMPLETED IN COMPLIANCE WITH STANDARDS	Year	Year
1. 2. 3. 4. 5. 6. 7. 8. 9. 10.	*(Select ones appropriate to sub-projects in column 1)* Water supply lines installed or upgraded (including length of pipes) (km) (urban/rural) Households with access to sanitation and water supply (no.) (urban/rural)	*(Select ones appropriate to sub-projects in column 1)* No. of completed water sub-projects meeting acceptable criteria No. of completed sanitation sub-projects meeting acceptable criteria No. of beneficiaries (men, women, youth) No. of temporary jobs created No. of new jobs related to natural assets management		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

Table 14c: Indicative Basic Community Access and Drainage RMF for BNTF 7 and 8

BASIC COMMUNITY ACCESS AND DRAINAGE				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
		TRANSPORATION ENHANCEMENT SUB-PROJECTS COMPLETED IN COMPLIANCE WITH STANDARDS	Year	Year
1. 2. 3. 4. 5. 6. 7. 8. 9. 10.	*(Select ones appropriate to sub-projects in column 1)* Secondary roads built or upgraded (km) Beneficiaries of road projects (nos. male, female) Community infrastructure built/upgraded (no. of roads, bridges, footpaths, walkways) Beneficiaries of community infrastructure interventions (nos. male, female)	*(Select ones appropriate to sub-projects in column 1)* No. of completed sub-projects in rural roads, footpaths, pedestrian walkways and bridges meeting acceptable criteria Km. of secondary roads built or upgraded No. of beneficiaries (men/women/youth) No. of temporary jobs created (men/women/youth)		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

Table 14d: Indicative RMF for other priority areas/outputs for BNTF 7 and 8

OTHER PRIORITY AREAS AND OUTPUTS				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
		COMMUNITY STAKEHOLDERS/ CAPACITY BUILDING/ INSTITUTIONAL STRENGTHENING ACTIVITIES COMPLETED		
1.		*(Select ones appropriate to sub-project/s in column 1)* No. of community groups established/trained		
		MAINTENANCE PLANNING MODALITIES COMPLETED		
1.		*(Select ones appropriate to sub-project/s in column 1)* Amounts budgeted by government for routine maintenance Percentage of functioning maintenance committees Amounts budgeted for preventative maintenance for each infrastructure sub-project		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

Table 14e: Indicative Youth at Risk RMF for BNTF 7 and 8

YOUTH AT RISK				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
		WATER ENHANCEMENT SUB-PROJECTS COMPLETED IN COMPLIANCE WITH STANDARDS	Year	Year
1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 11. 12.		*(Select ones appropriate to sub-project/s in column 1)* No. of beneficiaries (men, women, youth) No. of temporary jobs created (men, women, youth)		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

Table 14f: Indicative Citizen Security RMF for BNTF 7 and 8

CITIZEN SECURITY				
Sub-project name	**SDF Level 2 Outputs***	**BNTF RMF Outputs and Indicators****	**Sub-project Baseline**	**Sub-project Targets**
1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 11. 12.		*(Select ones appropriate to sub-project/s in column 1)* No. of beneficiaries (men, women, youth) No. of temporary jobs created (men, women, youth) No. of community groups established/trained		

* There are likely to be a minority of sub-projects which will not have a direct relationship with any of the SDF Level 2 outputs. Where relevant, this should therefore be stated.

** Extracted from BNTF 7 Programme Staff Report. Relevant ones are to be adopted for country's RMF; others relevant to country's national development targets and some sub-project-specific ones are also to be included.

Chapter 7

Managing Knowledge and Communication

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7.1 Advocacy and Communication for Development[2]

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 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.

2 Adapted from "The ECD Advocacy Toolkit", produced by Caribbean Child Support Initiative with funding from the Caribbean Development Bank.

7.1.1 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.

There are six basic tasks of any person or group involved in policy advocacy.

Key elements of policy advocacy

1. Setting the agenda (what should be accomplished or changed?)
2. Analysing the problem
3. Developing solutions/proposals
4. Getting policies approved
5. Getting policies implemented
6. Evaluating policies

Power

In developing an advocacy approach, it is important to pay attention to the issue of power: its distribution, what was or is at stake, the feasibility of achieving the desired result in terms of whose position would be positively or negatively affected, and what was/is the appropriate strategy to use in pursuing one's goal. In most cases, confrontation is a strategy of last resort, and is seldom utilised.

Examples of advocacy objectives at different levels include:

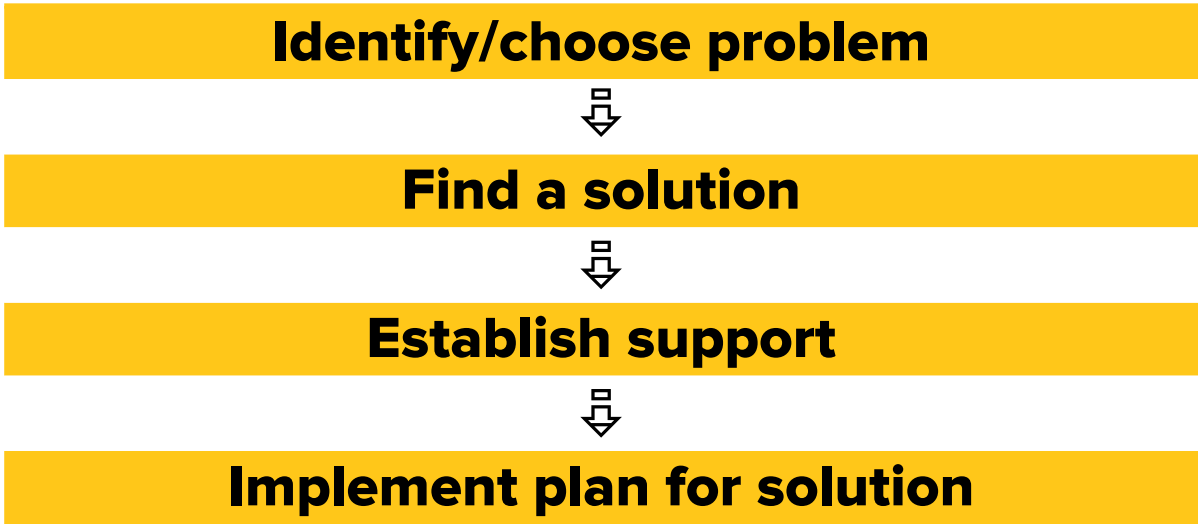
- **Contributing to the debate:** this includes simple media or development education work, which could result in having materials disseminated and used more widely, or issues increasingly covered in the media

- **Raising awareness of an issue:** enabling people to understand the issue in greater depth
- **Changing minds:** persuading people of the need to change their minds on an issue
- **Influencing decision-makers:** such as getting key personnel from targeted institutions to agree on the need for change
- **Getting an issue on the agenda:** getting an institution to agree to a new proposal, or to set in motion a new policy (e.g., an institution may agree to discuss an issue in parliament or another legislative body)
- **Policy implementation:** this could include changes in how a new policy is implemented or how an existing policy is being implemented
- **Building the capacity of partners and civil society organisations:** so that they are able to advocate on their own issues and/or on behalf of their local communities

7.1.2 Advocacy, lobbying and communication

Advocacy, 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.

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.



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

Lobbying

Lobbying is an attempt by citizens 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.

7.1.3 Communication for development

In 2006, the Rome Consensus from the World Congress on Communication for Development 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".
>
> — World Congress on Communication for Development: Lessons, Challenges and the Way Forward, World Bank, Washington DC, 2007

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

Seven steps in the communication process

1	Develop the idea or message to be transmitted
2	Convert the idea/message into suitable words or symbols for transmission
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
4	Receiver gets the message
5	Receiver interprets the message – ideally exactly as intended
6	Receiver accepts the message
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?**
- **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?**

Take-away message

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

Good take-away 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.

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.

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.

7.2 Communities of Practice and Networking

7.2.1 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:

- **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
- **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.
- **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 it is by developing these three elements in parallel that such a community is cultivated.

What do communities of practice look like?

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

COPs: Typical activities

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?"

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 in 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.

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

7·3 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 (scaling up)

7.4 BNTF MIS

The overall objective of the BNTF MIS initiative is to improve the management of the BNTF Programme and assist the IAs and the CDB (the BNTF team and management) with information capture, 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 initial BNTF MIS is a web-based, user-friendly application allowing for the generation of the web-based **Sub-Project Monitoring Report** (SPMR) and **Sub-Project Completion Report** (SPCR). The MIS is due to be further developed (by October 2014) to facilitate:

- **Management of the BNTF Programme by the CDB and IAs relative to all aspects of funding, procurement and sub-project management**
- **Important financial reporting, annual workplan and budgets, and annual performance reporting**
- **Knowledge sharing capability for the CDB and IAs, to help establish results-oriented reporting**
- **Web-based interface for easy and simplified access in the BNTF PCs and the 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, Poverty Reduction Action Plan and the country Poverty Reduction Strategy/CMDG targets**

Capturing themes and cross-cutting issues to support assessment of project and programme performance in gender equality, environmental mainstreaming, sustainability, renewal energy, community participation, procurement, contract management, etc.

The IA's SPMR workflow responsibilities include:

- **Sub-project registration in the system – log full sub-project profile data, with RMF fields completed**
- **SPMR entry – must be approved before it becomes available for use; once approved, it cannot be modified**

FAQ:

What does the term ICT refer 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...

7·5 *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 and behaviours. These can be captured as case studies, videos, etc.

http://www.caribank.org/success-stories/it-skills-training-nationwide-guyana

QUICK LINKS TO RESOURCES

Notional LFA

FAO Participatory Communication Strategy Design Handbook

OECS Toolkit For Communication Planning