

ATTACHMENT A

The BOTA Foundation: Final Summative Report

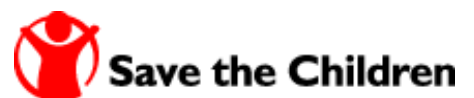
IREX

February 12, 2015



The BOTA Foundation: Final Summative Report

Submitted February 12, 2015



List of Acronyms

BoT	Board of Trustees
CCT	Conditional Cash Transfer
CP	Child Protection
ECD	Early Childhood Development
GoK	Government of Kazakhstan
HBC	Home-based Care (for children with disabilities)
KZT	Kazakhstan Tenge
LLH	Livelihood
M&E	Monitoring and Evaluation
MIS	Management Information System
NGO	Non-Governmental Organization
Oblast	Province
OM	Operational Manual
OPM	Oxford Policy Management
PLW	Pregnant and Lactating Women
PM	Program Manager
PMT	Proxy Means Test
RMF	Results Monitoring Framework
RFP	Request for Proposal
SSP	Social Services Program
TAP	Tuition Assistance Program
WB	World Bank

Contents

I.	Executive Summary	4
II.	Background/Introduction.....	7
1.	History.....	7
2.	Governance and Implementation Structure.....	7
III.	Description of the BOTA Foundation’s Structure.....	9
1.	BOTA Departments.....	9
2.	Internal Controls.....	10
3.	External Checks	10
4.	BOTA’s Monitoring and Evaluation Checks	11
5.	BOTA’s Strategy: Vision, Mission, Strategic Objectives and Target Beneficiary Groups	11
IV.	Description of the Three BOTA programs	14
1.	Conditional Cash Transfer Program.....	14
1.1	CCT Overview	14
1.2	CCT Program Details	14
1.3	CCT Results.....	18
1.4	CCT Innovations.....	21
2.	Social Service Program.....	24
2.1	SSP Overview	24
2.2	SSP Program Details	25
2.3	SSP Results	26
2.4	SSP Innovations.....	33
3.	Tuition Assistance Program	35
3.1	TAP Overview	35
3.2	TAP Program Details	35
3.3	TAP Results	39
3.4	TAP Innovations.....	41
V.	Overall Results for BOTA.....	44
1.	Strategic Objective One: Beneficiary Reach	44
2.	Beneficiary Satisfaction with BOTA	45

3.	BOTA’s Financial Management Performance	46
3.1	Cost Transfer Ratio	46
3.2	Budget Planning and Efficiency	47
VI.	BOTA’s Legacy	49
1.	Potential Transformation of How Social Assistance is Delivered in Kazakhstan Based on CCT	49
2.	Coalition of Child and Youth Welfare NGOs	49
3.	BOTA’s Trained Staff	50
VII.	Lessons Learned from BOTA	51
1.	Responsible Repatriation via Civil Society is Possible	51
2.	Contextually Relevant Mission	51
3.	Collaboration with the Host Government	52
4.	Governance Structure	52
5.	Shared Expectations among Partners is a Must	53
6.	Reducing Corruption Risk	54
VIII.	Conclusion	55
	ANNEX ONE: OPM EVALUATION BACKGROUND AND FINDINGS	56
	ANNEX TWO – BOTA’S RESULTS MONITORING FRAMEWORK	63

I. Executive Summary

This report describes BOTA Foundation's programs, achievements, and impact after five-and-a-half years of operation in Kazakhstan. The BOTA Foundation was founded in 2008 by the Governments of Kazakhstan, U.S., and Switzerland, and five Kazakhstanis, as a means of returning more than \$115 million in disputed assets in support of poor children, youth, and their families in Kazakhstan.

The Foundation's mission was to improve the lives of vulnerable children and youth suffering from poverty in Kazakhstan through investment in their health, education, and social welfare. The World Bank contracted IREX, an international non-governmental organization based in Washington, D.C., to build the Foundation, oversee its operations, and support the administration of its programs to ensure that BOTA reached its stated goals and that the funds were used for their intended purpose. Save the Children provided technical assistance to three of the Foundation's departments. A predominantly Kazakhstani Board of Trustees (BoT) served as the governing body of the BOTA Foundation, the World Bank provided supervisory support, and the three government Parties had ultimate authority on how the funds were used.

The BOTA Foundation was the largest child and youth welfare foundation in Kazakhstan during the time of its operation from 2009 to 2014 and was able to improve the health and poverty status of over 208,000 poor Kazakhstani children and youth through its three programs: conditional cash transfers, scholarships to attend Kazakhstani higher education institutions, and grants to support innovative social service provision.

The Conditional Cash Transfer (CCT) program was designed to address a key need associated with ameliorating poverty: increasing the access of poor families to health, education, and social services. BOTA CCT program was a demand-side program that aimed at removing monetary and non-monetary barriers to accessing existing services. The program delivered regular cash payments to four categories of beneficiaries within poor households: those with preschool aged children, women with infants up to the age of six months, and households who have children with disabilities up to the age of 16. The fourth category of target beneficiary, introduced in mid-2011, was young people aged 16-19 who have completed school and had not yet found employment. By the end of its operations in September 2014, CCT had enrolled **154,241** beneficiaries from **95,000** poor households in the six regions where it operated. CCT exceeded its original target of 50,000 beneficiaries by more than three times.

The goal of the Social Service Program (SSP) was to improve the health, education, and social welfare of impoverished children, youth, and families by supporting improvements in quality, availability and sustainability of non-government or non-commercial child welfare services and systems. SSP took a holistic approach to achieving these goals and objectives. A multi-tier grants structure was offered that allowed for organizations with little or no experience to receive small grants (up to \$2,000) for planning and community mobilization, and very experienced NGOs to receive large grants (up to \$50,000) for replicating successful projects, training other NGOs, or working towards improving Kazakhstan's framework for social assistance. Close to three quarters of the grants were given to small and medium size organizations for the provision of social services. Between 2009 and 2014, SSP conducted **eight grants rounds** and funded **632 projects**.

BOTA's Tuition Assistance Program (TAP) provided means-based scholarships for young people from impoverished backgrounds who normally would not have the opportunity to attend college or university due to the high costs relative to applicants' income. TAP allowed students to attend any college or university in Kazakhstan that accepted them and pursue any area of study. The main goal of the TAP program was to break the cycle of poverty for tuition assistance recipients by providing students with higher education, which in turn, would lead to gainful employment. TAP had **four open competitions** from 2009 to 2012. Over that time, a total of **841 educational grants** were awarded. The original goal for the program was to distribute 400 scholarships, and similar to BOTA's other programs, the BOTA reached more than double its beneficiary target.

BOTA Foundation achieved, and often surpassed, expected results in a number of areas. In its five years of work, BOTA more than doubled the number of beneficiaries it served, compared to numeric targets envisioned in the 2011 mid-term strategy. BOTA's first strategic objective was to use its resources to assist 100,000 poor children, youth, and mothers in Kazakhstan. In the end, BOTA served over 200,000 beneficiaries across Kazakhstan.

External evaluations by Oxford Policy Management (OPM) state that "overall the qualitative evaluation has confirmed that the BOTA programs have been implemented across all three activities with high levels of effectiveness for those that receive the benefit, and; BOTA has been having a positive impact on recipients across all three activities."

While the Foundation closed at the end of 2014, it leaves behind an important legacy with several sustainable dimensions. BOTA was able to efficiently and effectively return more than \$115 million in assets associated with corruption to poor children, youth, and their families. The Foundation's experience and lessons provide a model for future asset restitution cases worldwide. Its significant impacts in Kazakhstan that will last well into the future include: BOTA's Conditional Cash Transfer Program (CCT) is serving as the basis for a pilot that could lead to restructuring how social assistance is delivered in Kazakhstan. The Tuition Assistance Program (TAP) leaves behind hundreds of graduates who are on their way to breaking the cycle of poverty through finding gainful employment. Through the Social Service Program (SSP), BOTA strengthened hundreds of child welfare NGOs, some of which have gone on to found a national coalition of child and youth welfare NGOs dedicated to continuing the type of work that BOTA had been funding. Former staff of BOTA provide the final leg of the Foundation's legacy, as they have already gone on to work for international organizations such as the World Bank, UNICEF, UNDP, and other international agencies, as well as start local NGOs, and bring BOTA's high standards and expert child welfare expertise into their new positions and roles.

There are important lessons learned from the BOTA Foundation that are relevant to similar programming that might be implemented in Kazakhstan and possibly other countries as well as to future asset recovery efforts. **Responsible repatriation via civil society is possible** – with international partnership the BOTA Foundation was able to transparently and productively repatriate over \$115 million. Having a **contextually relevant mission is important** – having a mission that is capable with the needs of the country and has the buy-in of civil society and government provides the opportunity to achieve real impact. **A balance between independence from the government and collaboration with the government can be achieved** – the right balance creates an environment where funds can be safeguarded and efficiencies and impact can be gained. **Oversight structures should be considered carefully and resources to support those structures should be commensurate** – how many and exactly which partners are necessary should be carefully considered from both prudence and feasibility perspectives. **Shared expectations and trust among partners is key** – without this, small day-to-day

operations as well as larger sustainability agreements are hard to reach. **Corruption is always a risk** – the strictest financial controls need to be in place coupled with constant monitoring.

In addition to lessons learned, BOTA was a successful case study of how assets can be repatriated to their country of origin via civil society. As the results from building the BOTA Foundation and implementing its three programs show, involving civil society consistently in the asset-return process provides important opportunities to build trust in local institutions, provide oversight, and identify and meet the needs of citizens.

Civil society can contribute to each stage of the asset repatriation process. Civil society can conduct research, stakeholder mapping, and landscape analysis; help design asset-return mechanisms; manage or monitor the return of assets; synthesize learning and develop recommendations to inform future mechanisms; and conduct outreach and advocacy to promote the use of new knowledge in other contexts. Most importantly, civil society can advocate for citizens and amplify their voices throughout the asset-return process.

Everyone benefits when civil society is engaged from the outset. In BOTA's case, the U.S. and Swiss governments witnessed the successful return of disputed assets to poor people in Kazakhstan, the GoK learned valuable models for implementing social protection programs, child welfare organizations in Kazakhstan grew their capacity to better serve their communities, and children and youth living in poverty in Kazakhstan received much-needed services so that they can build healthier and stronger society. Involving civil society throughout the asset repatriation process therefore provides an important opportunity to repatriate assets in a way that benefits all stakeholders involved, particularly the world's most vulnerable populations who need it the most.

II. Background/Introduction

1. History

The BOTA Foundation, an independent non-governmental organization, was created to reconstitute disputed assets to the citizens of Kazakhstan. The creation of BOTA took place within the context of a criminal investigation initiated by judicial authorities in Geneva, Switzerland, on suspicions of money laundering in Kazakhstan and a bribery investigation led by the U.S. Department of Justice. The U.S. authorities suspected that U.S. citizens paid bribes to officials of the Government of Kazakhstan (GoK) in exchange for obtaining prospecting rights for oil in Kazakhstan. In 2001, the legal proceedings led to the restraint of \$84 million in a Swiss bank account.

Given that the assets related to legal proceedings in Switzerland and in the U.S., the two countries sought to find a common solution for their repatriation. Discussions between Switzerland, the U.S., and Kazakhstan began in 2003 and aimed to identify a restitution mechanism that would guarantee that the returned assets would be returned to the people of Kazakhstan transparently and accountably.

In 2007, the governments of Switzerland, the U.S., and Kazakhstan along with the World Bank signed agreements regarding the restitution of the U.S. \$84 million through an independent newly established Kazakhstani Foundation – the BOTA Foundation. The Foundation’s mission would be to improve the lives of vulnerable children and youth suffering from poverty in Kazakhstan through investment in their health, education, and social welfare. The World Bank contracted IREX, an international non-governmental organization based in Washington, D.C., in partnership with Save the Children to build the Foundation, oversee its operations, and support the administration of its programs to ensure that BOTA reached its stated goals and that the funds were used for their intended purpose.

2. Governance and Implementation Structure

Several international agreements were drafted and signed that set forth the implementation structure for the BOTA Foundation. These agreements included: a Memorandum of Understanding (MOU) between the U.S., Switzerland and Kazakhstan; a Service Agreement between the World Bank, the U.S., Switzerland, and Kazakhstan; a Supervisory Agreement between the World Bank and the BOTA Foundation; and a Management Agreement between IREX and the BOTA Foundation. The original international agreements envisioned a four-year implementation period for the BOTA program. In the end the implementation period was close to six years.

The three government Parties along with the World Bank also developed guiding agreements to establish the organization, including a Foundation Agreement and Founding Charter. The Founding Charter legally established the BOTA Foundation in 2009. The international agreements listed above as well as the organizational agreements explicitly prescribe that BOTA “shall be independent of the Government of the Republic of Kazakhstan, its officials, and their personal or business associates” (MOU 1.3 a) and “neither the funds nor any property of the BOTA Foundation shall be used for payments or other benefits, directly or indirectly,...to the Government of the Republic of Kazakhstan, its officials, or their personal or business associates.” (MOU 2.6). BOTA’s Founding Charter named five founding

members of the BOTA Board of Trustees (BoT) from Kazakhstan's civil society, all of whom were completely independent of the GoK, its officials and their personal and business associates. The remaining two BoT seats were appointed by the U.S. and Swiss governments.

To manage the set-up of the Foundation and provide ongoing technical and institutional development support, the World Bank conducted an open, competitive bidding process to select a Program Manager. IREX was selected and would go on to serve as the managing body of the BOTA Foundation with the BoT providing overall governance and the World Bank providing continued supervisory support to the BoT and the Parties.

IREX partnered with Save the Children to implement the BOTA Foundation programs. IREX applied its expertise in institution building and organizational development to build a high functioning and transparent organization as well as its deep program experience in higher education scholarships, student support, and grant making to design and provide technical assistance to BOTA's Tuition Assistance Program (TAP) and Social Service Program (SSP). Save the Children provided invaluable and extensive child welfare technical assistance as well as assistance in the development of a proxy means test (PMT) to enhance the screening and enrollment process of beneficiaries in the Conditional Cash Transfer (CCT) and TAP programs. Technical experts from Save the Children also helped build a robust Management Information System (MIS) to better aggregate, store, and analyze data, and build the capacity of BOTA's Monitoring and Evaluation Department.

As the return of the disputed assets to the people of Kazakhstan was of primary concern, the Parties released tranches of funds from the frozen Swiss Bank account after the World Bank, BoT, and three government Parties approved BOTA's bi-annual workplans, budgets, and transfer requests.

III. Description of the BOTA Foundation's Structure

1. BOTA Departments

The BOTA Foundation had three program departments: Conditional Cash Transfer (CCT), Social Service Program (SSP) and the Tuition Assistance Program (TAP). These were supported by four additional departments: Finance, Administration, Communications and Development, and Monitoring and Evaluation. An Executive Director was in charge of overseeing the Foundation's operations, interacting with the home offices of IREX and Save the Children, as well as the World Bank, Board of Trustees and the Parties.

When BOTA started its work in 2009 each of the departments, with the exception of Administration, was led by an expatriate. IREX provided the Executive Director, and the directors of TAP and SSP, Finance, and Communications and Development. Save the Children fielded the directors of CCT and Monitoring and Evaluation. By 2012 after programs were established and local personnel were hired and trained, all director positions, with the exception of the Executive Director and Finance Director were filled by Kazakhstanis.

BOTA's operations were headquartered in Almaty. Two field offices were established in 2009, in Akmola and Kyzylorda Oblasts that were exclusively dedicated to the implementation of the CCT program. BOTA used a combination of full time staff and contract employees to carry out its work (with the main difference that contract employees were normally hired for shorter periods with specific functions such as computer program design). During its first year of operation, BOTA expanded to more than 80 staff in total, and by 2012 had further expanded to 142. The growth of the Foundation's workforce along with the shrinking number of expatriate staff can be seen by the chart below.

YEAR	CCT	SSP	TAP	M&E	C&D	ADMIN	FINANCE	EXPATS	TOTAL STAFF and Consultants
2009	28	13	4	4	8	12	6	6	81
2010	47	19	9	5	7	13	7	6	113
2011	51	26	16	9	8	18	8	4	140
2012	54	25	16	10	8	17	10	2	142
2013	37	20	15	7	7	15	9	2	112
2014	28	11	8	6	4	13	10	2	82

Before any employee was hired it was important to establish that s/he had no conflicts of interest, including no connection to the Government of Kazakhstan and no family already working at BOTA, and forms were signed to this effect. All vendor relationships were scrutinized to make sure there was no conflict of interest, such as family relationships with staff.

In addition to avoiding employee conflict of interest, BOTA had a range of systems and procedures in place to ensure the integrity of its operations that also included internal and external controls.

2. Internal Controls

In establishing its internal controls, IREX and BOTA worked to ensure that:

- Operations were being conducted effectively and efficiently;
- Financial and operational reporting were reliable and accurate;
- Applicable laws and regulations were being followed; and
- Assets and records were safeguarded.

To realize these objectives, IREX and BOTA developed the following materials and/or systems:

- Comprehensive Finance Manual outlining all financial procedures;
- Code of conduct for BOTA staff, partners, beneficiaries, and vendors;
- Internal procedures within program and operations to minimize any chances of fraud and maximize prevention of problems;
- Program and operations budgets that were reviewed on monthly basis with all irregularities identified and addressed;
- A staff handbook that described all personnel related issues according to international standards and local labor regulations;
- External reporting requirements for the BoT, IREX, and World Bank; and
- Clear divisions of labor to prevent potential conflicts of interest.

3. External Checks

IREX Reviews: Starting in 2009, IREX sent an internal review team to the Foundation on an annual basis to help prepare for external audits and ensure that BOTA operations met international standards. The internal review team examined payment vouchers, interviewed staff to measure their familiarity and compliance with BOTA policies and procedures, and reviewed program operations to ensure that ensure effective and efficient implementation of activities. No serious issues were ever noted, although there were several recommendations made to BOTA Management on ways to improve policies and practices. For example, SSP's grants review procedures were thoroughly reviewed, and a new debriefing procedure was suggested for unsuccessful applicants as well as a new process for tailoring grantee monitoring based on levels of risk.

External Audits: From 2009 on, BOTA contracted a World Bank vetted auditing firm, BDO Kazakhstan Audit that conducted five full annual audits of BOTA's financial statements. These resulted in clean audit opinions with no identification of any material financial misstatements. At the same time, in all instances where auditors made recommendations on ways the Foundation's internal systems could be improved, these were fully followed and then checked the following year. Measures taken in this respect included improving the security of data available in BOTA offices, testing the PMT for real world accuracy and reinforcing communication to CCT beneficiaries in the last year of the program that the program would be ending. As a result of BOTA's implementation of recommendations, none of the previous recommendations were repeated in subsequent audit reports.

World Bank Supervisory Visits: As required by standard operating procedures of World Bank, the local financial management officer of the World Bank visited the BOTA office to check accounting records of

the program on a semi-annual basis. The first visit took place in 2009, followed by reviews in 2010 through 2014. Through reviewing BOTA policies and procedures, series of interviews and sampling of transactions, the World Bank ensured funds were expended according to BOTA's governing documents. No material issues were identified during any of the reviews, while recommendations made by World Bank were accepted and implemented.

4. BOTA's Monitoring and Evaluation Checks

OPM Qualitative and Quantitative Evaluations: Oxford Policy Management (OPM) was contracted by BOTA in 2011 to conduct an independent assessment of the effectiveness and efficiency of BOTA's programs. CCT had two kinds of evaluations: an impact evaluation and qualitative evaluation, whereas TAP and SSP only underwent qualitative evaluations. All of the evaluations were conducted twice, in 2011 and 2012. CCT's quantitative impact evaluation was carried out according to the highest scientific standards, including choosing control areas (where CCT was not offered) and treatment areas (where CCT was offered) and conducting a baseline and follow-up survey to determine the differences in these areas that could be attributed to CCT.

Conclusions of OPM qualitative evaluations on BOTA programs as a whole indicate that "the BOTA programs have been implemented across all three activities with high levels of effectiveness for those that receive the benefit, and; BOTA has been having a positive impact on recipients across all three activities."¹ Brief quotations from these evaluations are highlighted in the descriptions of each of the BOTA programs below. More information on the evaluation methodology and OPM findings can be found in Annex 1 to this report.

BOTA's Results Monitoring Framework (RMF): BOTA had a robust results monitoring framework (RMF) that was used to determine how BOTA was performing in terms of programmatic objectives and the overall efficiency of the Foundation in meeting spending and other targets. The RMF included objectives, indicators to measure progress toward achieving each objective, and established targets (i.e., planned achievement) for each indicator that BOTA was to accomplish by the end of 2014. BOTA's RMF had 41 indicators, some of which covered all programs (i.e., beneficiary satisfaction) while the majority were focused on measuring progress of a specific program (i.e., indicators on CCT beneficiaries in different categories who met the program's conditionality requirements). The framework was reviewed each year, which resulted in reestablishing targets or data collection methodologies in some cases. All updates were discussed and cleared with the World Bank.

Overall for BOTA programs, 10% (or 4) of the indicators missed their targets, and 90% (or 38) of the indicators either achieved or exceeded the planned targets. What was being measured and how BOTA did on each of the measured indicators can be found in Annex 2 of this report.

5. BOTA's Strategy: Vision, Mission, Strategic Objectives and Target Beneficiary Groups

In 2011, after two years of operation, BOTA developed its mid-term strategy that provided a common focus and goal for the three BOTA programs, and intended to provide the Foundation for a sustainable

¹ http://www.opml.co.uk/sites/default/files/OPM%20BOTA%20summary%20note%203_Qualitative%20findings_0.pdf

future. The strategy was completed after discussions with the Board, World Bank, key representatives of IREX and Save the Children, and other stakeholders such as NGO partners.

The core vision of the strategy was that **impoverished and vulnerable children and youth in Kazakhstan are safe, healthy, well-educated, and able to exercise their rights and achieve their full potential.**

The Foundation's original mission statement, created by the Program Manager in 2009, was fully supportive of this vision: **BOTA will improve the lives of vulnerable children and youth suffering from poverty in Kazakhstan through investment in their health, education and social welfare.**

This strategy posited two strategic objectives and four distinct beneficiary groups which were common to BOTA's three programs. The first strategic objective (SO1) was:

The BOTA Foundation will manage its available assets to improve the poverty and welfare status of over 100,000 poor children and youth nationwide through its core programs by mid-2014.

Four key target areas were identified as cutting across BOTA's three programs, the Conditional Cash Transfer, Social Service and Tuition Assistance Program, and which could be used as a focus to strategically integrate BOTA's work:

1. Maternal and child health (MCH), including pregnant and lactating women and other reproductive health considerations;
2. Early childhood development (ECD);
3. Child protection (CP), including youth in crisis, and disability; and
4. Youth livelihoods (LLH).

Beneficiary targets associated with SO1 and its four areas of sector focus that were set in 2011 were:

TARGET BENEFICIARIES (from BOTA's 2011 Mid-Term Strategy²)

Program\Sector	MCH	ECD	CP	LLH	Total
CCT	23,000	34,000	7,000	6,000	70,000
SSP	2,000	2,500	13,500	12,000	30,000
TAP	-	-	-	1,000	1,000
Total	25,000	36,500	20,500	19,000	101,000

The Foundation's second strategic objective (SO2) was around BOTA's sustainability. Article 3.2 of BOTA's MoU stated that "BOTA Foundation shall be established with the intention that it continue to operate as a functioning foundation after the BOTA Program has been completed". BOTA's second Strategic Objective was **"to build a sustainable institution with models of innovative and effective approaches for investing in the welfare of poor children and youth"**. While the first SO was fully achieved³, the second SO was only partially realized. As can be seen in the innovations section, the Foundation was able to model and innovate in all three of its programs with sustainable approaches and results. A sustainability plan, including fundraising guidelines was developed in 2012 and given to the Board, which approved, and the Parties, which did not. While there is no guarantee that BOTA would

² The original beneficiary targets set in 2009 were 50,000 for CCT, 15,000 for SSP, and 400 for TAP.

³ TAP did not reach its beneficiary target, but this deficit was more than made up for by CCT and TAP as can be seen in the actual beneficiary column. Also it should be noted that BOTA's TAP and CCT received significantly more benefits, in general, compared to end beneficiaries of SSP grants. That is, CCT and TAP beneficiaries received cash support on a monthly basis, plus training and other support. In contrast, SSP beneficiaries may have only attended one or two trainings offered by a grantee over the course of 12 months.

have successfully found sufficient resources to allow it to continue and transition from the largest foundation in Central Asia to a leaner, but still significant organization, BOTA wasn't given the tools, budget and flexibility to find out. As a result, the Foundation is in the process of liquidation.

IV. Description of the Three BOTA programs

The BOTA Foundation's programs, administration, and support departments followed a design developed by the World Bank. This design was detailed in an Operations Manual (OM) that was given to the Program Manager when it started its work in 2009. The OM was a living document that was revised several times throughout BOTA's work, with the approval of the World Bank and Board of Trustees, to reflect conditions on the ground and innovations that the Program Manager designed to increase the effectiveness of the BOTA's operations.

1. Conditional Cash Transfer Program

1.1 CCT Overview

The CCT program was designed to address a key need associated with ameliorating poverty: increasing the access of poor families to health, education, and social services. BOTA CCT program was a demand-side program that aimed at removing monetary and non-monetary barriers to accessing existing services.

The program delivered regular cash payments to four categories of beneficiaries within poor households: those with preschool aged children, women with infants up to the age of six months, and households who have children with disabilities up to the age of 16. The fourth category of target beneficiary, introduced in mid-2011, was young people aged 16-19 who have completed school and had not yet found employment.

The theory of change behind the program was that targeted cash transfers, coupled with volunteer support and training would lead to better health, education, and livelihood outcomes. As a result of the cash transfers, poor Kazakhstanis would see improvements in the health status of mothers and new born children, better educational outcomes following preschool attendance, better care of disabled children (including increased socialization), and better livelihood opportunities for youth.

BOTA CCT started in Kyzylorda and Akmola Oblasts in 2010 and expanded to Almaty Oblast in 2011, and finally added Zhambyl, Mangystau and Atyrau Oblasts in 2012.

1.2 CCT Program Details

Participation in CCT was based on the interest and motivation of Kazakhstanis who met the criteria for taking part in the program. Beneficiaries voluntarily chose to participate in CCT and meet required conditionalities, and BOTA agreed to provide monthly cash transfers equal to about 30% of the minimum subsistence level (MSL) for each beneficiary in each household through a bank card. These conditionalities include the use of health and education services as well as participation in training and support meetings, depending on the category. If a beneficiary did not meet the conditionality, transfers were suspended until the beneficiary continued to participate. In order to support beneficiary participation, CCT provided training, support, and contact through an extensive volunteer network.

The table below outlines the four CCT categories and corresponding conditionalities, frequency of compliance, monitoring, and the time limit for each category. Eligibility in each category was time limited. For pregnant and lactating women (PLW), eligibility was up to six months post-delivery. For early childhood development, beneficiaries could enroll for a maximum of two years. For youth livelihoods (LLH) it was for a maximum of seven months for out of school youth up to 19 years age. Home-based care (HBC) participation was a maximum of two years, targeting disabled children living at home from 0-16 years of age.

CCT Categories and Conditionalities

Beneficiary	Conditionality	Frequency of compliance	Freq. of compliance monitoring	Time Limit
Pregnant or lactating women (PLW)	HF attendance and training and support program	6 times per year	Bimonthly	12 months
Parents of children with disabilities from 0 to 16 years of age (HBC)	Attend sessions on effective care for children with disabilities	6 times per year	Bimonthly	2 years
Children between 4 and 6 years of age (ECD)	Enroll in ECD and obtain certificate of attendance	85% daily attendance by month, including excused absences	Monthly	2 years
Out of school youth between 16-19 years of age (LLH)	Participate in vocational LLH training	1 time for enrollment and 6 more times for attendance	Monthly	7 months

Cash Transfers: The amount of the cash transfer was established per best international practice as 20-30% of the monthly minimum subsistence level in Kazakhstan. The amount of the cash transfers was revised every year due to changing subsistence levels and was also raised substantially at the end of 2014 to increase CCT's impact on poverty reduction. The amount of the cash transfers was larger for pregnant and lactating women due to associated pre-natal and immediate post-natal costs, and also for participating youth training-related travel costs. The structure and amounts of BOTA CCT cash transfers for the last year of CCT's work in 2014 are shown below.

Cash Transfers per Beneficiary 2014

Beneficiary Category	January – February 2014		March – September 2014	
	% of MSL (19,351 KZT Aug 2013)	Monthly Transfer (@150 KZT)	% of MSL (17,479 KZT Jan 2014)	Monthly Transfer (@185 KZT)
1. PLW	35.14%	6,800 KZT \$45.33	42.34%	7,400 KZT \$40.00
2. ECD	24.28%	4,700 KZT \$31.33	29.75%	5,200 KZT \$28.10
3. HBC	24.28%	4,700 KZT \$31.33	29.75%	5,200 KZT \$28.10
4. LLH	35.14%	6,800 KZT	42.34%	7,400 KZT

		\$45.33		\$40.00
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Structure: The CCT Program had two oblast teams and five NGO partners that were selected through an open tender process. These teams worked in six oblasts (Akmola, Kyzylorda, Almaty, Zhambyl, Mangystau, and Atyrau) with a total of 100 staff and over 3,000 volunteers. The Almaty-based CCT Department had nine staff in addition to the CCT Director and consultants.

Training: The CCT Department used a cascade training methodology on a rolling basis. CCT staff and partner teams were trained when they first started, specialists were trained annually and also received a training of trainers (ToT) annually, volunteer training was conducted quarterly, and peer to peer beneficiary training was held monthly.

CCT Program Tasks: Teams worked in cooperation with CCT volunteers and beneficiaries according to a series of steps outlined in the chart below.

CCT Program Tasks by Location

Program Task	New location	Existing location
1. Establish and staff team office, and other administration (transport, telephone, equipment, training, office, etc)	In oblast	
2. CCT communication and public awareness activities by oblast team	First visit to rayon	
3. Volunteer recruitment and basic training by oblast team	First visit to rayon	
4. Beneficiaries enrollment, includes PMT, distance enrolment, and exit		Every month until max coverage
5. Training of trainers (ToT) for volunteers	One time event after the first enrollment	
6. Train beneficiaries by volunteers		Every month till max coverage
7. Verification and validation	Every 20 th household enrolled	5% of randomly selected HH 30 risky HHs
8. Monitor beneficiaries and their conditionalities		All beneficiaries every month
9. Bank card application, delivery of card, and cash transfer to recipient	Application: one-time event after the first enrollment	Payments every month
10. Updating MIS		Every month

Many of the steps were computerized, with data entered into BOTA's Management Information System (MIS) on beneficiary enrollment, conditionality adherence, and cash transfers through bank cards. Once teams were set up and trained (step one), CCT was introduced in new locations and volunteers were trained to recruit CCT beneficiaries (steps two and three), followed by enrollment (step four). Five percent of all enrolled beneficiaries were randomly checked to ensure they were truthful in their applications (step five). Training of beneficiaries (step six) was possible after step five. Volunteers monitoring beneficiaries on a monthly basis (step seven). Teams would distribute bank cards, ensure that correct payments went to the right beneficiaries, and updated the MIS as needed for enrollment and payment reasons (steps eight and nine).

CCT Volunteers and Case Management Approach: The CCT program was implemented at the community level, settlement by settlement, by volunteers who mobilized beneficiaries, encouraged them to apply, explained the conditionalities that the beneficiaries needed to meet, monitored the beneficiaries, and provided a key link with the BOTA CCT oblast team. Volunteers were provided with mobile telephones to ensure close communication with team specialists. They helped beneficiaries interface with community health facilities, early childhood development (ECD) centers, and vocational training centers that offered the services that beneficiaries needed to meet the required conditionalities. These part-time, community-based volunteers were the chief mechanism for CCT's communication with end beneficiaries and many steps of the CCT programs' implementation. More than 95% of volunteers were women. Over 40% of volunteers came from CCT recipient households.

CCT staff supervised the recruitment and training of volunteers. First a training of trainers (ToT) of specialists was conducted so they, in turn, would be equipped to train volunteers. The ToT consisted of five sessions on CCT implementation and beneficiary training. In addition, CCT organized an oblast-wide volunteer day each year to honor volunteers. A brief newsletter on CCT volunteering was prepared quarterly and hand distributed to volunteers.

Key Operational Approaches of BOTA's CCT Program

The BOTA CCT Program has demonstrated several social and technological innovative approaches in the context of Kazakhstan in terms of targeting, coverage, and human capital investment. The following table summarizes the approach CCT took in several key areas of operation.

Area	BOTA's CCT Program	Comment
Targeting	Geographical/categorical/poverty targeting	The CCT program took place in oblasts with relatively high poverty rates. Beneficiaries had to meet one of four criteria (pre-school age children, pregnant or lactating women, children with disabilities, unemployed youth) and had to be in households that met BOTA's established poverty threshold.
Enrollment in program	Voluntary, demand-driven, client-focused	The CCT program was introduced to potential beneficiaries who were free to decide whether they wished to enroll or not. Enrollment took place in a central location in each community.
Implementation	Independent of GoK	While BOTA approached the roll out and implementation of CCT independently of GoK structures, ultimately CCT's success was linking beneficiaries to state services.
Orientation towards beneficiaries	Case managed, family-oriented	CCT staff and volunteers assessed and gave appropriate support to each household on a case by case basis.
Work in communities	Through partners (volunteers, NGOs)	Over 3,000 volunteers were trained to help with almost all CCT implementation steps. Five NGO partners were also selected and trained to assist with implementation.
Length of enrollment	Categorical time limit, exit from program, conditionalities	Each beneficiary was enrolled for a certain length of time from nine months (PLW, LLH) to two years (HBC). Payment was contingent on beneficiaries meeting conditions relating to accessing education, health and/or labor market services
Application verification	Honor-based application with 5% post-enrollment verification	In CCT's final year, additional post-enrollment verification was introduced for a selection of potentially risky households to mitigate fraud.

Data management	Integrated MIS for PMT and payment	In its evaluation of BOTA's programs, OPM commented that BOTA's integrated MIS was one of the most sophisticated they had ever encountered.
Payment	Electronic transfers to beneficiary bank accounts following verification of meeting conditionalities	Electronic transfers reduced corruption risks associated with handling cash. Electronic transfers also introduced many of the 95,000 enrolled households to the formal banking system for the first time.
Grievance mechanism	Complaints mainly came to BOTA and oblast offices via direct phone calls, CCT's hotline, and through personal appeals to BOTA and CCT oblast staff	Typical complaints from beneficiaries were associated with the suspension and delay of payments, disagreement with PMT results, problems with bank cards, volunteers' lack of professionalism, and delays with activation of new beneficiaries. In most cases, BOTA staff had to hold consultation meetings and provide explanations to beneficiaries to resolve issues related to banking, service providers, and payments.
Monitoring and evaluation	Monitoring by IREX and Save the Children HQ staff and CCT staff; Finance Department and M&E MIS data reviews; independent impact and operational evaluation by OPM	CCT used results of monitoring and evaluation for effective management and to improve program policies and procedures.

1.3 CCT Results

By the end of its operations in September 2014, CCT had enrolled **154,241** beneficiaries from **95,000** poor households in the six regions where it operated. CCT exceeded its original target of 50,000 beneficiaries by more than three times.

While encouraging beneficiaries to access state services was the primary intended outcome, the cash component of CCT was meant to have a direct anti-poverty as a secondary outcome. OPM's impact evaluation found little evidence of increases in household consumption due to CCT (because the size of the transfer was not sufficient⁴). However, there was ample evidence that cash transfers had a net positive impact on households. Beneficiaries reported that they attended their health facility and preschool more regularly due to CCT. Other CCT achievements according to OPM's qualitative and quantitative evaluations of CCT included:

- In regions where CCT was active, **84% of four- to six-year-old children** began to attend preschool, compared to 70% in control districts. This means that the program had a significant impact on behavior change with respect to the use of early childhood services.
- There was a significant improvement in the proportion of women taking iron supplements: **78% of women** in treatment areas reported taking iron supplements compared to 69% in control areas. Knowledge of anemia prevention was also proportionally higher where CCT was active.

⁴ In line with best practice, CCT set its cash transfer level at approximately 30% of the government set "Minimum Subsistence Allowance (MSL)", the amount of money per capita in a household which allowed for a minimum consumption level. It is likely that the MSL calculation was set by the Government at an unrealistically low level, so BOTA's cash transfer was useful, but not large enough to increase consumption levels. Since that OPM finding in 2012, BOTA increased the transfer 30% over the amount of transfers in 2012.

- The qualitative fieldwork to date indicated that the BOTA CCT provided incentives for pregnant mothers to register their pregnancies earlier than they might otherwise, and provided the means for pregnant women to attend ante-natal services and BOTA trainings regularly; the impact on post-natal health service attendance was also positive, and pregnant women and lactating mothers appreciated the health and social benefits offered by the BOTA CCT training classes and interaction with the volunteers.
- In terms of operations, both the qualitative and quantitative OPM studies confirmed the CCT program operations were sound in design and implementation, both where directly implemented by BOTA and where implemented through partner NGOs.⁵
- The cash benefits were a useful addition to families' base incomes, and in some rural areas this was often the only stable income households could count on during the winter months. There was no evidence to suggest that households reduced their income earning from other sources as a result of receiving the BOTA's cash transfer – the cash received supplemented previous sources of income, rather than substituting them.

The human capital investment aspect of CCT in numbers was:

- **8,635 parents** attended trainings on **home-based care** for children with special needs;
- **21,064 young people** have received **employment and entrepreneurship skills**;
- **50,072 pregnant and lactating women** benefited with training and support; and
- **74,470 pre-school age children** better prepared to start primary school.

Early Childhood Development

- Parents and guardians of **74,470 CCT early childhood development beneficiaries** were given the resources, training, and motivation to send their four- to six-year-old children to an ECD learning center. The majority of children from this category completed their pre-school education during the time of their enrollment and therefore they were much better prepared to start and succeed in primary school.
- BOTA's training module for parents of preschool aged children, developed by early learning specialists and given by trained volunteers, was very popular and had positive impact on parenting skills and behavior. According to volunteers and staff, parents of ECD beneficiaries reported that their behavior towards their children was much more likely to be positive in nature after attending BOTA's training, which stressed the need to give children sufficient attention and reinforcement for positive behavior.
- ECD beneficiary children attended **2,369 formal pre-school facilities** including: kindergartens, mini-centers, and child development centers. Because some villages did not have any kind of existing preschool facility, **436 informal ECD centers** were established in the settlements thanks to the efforts of volunteers, community leaders and staff.⁶ In Akmola and Kyzylorda Oblasts, where the CCT program was launched before other oblasts, 112 informal ECD centers initiated

⁵ There was a difference of opinion between OPM evaluators and BOTA on whether not having universal uptake after a year of operation in the areas where CCT operated was an issue related to efficiency on BOTA's side (OPM), or lack of demand/exercise of choice by potential beneficiaries not to participate (BOTA).

⁶ These informal centers allowed ECD beneficiaries to meet conditionalities, although, as it was observed in OPM's impact evaluation report, working hours were often shorter and equipment in facilities much more limited compared to state run centers.

by the Foundation were transitioned to formal centers -- 84 in Akmola and 28 in Kyzylorda. In the other four oblasts where CCT was active, 324 informal mini-centers that BOTA established continue to operate and provide services to beneficiaries, including 12 in Taldykorgan (north of Almaty Oblast), 156 in Issyk (south of Almaty Oblast), 35 in Zhambyl, 120 in Mangystau and one in Atyrau.

Pregnant and Lactating Women

- Just over **50,000 pregnant and lactating women** participated in the program since its inception. These women greatly improved their knowledge about anemia, the importance of anemia prevention and healthy diets through trainings conducted by CCT volunteers. The cash transfers and the conditionalities in place then incentivized participating women to practice what they learned. While participating in CCT, the women attended more than **2,000 state-run health facilities** on a timely basis. This meant they were under regular medical supervision, which included monitoring their level of hemoglobin in the blood. Increased pre-natal visits to health clinics lead to decreased risks associated with mother's anemic status and the impact of anemia on the health of their future children. Pregnant and lactating women validated the impact of the training for anemia prevention by taking iron supplements and following an improved diet. Other key probable impacts can be attributed to BOTA's trainings on family planning sessions, birth spacing, and management of family budget.⁷

Home-Based Care of Disabled Children

- **8,635 parents of disabled children participated in CCT home-based care trainings** that were provided by volunteers in a peer-to-peer format at homes of beneficiaries. While the amount of CCT's cash transfer was not significant compared to state allowances, there are numerous success stories from BOTA beneficiaries on the successful socialization of children with special needs in their communities. Parents report they changed their attitudes towards their children, began to give them more independence, and spent more time with them to promote their development. Parents also noted the importance of obtaining information on state services and guarantees related to the social protection of children with disabilities. There are many examples where volunteers assisted parents with registering their disabled children to access services.

Youth Livelihoods

- **21,064 young people received employment and entrepreneurship skills** during their seven months of participation in the program. Ninety percent of participating youth studied in formal and non-formal vocational schools, and ten percent opted to receive trainings provided by CCT volunteers that supplemented workplace internships. CCT did not formally track the results of the trainings, in most cases because the participants were continuing their vocational school studies. However, BOTA staff recorded several success stories about youth beneficiaries that found gainful employment or started their own businesses.

⁷ Many CCT volunteers established themselves as "go to" local experts that were consulted in-between visits to health centers and scheduled CCT trainings for advice by beneficiaries on a range of issues. Given the small communities where CCT operated, these volunteers were also sought out for advice by non-CCT participants by who were pregnant or lactating in areas such as anemia prevention.

The beneficiary breakdown follows the natural demographics in households. In rural areas, where CCT was concentrated, family sizes are larger and it is likely that there would be one or more preschool age child or children within a household. Fewer households have children with special needs in CCT target areas, and therefore the beneficiary numbers were lower than the other enrollment categories.

The Conditional Cash Transfer program was BOTA's primary vehicle for repatriating the Foundation's funding to assist poor and vulnerable children, youth and their families. Close to **\$57 million** was transferred in direct household grants by CCT, more than double the grant total of SSP and TAP combined. The program was cost-effective -- for each ever-enrolled beneficiary CCT, spent on average **\$366 (68%)** in grants and **\$164 (32%)** in direct costs. Once fully operational, CCT made cash transfers to tens of thousands of beneficiary households each month allowing BOTA to have a lower than expected indirect cost ratio.

1.4 CCT Innovations

BOTA's Conditional Cash Transfer program proved unprecedented as it represents one of the only times such a program has been successfully implemented by an NGO rather than by a state-run entity. In addition to being operated by an NGO, BOTA's CCT program had four key innovative features to its approach: its extensive volunteer network, the use of a proxy means test designed for Kazakhstan, an integrated MIS and cash payment system, and the Ministry of Labor and Social Protection's adoption of BOTA's volunteer-driven approach to raise awareness of its E2020 employment program. Each of these innovations is described below.

Volunteers: Because BOTA could not utilize the state's social assistance infrastructure, BOTA innovations allowing for cost-effective CCT program implementation included using NGO partners instead of direct hires.⁸ Perhaps more innovative than using NGO implementation partners was CCT's choice to recruit and train more than **3,000 volunteers**. As noted above, volunteers were involved in all implementation steps that involved direct contact with beneficiaries – from beneficiary identification and mobilization, helping beneficiaries identify service providers, and providing training to monitoring beneficiary compliance with conditionalities. CCT's volunteers were local community experts, who were for the most part, well-respected women in their communities. The volunteers knew the social economic dynamics of their communities, such as where children around pre-school age lived. They were respected by their neighbors, and were flexible in terms of working hours and taking on a variety of responsibilities. BOTA collected multiple anecdotal reports indicating that former CCT volunteers have continued to provide advice and assistance within their communities on a range of topics that they learned from CCT.

Proxy Means Test: IREX and Save the Children oversaw the development of **Kazakhstan's first Proxy Means Test (PMT)** to establish the poverty status of applicants which then determined their eligibility to participate in both the CCT and the TAP programs.⁹ The PMT takes into consideration family composition, socio-demographic features of family members, living conditions, property, location and other assets. The PMT was a computerized, online questionnaire that could be completed in less than

⁸ Two CCT field offices were created as a first step in Akmola and Kyzylorda; all other oblast teams were NGOs selected to partner with BOTA through a transparent procurement procedure.

⁹ CCT verified 5% of all enrolled recipient households by a visit to the household and physical verification of the information provided at the time of application. For TAP, the PMT was an initial eligibility screen, which was followed up in 100% of cases by documentation proving household income of finalists.

twenty minutes and instantly determined a score for poverty based on a statistical combination of expenditure indicators included in the national household budget survey. **Ninety-five percent of all CCT applicants** were deemed eligible for the program based on CCT results. This result could be attributed to excellent geographic targeting of CCT, as well as the efficiency of the applicant mobilization program by community volunteers.¹⁰

The PMT was innovative for Kazakhstan because it was the first time in the country that a questionnaire was developed that predicted a poverty score without requiring applicants to bring documents attesting to their income and assets.¹¹ Typically, applications for programs with monetary benefits require documentary proof that would need to be further verified. This additional verification time would have slowed down the application, eligibility determination, and enrollment process into CCT considerably. BOTA's online PMT has the potential to be adapted for other programs that need to determine household levels of poverty.

MIS-CCT Event and Cash Accounting System: The CCT program operated on the basis of its integrated online enrollment system, poverty scoring, conditionality monitoring, and cash transfer system based on BOTA's MIS accounting system. The MIS was a secured, centralized database for data storage, management, and reporting. It operated online and offline on small netbook computers, and tracked and monitored all beneficiaries from program entry to exit as well as any cash transfers made to beneficiaries. The MIS converted data into formats for monthly reports and statistical analysis. It also recorded all of the implementation steps to be undertaken and repeated in each location of implementation for all beneficiary categories.

The MIS was critical for CCT operations. It allowed BOTA to accurately track and administer payments to all beneficiaries based on monitoring reports that were uploaded into the system. While other CCT programs are typically supported by separate computer programs that run for different purposes (payments, database of beneficiaries, etc.), BOTA's MIS was innovative due to its integrative nature. Its accuracy was increased by having multiple quality controls which assured that identification and tax payer numbers, for example, matched data from beneficiary applications. The MIS enabled reporting at wide levels of detail, which CCT captured in its monthly reports that were sent to the BoT. Additionally, the MIS was able to produce reports on items such as beneficiaries by region and category, bank card distribution, and number of beneficiaries which received Targeted Social Assistance from the government.

Finally, data sets from the MIS can be anonymized, meaning that beneficiaries' identification information could be deleted, and made available to future researchers interested in the socio-economic characteristics of BOTA's CCT beneficiaries.

E2020 pilot project: In 2012, BOTA was invited by the Ministry of Labor and Social Protection (MLSP) to conduct a pilot to test whether BOTA's extensive CCT volunteer network could be used to increase the number of individuals participating in the MLSP's Employment 2020 (E2020) program. BOTA was keen to work on this pilot that had the potential to maximize economic opportunities for beneficiary households and support BOTA's sustainability. Following approvals from the BoT and Parties, BOTA designed an

¹⁰ It also led OPM in its impact evaluation to question whether administrating the PMT was worth the trouble since almost all applicants passed. The Program Manager strongly believed in the usefulness of the PMT as part of the enrollment system.

¹¹ Applicants were required to their national identity card as well as tax payer identification numbers that were scanned and placed in the MIS database, however, no income documentation was required.

information campaign implemented by trained volunteers that reached 1,276 households with 1,679 potentially employable members. The volunteers obtained an **increase in applicant uptake from 59% to 117%** from the baseline. Most importantly, the pilot demonstrated the value that volunteers provide in linking poor households to state services even without cash incentives. Based on the pilot, the World Bank and MLSP designed a new pilot, Orleu, that is revamping the Government of Kazakhstan's social assistance based on the CCT model (see page 46.)

Overall Importance of CCT Innovations for the Child and Youth Welfare Sector

The most important aspect of the BOTA's CCT program is most likely the adoption of conditional cash transfer principles by the Government of Kazakhstan for the delivery of social assistance. Beyond the borders of Kazakhstan, BOTA was one of the few non-profit organizations in the world to implement a complex multi-sector CCT program that transferred close to \$60 million to more than 150,000 beneficiaries, who came from households where about 500,000 people lived. The importance of the tools and approaches described above, from development of a proxy means test to the use of volunteers and NGO partners for implementing the program, demonstrated to Kazakhstanis and interested international observers that it was possible for a non-governmental organization to successfully design and carry out such a program without reliance on government systems and procedures. BOTA's general experience with CCT from 2009-2011 has been documented in a book,¹² that is available on the BOTA website. The BOTA website also has booklets describing BOTA's work on its MIS¹³ and PMT.

¹² <http://bota.kz/uploads/52027bd59e42a.pdf>

¹³ <http://bota.kz/uploads/5298b388a910a.pdf>

2. Social Service Program

2.1 SSP Overview

The goal of the Social Service Program (SSP) was to improve the health, education, and social welfare of impoverished children, youth, and families by supporting improvements in quality, availability and sustainability of non-government or non-commercial child welfare services and systems. The program's objectives were to:

- Engage local communities and mobilize resources for sustainable provision of social services;
- Strengthen capacities of local organizations for provision of social services; and
- Improve the infrastructure for social service provision, including health, education and social protection in target communities.

SSP took a holistic approach to achieving these goals and objectives. A multi-tier grants structure was offered that allowed for organizations with little or no experience to receive small grants (up to \$2,000) for planning and community mobilization, and very experienced NGOs to receive large grants (up to \$50,000) for replicating successful projects, training other NGOs, or working towards improving Kazakhstan's framework for social assistance. Close to three quarters of the grants were given to small and medium size organizations for the provision of social services.

Grant Type	Goal of Grant	Maximum Grant Amount
COMMUNITY MOBILIZATION & PLANNING GRANTS	Mobilizing communities and relevant stakeholders to prioritize social service needs in SSP's areas of interest and developing multi-stakeholder action plans.	\$2,000
SOCIAL SERVICE	Funding to implement social service programming with an emphasis on innovation, community involvement, potential impact, and sustainability.	\$25,000
REPLICATION	Taking a project model that has proven successful in one location and replicating that model in different locations.	\$50,000
NGO CAPACITY BUILDING GRANTS	Using expertise within the NGO sector to build the capacity of other NGOs in areas of interest to SSP through trainings offered in classroom, workshops, consulting, or coaching settings.	\$50,000
SYSTEM IMPROVEMENT GRANTS	Improving regional and national systems of child and youth welfare in Kazakhstan regarding the availability, quality, and effectiveness of social service delivery.	\$50,000
CCT HOME-BASED CARE SUPPORT GRANTS	Supporting CCT HBC families through activities to support disabled children's social integration and access to services.	Small planning grants: \$2,000
		Service provision: \$23,000

2.2 SSP Program Details

SSP Project Characteristics

Depending on the type of grant and the target beneficiary group, SSP funded projects that had one or more of the following characteristics:

- **Parent-centered:** SSP supported new models and methodologies for working with children and parents/guardians.
- **Holistic:** Grant projects ideally addressed problems from different angles to help ensure successful outcomes and sustained results. A youth livelihood project, for example, should have considered factors related to the employment market when designing trainings for youth.
- **Inclusive:** In addition to promoting social inclusivity of the disabled, SSP supported inclusivity in terms of beneficiary and community involvement in project planning and decision making.
- **Scalable:** SSP prioritized projects that demonstrated innovative approaches to addressing a social need of children/youth that could be brought to scale and replicated in a cost-effective and sustainable fashion. SSP distributed more than 30 replication grants, many of which started as smaller social service grants.
- **Sustainable:** SSP considered proposals with realistic sustainability plans on how project activities would continue post-BOTA funding critical. Projects that involved a wide range of stakeholders (i.e. community members, the private sector, other NGOs, schools, and local governmental authorities) – were favored over projects that addressed children- or youth-related problems without broader support.

SSP Sector Focus

Based on BOTA's 2011 mid-term strategy, SSP, like the other programs, focused on the same four beneficiary groups: early childhood development (ECD), maternal and child health (MCH), child protection (CP) and youth livelihood (LLH). End beneficiaries for SSP-funded projects were drawn from five key target groups, as can be seen in the matrix below:

Target Group	SSP Program Areas
Children (4-6)	Early childhood development
Children (6 – 12)	Promoting opportunities and prevention of risky behaviors
Youth (12 – 24)	Promoting opportunities especially through livelihood support and prevention of risky behaviors
Children and Youth with Special Needs (0 – 24)	Promoting access to services, including education, treatment, and social inclusion
Children and Youth in Difficult Life Situation (0-24)	Promoting access to social services and providing social services to improve/mitigate the difficult situation Prevention of child abandonment
Mothers (or parents)	Mother and child care

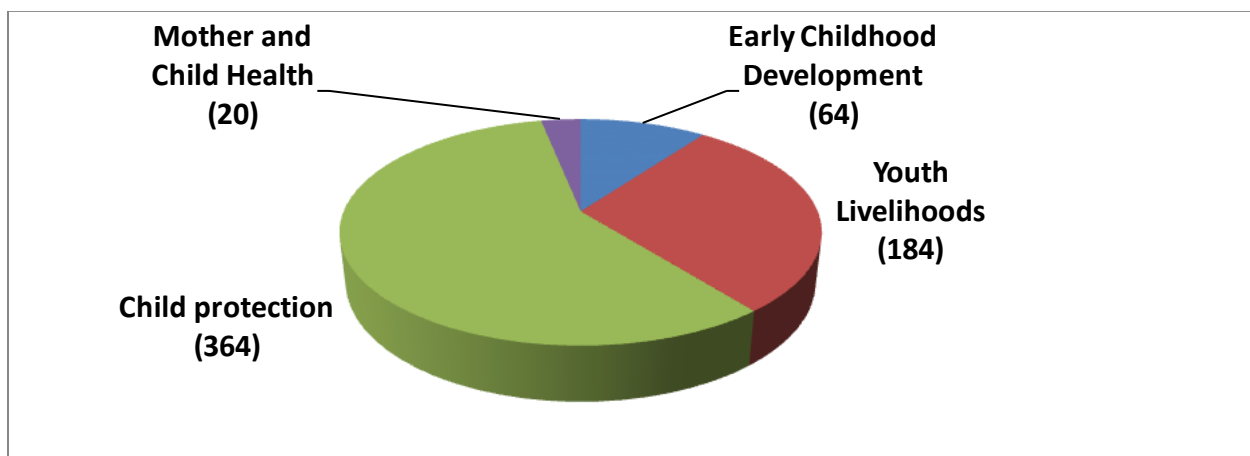
From the first round onwards, grants were available for ECD, provision of services to disable children and youth and youth livelihoods. Grants to help children and youth in difficult life situations were added in SSP's second grant round (2010) and in the maternal and child health area in the fifth grant round (2012). The MCH area support was based on BOTA's mid-term strategy (2011) that emphasized cross-

sectoral and cross-programmatic support focused on BOTA's four main beneficiary categories. Also as a result of the mid-term strategy, SSP began giving grants to NGOs working in oblasts where CCT was active for projects that gave additional assistance to CCT home-based care beneficiaries through socialization/community integration activities and additional services to this target group¹⁴.

2.3 SSP Results

Between 2009 and 2014, SSP conducted **eight grants rounds**, receiving **1,306 applications** from all regions of Kazakhstan. SSP funded **632 projects**, indicating that almost every other application was funded. As illustrated in the chart below, in order of sector funding, the largest number of projects were in **child protection (CP) (58%)**, followed by **Youth LLH (29%)**, **ECD (10%)**, and **MCH (3%)**. This order of funding reflected Kazakhstan's "market" in terms of NGO involvement in provision of social services: relatively few organizations were active in the areas of MCH and ECD (primarily because of the predominant involvement of the state in these sectors) while substantially more NGOs were active in the child protection and youth livelihood areas.

Number of Funded Projects by Sector



- **2,221 children, young women and mothers** benefited from **maternal and child health** projects that provided training and support in the areas of reproductive health, mother, and child nutrition; ensured safe home environments; and prevented unwanted pregnancies and child abandonment.

MCH projects were implemented in eight of Kazakhstan's 16 regions. Almost all grantees used a peer-to-peer training approach. According to a retrospective test designed by BOTA and administered by MCH grantees to determine the increase of MCH beneficiaries' knowledge following the projects' activities, 90% of girls and women improved their MCH knowledge and skills.

- **2,524 children and parents** benefited from **early childhood development** projects that included building new preschool facilities with community support, expanding existing ECD facilities, and

¹⁴ The intent behind the CCT support grant category was excellent, but the take up of the opportunity by NGOs was not as large as expected. A total of 18 applications were received and from these 11 projects funded from 2011 to 2013.

improved the quality of facilities and preschool services geared towards BOTA's target population.

Most grants (67%) were for direct service provision. Since 2009, SSP grantees increased the number of ECD services for end beneficiaries by 46% with BOTA funding. The grantees have been able to achieve tangible results. Based on pre- and post-tests on alphanumeric knowledge for children aged 4-6 years old, SSP found that 86 % of ECD beneficiaries improved their knowledge and skills. Parents also gained knowledge on early childhood education from these ECD projects.

SSP organized **two workshops** with Save the Children experts to build the capacity of ECD grantees. Thirty-six grantees were trained on ECD best practices, including the effective use of the learning environment and materials in ECD programs, planning and implementing meaningful activities with children of different ages, and learning needs and levels of development.

- **22,708 youth** aged 12 to 24 benefited from **livelihood** projects. These included projects that facilitated the transition from high school to the workplace through provision of employment and business skills training and support. Initially, from 2010-12, livelihood projects developed beneficiaries' soft skills such as communication and leadership, and in later years they emphasized career-building skills, trainings in vocational skills and entrepreneurship, micro-enterprise development, and job/internship placement.

Seventy percent of LLH projects were for direct service provision. Projects encouraged youth participation in project planning and implementation, and in the decision making process. Many innovative LLH initiatives were funded, including: a youth farmers' model in rural Akmola Oblast in partnership with local businesses; a rural youth start-up and entrepreneurship model in South Kazakhstan; a youth leaders model in Temirtau; youth labor exchange model in Pavlodar; and peer-to-peer model in several other oblasts.

SSP offered **three workshops** to improve capacity of grantees in the LLH sector using experts from Save the Children and regional trainers. The Save the Children expert's workshop was focused on Positive Youth Development and Youth Developmental Assets. The second training by SSP was devoted to implementation of the Youth Bank model based on examples in Russia. The third training, given by a local expert, was devoted to the implementation of a professional orientation and guidance model.

- **26,119 children and youth** were beneficiaries of SSP's largest support category, **Child Protection**.¹⁵ The CP sector was comprised of two program areas: services for children and youth with special needs, and services for those children and youth in difficult life situations. Funded projects supporting the disabled included: expanding the quality and quantity of available services, and; increasing opportunities for social integration including inclusive education and employment. Special needs grantees mostly promoted the social model of disability that sees disability not as a problem of a person with special needs, but as an

¹⁵ Child protection was the one sector where SSP had more beneficiaries than CCT, in fact about 3 times more. This is because CCT's CP work was limited to assisting households with disabled children, while SSP included disability support, along with helping children and youth at social risk in this category

indication of broader societal problems, such as the lack of services for people with disabilities and lack of access to services that do exist.

The second target group was youth at social risk, including orphans, abandoned kids, those registered with the police or incarcerated in institutions. Projects were geared to help this population improve their situation through counseling, life skills training, job training, and employment counseling.

SSP funded 364 CP projects. 179 projects helped children and youth in difficult life situations (DLS) and 185 projects to assist children and youth with special needs.

There were a wide variety of projects in the DLS category, including: prevention of child abandonment (or social orphanhood); prevention of risky behavior and promotion of healthy lifestyles; supporting and promoting of foster care and guardianship; preparing orphans for independent life following institutionalization; rehabilitation of children and youth in conflict with the law; supporting families in crisis; prevention of violence against children and social rehabilitation/adaptation of victims of abuse and violence, prevention of suicidal behavior.

Most of projects were innovative and either have the potential to be replicated nationally or already have been. Some examples of these projects are: the Union of Crisis Center's National Hotline #150; a foster care model implemented in Astana by the Center of Social Adaptation; case management technology implemented by the League of Creative Women; an innovative model for working with families in crisis that was implemented by Gender Informational Center in Karaganda; and a juvenile justice model for working with children and youth in trouble with the law implemented by the public foundation Pravo.

SSP provided **three workshops** in the DLS area in which 76 NGOs participated. A Save the Children expert trained grantees on the theory and practical aspects of working with families in crisis. The grantees received knowledge and tools for conducting analysis of family situations and designing case appropriate work plans. The workshops also covered social services standards for working with families in difficult life situations.

In the second child protection category, special needs (SN), 69% of the grants were dedicated to direct service provision such as hippotherapy, art therapy, music therapy, computer training, social theatre, and training on home-based care for parents. Services under projects were delivered using a holistic approach involving parents, social workers, teachers, and volunteers. Many grantees implemented SN projects aimed at social rehabilitation and social integration of disabled children and youth into society. Several of SN projects also had a legal support component for children with special needs and their parents. Four projects were funded for improving the system of social service delivery and policy. SN grantees increased their services offerings by 44 % compared to their pre-BOTA funding levels. Out of 185 SN projects, 54% of projects contained a component of training children's parents on home-based care (HBC). As a result of these projects, 1,453 parents were trained on HBC, and based on the results of the retrospective test, 73 % of parents raised home-based care knowledge and skills. A major emphasis of SSP was to expand SN projects to rural areas, and about 40 support centers for children and youth with special needs were created throughout Kazakhstan.

Another component of SN projects was training social workers, teachers, and volunteers. In total, about 2,500 specialists were trained on innovative methods of working with children and youth with special needs.

SSP built the capacity of SN grantees through **two workshops led** by international experts from Save the Children. Forty-eight SN grantees increased their knowledge and skills on the creation of conditions for inclusive education in Kazakhstan, community-based care, and family-oriented approaches in working with children with SN.

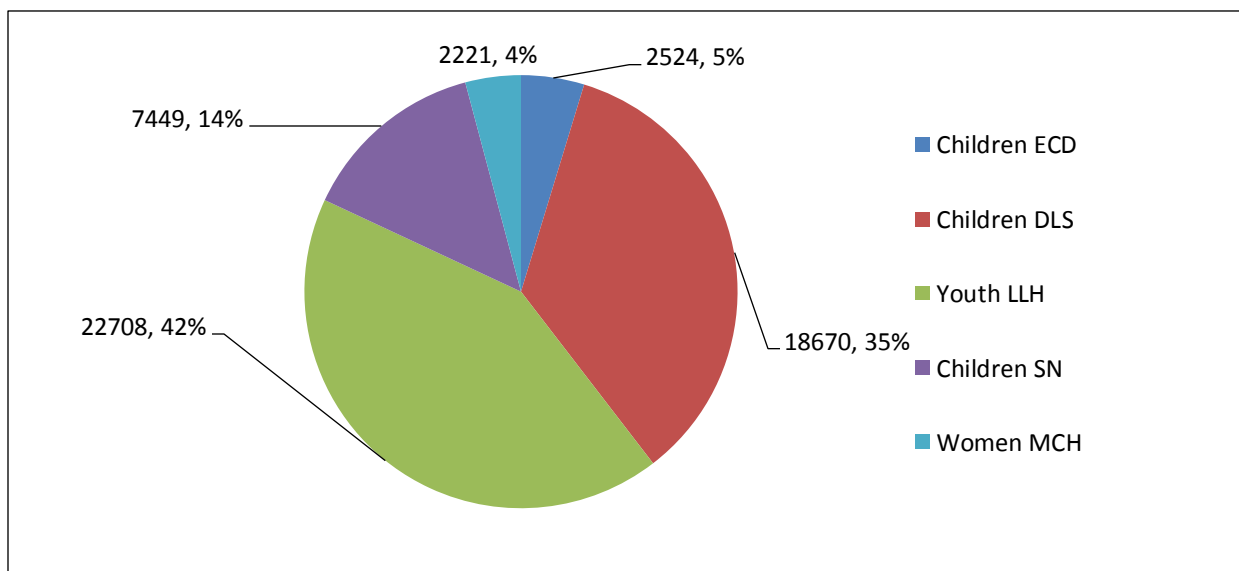
Community Social Integration (CSI)

Since 2010, SSP worked closely with CCT to develop Community Social Integration (CSI) grants. These projects promoted the social integration of CCT home-based care beneficiaries (0-16 years old) and non CCT beneficiaries (16-24 years old) with special needs in local communities.

Grantees conducted public exhibitions of beneficiaries’ art work, sport competitions, music and dance concerts, as well as round tables, community meetings and mass media publications to raise social awareness among local communities on the importance of social integration for children with disabilities. As a result of 11 CSI projects, more than 300 children and youth with special needs participated in a variety of activities organized by grantees that helped them to integrate into their communities.

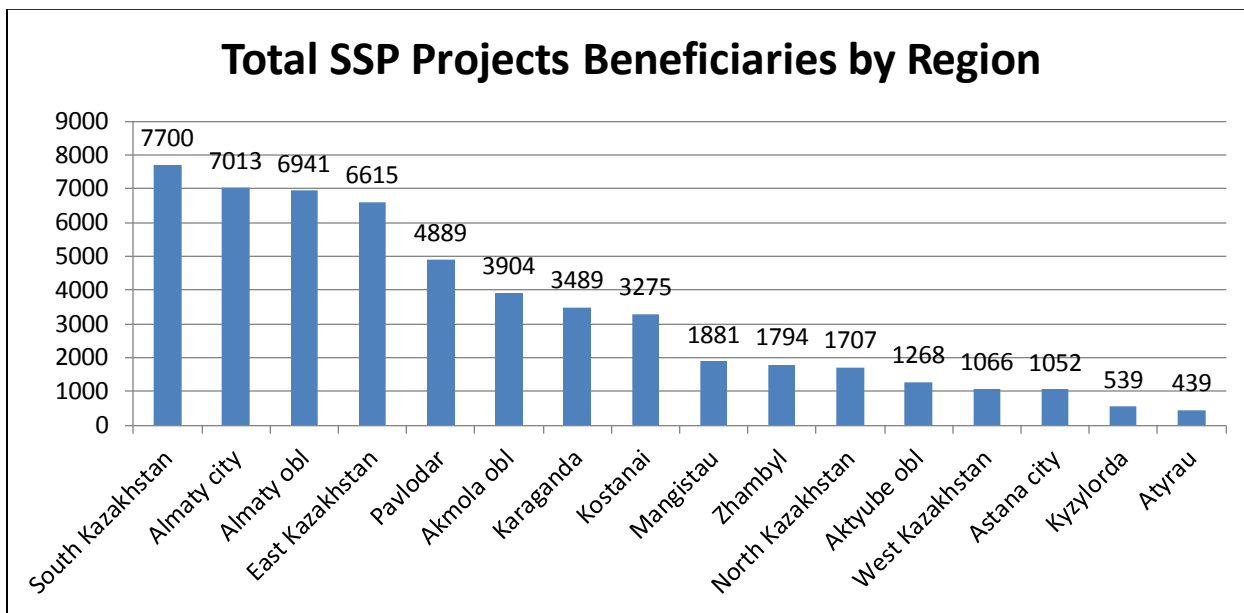
Project Beneficiaries

SSP Projects Beneficiaries by Sector Area



Regional Coverage of Beneficiaries

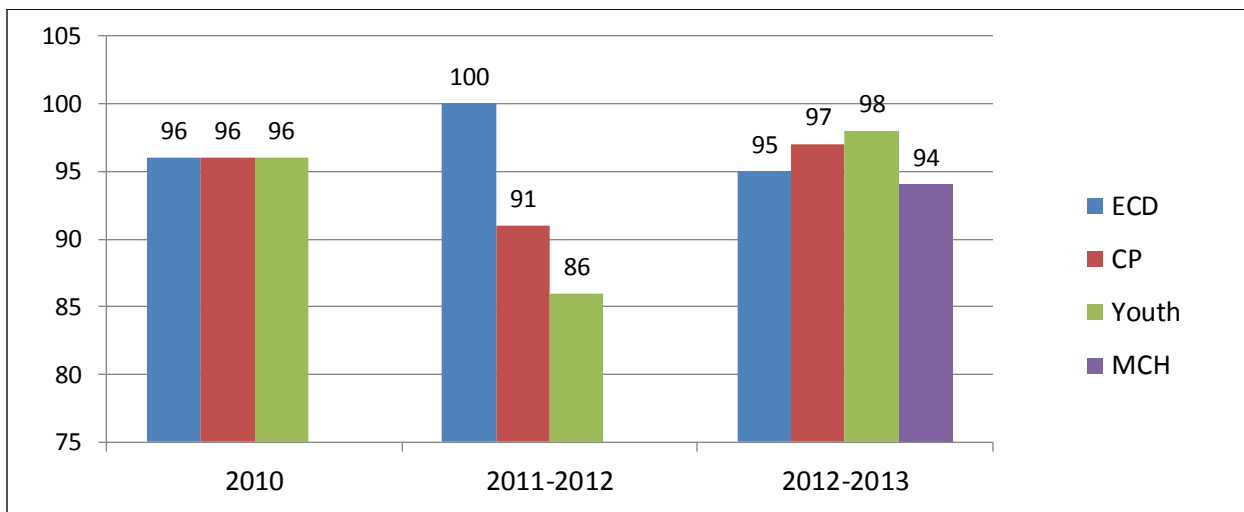
SSP was a national program that did not have a fixed geographic ratio for grant distribution. Instead, all grants that met SSP requirements were given equal chance for financing, and the final coverage of grants followed the market of NGOs in terms of their location and areas of focus as can be seen below:



End Beneficiary Satisfaction

SSP's satisfaction surveys of end-beneficiaries (on the performance of grantees and the value of services offered through the grants) provide key information on the success of the program.

Percentage of Beneficiary Satisfaction with Services Offered by Grantees by Type of Grant



A very high beneficiary satisfaction rate (86 - 100%) was confirmed, measured along three dimensions: if services offered met the end beneficiaries' needs, and if the services were seen as available and easily accessible to respondents.¹⁶ Specific questions asked to beneficiaries were differentiated by the types

¹⁶ These surveys were carried out three times, from 2011 to 2013, and overseen by BOTAs' M & E Department. 71 questions were asked to a representative pool of end beneficiaries via telephone (and face to face) surveys.

of projects and services that were offered. For example, parents of children benefiting from ECD pre-school-oriented projects were asked about the quality of the preschool instructors, whether the facility where the project took place met with their expectations, whether the hours of the ECD program were convenient, the level of difficulty in finding out about the ECD project and registering for it, if there were up to three new or substantially strengthened skills that the parent could name as a result of the project.

Non-Grant Activities

In line with SSP's holistic approach to meeting its goal and objectives, its grant making work was supplemented through a range of complimentary activities including: workshops and direct technical assistance to grantees in organizational and technical areas, annual learning and networking conferences, donor/government coordination forums in child and youth welfare area, and information provision on key developments in the child welfare area through the issuance of occasional SSP bulletins.

The major emphasis of SSP's non-grant work was **training workshops**, with more than **125** offered to close to **2,000** participants from 2009 onward. While **116 grant and project management**-related workshops were given directly by SSP staff, Save the Children provided the majority of the **11 technical trainings** on such topics as best practices in child protection, positive youth development, and early childhood education. Workshops given by local or regional trainers included documentation of project models and coaching youth.

SSP held **four annual conferences** from 2009 - 2014, and helped organize the BOTA-wide 2013 event in Astana. These conferences highlighted best practices in child and youth welfare and increasing the effectiveness and sustainability of NGOs in social service delivery. They featured technical experts from Save the Children, UNICEF, local and regional NGOs, and the Government of Kazakhstan. The conferences also offered opportunities for network building. Results of the conferences included the identification of social service priorities from SSP grantees that were forwarded to the Ministry of Labor and Social Protection. These priorities were accepted by this Ministry and consequently helped shape government programs. Several partnerships between NGOs working on similar issues but in different regions were formed. A new coordination group between SSP grantees and the Government's Committee for Child Protection was formed as a result of SSP's 2011 annual conference. The Committee continues to be active today.

In between conferences and grant rounds, SSP researched, compiled, and distributed **eleven social service bulletins**. Themes included updates in the legal framework impacting social services, partnership and fundraising strategies and documenting successes. Grantees reported in a survey conducted in the summer of 2014 that these bulletins contained useful information that informed their day-to-day work.

Finally, **nine social service discussion forums** were organized in Astana and Almaty, where representatives from NGOs, donors, and government discussed new developments and plans, and highlighted areas of potential cooperation. BOTA, for example, announced all upcoming grant rounds so that participants could encourage NGO partners to apply in support of areas of mutual interest. SSP grantees from time to time were invited to the forums to discuss their projects and get feedback from participants representing international organizations and Government of Kazakhstan agencies.

Examples of Key SSP Projects

There were several examples of successful SSP funded projects that will have long-term impact for Kazakhstan. These include legislative change and government adoption of service models:

- **Legislation Improvement:** Under a systems improvement grant the NGO Namys identified inadequacies in the law on special social services. After a national consultation process, Namys recommended and successfully advocated for changes to improve the law. The Government of Kazakhstan adopted the recommended changes.
- **Standards Improvement:** Eurasia Foundation of Central Asia received a systems improvement grant that allowed it to develop and promote standards to improve housing provided to orphanage graduates in Kazakhstan by working closely with the Government's Committee on Children Rights Protection. These standards were adopted and are being piloted in East Kazakhstan Oblast.
- **De-Institutionalization Strategy:** The League of Women of Creative Initiatives developed a strategy, standards, and recommendations to promote small family-oriented orphanages as an alternative form of care for orphans and children left without parental care in Kazakhstan. The project's strategy and recommendations were introduced to relevant state bodies, and then adopted by the Government as part of the state program on reforming orphanage policy.
- **Models Adoption:** The SSP grantee NGO Forum of Astana's grant project developed and piloted a school mediation model geared towards reducing problems and conflicts experienced by children and at-risk youth. The Ministry of Education was impressed by this model and went on to implement this model in schools nationwide. Another model that was spread nationally was the Union of Crisis Centers' hotline project for children and youth in difficult life situations. The grantee worked with a wide array of stakeholders to publicize the hotline and set up groups to assist children and youth requiring help. Ultimately the Government adopted the model and integrated this service into activities of regional child protection units.

OPM Evaluation Results

SSP's approach to grant making was innovative, in that the Department offered a range of grant opportunities, including small planning grants for NGOs with no previous experience to replication grants for organizations that already had proven project models that demonstrated results. No other funder before BOTA had such a large spectrum of grant opportunities and took such a flexible approach towards working with grantees. SSP perhaps was not unique in having high proposal, accounting, and reporting standards but it was the only on-the-ground grant maker in Kazakhstan that was willing and equipped to work with all NGOs, and had a social mission to help them meet these standards through informal and formal trainings and technical assistance. As a result of this approach, more than 20 new organizations that once were informal groups registered and received SSP start-up funding and continue to provide services to their end beneficiaries. Many grantees were initially intimidated by the SSP's requirements, but once they received the program's training and assistance they were very pleased they were able to meet all requirements, and expressed strong gratitude to SSP's standards and innovative approach.

SSP's approach was recognized by OPM in its two qualitative evaluations of the program conducted in 2011 and 2012 which had very positive findings in regard to the program's value and efficiency¹⁷.

Amongst the conclusions were:

- "BOTA SSP has selected relevant target areas, priorities, and types of grant. It is clear that funding and training provided by BOTA are important and needed."
- "BOTA SSP has been effective in targeting its potential grantees and ensuring a fair, transparent, and rigorous application and decision making process. BOTA is viewed as a reasonable donor, willing to accept changes and challenges if they are properly evidenced."
- "There are probably few donors who are behaving so strategically within broad enough priority areas to allow NGOs some flexibility and creativity of approach."

2.4 SSP Innovations

Below is a short list of some of the innovations, in addition to SSP's approach to grant making noted above, and their impact on the child and youth welfare sector in Kazakhstan.

1. Promotion of expansion of offered services, especially in rural areas: According to verified grantee reports, over **1,000 new services** were offered to end beneficiaries as a result of BOTA grants. No funder besides BOTA through SSP was so intently focused on promoting the expansion of service provision to rural areas. These services included different types of therapy for special needs children and new pre-school programs. SSP made special efforts to attract rural NGOs through its outreach campaigns and its flexible grant structure. Based on SSP monitoring data, about **40% of NGO services were newly offered** in rural areas. Many of the newer NGOs that SSP supported are still active and will provide services supported by their local communities and the Government of Kazakhstan well into the future.
2. Emphasis on community involvement: SSP was the only funder in Kazakhstan whose evaluation criteria gave substantial weight to including community stakeholders into the project design and implementation. SSP financed **121 projects** for making needs assessments and action plan development jointly with community members – a category of grant not available before BOTA. In all other types of grants, SSP gave preference to projects that involved local community members, and due to this emphasis, activities funded by BOTA have continued. Based on grantees' reports, they were able to attract around **\$1 million** from community members, including individuals and business companies, to support child welfare-related activities. This emphasis on community support will continue to assist grantees, and their end beneficiaries, into the future.
3. Best social service project models documented for the first time: In 2013, towards the end of SSP's grant-making cycle, SSP helped grantees to document their proven project models. SSP trained grantees on basics and techniques of documenting models, provided a format for model documentation and provided individual technical support to grantees for documenting their models. According to grantees and SSP staff, the documentation of their best models will be

¹⁷ See <http://www.opml.co.uk/projects/external-evaluation-bota-foundations-social-sector-programmes-kazakhstan>

useful to attract other funders, for NGOs to improve and expand their services, and to accelerate replication of best social service models in other regions of Kazakhstan.

4. Grants Management System: SSP worked closely with a software developer to design a customized dual language Grant Management System (GMS) to facilitate tracking and data-basing of SSP applications, grants documentation, and monitoring reports. The GMS was used also to generate documents such as grant agreements and rejection letters, and was available on- and off-line. The system was useful to SSP senior management for overseeing the grant portfolio and tabulating statistics, including calculating the total number of beneficiaries in any given sector area or region. The GMS made it easier for SSP staff to understand and closely monitor the financial and programmatic position of grantees at any stage of the project. Grants could be tracked and analyzed over a range of dimensions: grant history, financial liabilities, budget recasts, project location, planned activities, progress, and problems (if any).

3. Tuition Assistance Program

3.1 TAP Overview

BOTA's Tuition Assistance Program provided means-based scholarships for young people from impoverished backgrounds who normally would not have the opportunity to attend college or university due to the high costs relative to applicants' income. TAP allowed students to attend any college or university in Kazakhstan that accepted them and pursue any area of study. The main goal of the TAP program was to break the cycle of poverty for tuition assistance recipients by providing students with higher education, which in turn, would lead to gainful employment.

TAP's objectives were:

- Promote needs-based educational grants as an alternative to merit-based scholarships that are available in Kazakhstan;
- Increase the supply of professionals within the social service sector; and
- Develop and implement activities that will increase the chance that graduates of BOTA-funded educational grants successfully gain employment.

3.2 TAP Program Details

Each TAP scholarship was awarded for one year with the opportunity for recipients to renew their scholarship each year depending on their ability to meet all academic requirements until they earned a degree. In addition to tuition funding for study at a college or university, the BOTA Foundation's TAP also provided stipends for housing, daily expenses, books and supplies, transportation, and a BOTA Foundation mobile phone. TAP educational grants were only eligible for study at accredited colleges and universities within Kazakhstan. To be eligible, applicants had to be Kazakhstani citizens, graduates of 11th grade or current 11th-grade students planning to enter a college or university for the first time.

Prior to 2012, BOTA's TAP grants were given to candidates who applied to begin college or university. However, with 2014 being the end of the BOTA program, BOTA staff had to think about how to deal with students who had enrolled in TAP but would graduate after the BOTA program ended. TAP consulted with partner universities and read reports from the Ministry of Education that underscored that Kazakhstan had a significant problem with junior- and senior-year university students who are forced to drop out due to lack of financial means to finish their education. Based on this finding, BOTA proposed to the Board of Trustees a new strategy for TAP: paying for students with good academic standing and at high risk of dropping out for financial reasons to finish their education. Those starting their post-secondary educations would only be allowed to apply for vocational and technical educational degrees that would be awarded before 2014.

Scholarship recipients were closely monitored to ensure that they were performing academically at an acceptable level, meaning that they passed all exams and fulfilled any other academic requirements required to matriculate. They were also required to participate in academic and professional development workshops organized by the BOTA Foundation. To encourage social responsibility, all scholarship recipients were required to conduct 20 hours of unpaid community service per year.

To further the BOTA Foundation's broader mission, and as part of BOTA's mid-term strategy starting from 2011, TAP decided to give slightly more weight to applicants wishing to study social work, education, and other specialties in line with BOTA's programs.

One of TAP's key distinctions was that high academic standing was not the sole criterion for entry to the program – financial need was a critical factor. If students did not come from poor backgrounds, they were not eligible to apply. Given the target group, it was clear that many applicants would come from rural areas, larger households, and they would not have had the same kind of secondary school learning opportunities as their peers who came from households with more resources. While coming from a poor household or an orphanage was a necessary condition for becoming a TAP student, applicants had to demonstrate that they had the potential to succeed in college or university. Once financial eligibility was established, applicants included essays in their applications that were evaluated for clarity and reason. Short-listed applicants were then asked to come to an interview with an independent selection committee that were scheduled around the country. Those who did best on the interviews, had back-up documentation confirming their poverty status,¹⁸ and proof that they did not receive an educational grant from any other source¹⁹ were invited to participate in TAP.

Grant Competitions

TAP had **four open competitions** from 2009 to 2012. Over that time, a total of **841 educational grants** were awarded. The original goal for the program was to distribute 400 scholarships, and similar to BOTA's other programs, the BOTA reached more than double its beneficiary target.

TAP was the first of BOTA's programs to launch. TAP staff worked diligently through the first part of 2009 to establish systems and procedures so that BOTA could distribute the first set of scholarships by the end of that summer. Launching TAP involved establishing an overall strategy and plan to roll out an entirely new scholarship program in Kazakhstan through which eligible youth throughout the country could apply.²⁰ The goal in the first competition was to get several hundred applications resulting in 100 TAP recipients. This application goal was well surpassed, with 1,675 applications received in 2009, however, only 87 students of the 115 finalists accepted scholarships in the end. This was because some of the finalists decided not to pursue higher education, and in other cases, applicants' parents didn't allow them to accept the scholarship because they were suspicious about the Foundation's motives and intents. The first round of TAP taught BOTA to have a healthy margin of finalists to end grantees in future years, so that numeric targets could be met. In 2010 and onwards, BOTA and TAP became better known, and the Foundation did not continue to have the same reputational issues that it had initially.

¹⁸ TAP used BOTA's PMT as an initial financial eligibility screen but not as the final one. Due to the relatively large size of the grants (average four year value was \$18,000), BOTA had to be 100% certain that all those who were on the short-list for a TAP grant could prove their income status by providing a range of documents, including ones that proved household members and income. Orphans did not have these requirements.

¹⁹ Sending a "finalist" list to BOTA's Board of Trustees and engaging in the contracting process with successful students was always a last minute endeavor, as state grants were not announced before mid-to late August, and BOTA had to make sure no one on the finalist list received such a grant. In the course of a four year study period, some 22 TAP Recipients received state educational grants, so their funding from BOTA was withdrawn and they left the TAP program.

²⁰ Competition rules had to be developed, the first version of the PMT created and operationalized and integrated into applications that were distributed nationwide. Also, the TAP opportunity had to be publicized, a selection committee selected and trained, and selection/enrollment undertaken.

Number of TAP grantees	2009 appls	2009 awards	2010 apps	2010 awards	2011 apps	2011 awards	2012 apps	2012 awards	Total apps	% of Apps	Total awards	% of Awards
University students	1,575	78	1,808	208	1,986	268	1,622	136	6,991	88%	690	82%
College students	100	9	116	29	150	60	614	53	980	12%	151	18%
Total	1,675	87	1,924	237	2,136	328	2,236	189	7,971	100	841	100

Trust was also bolstered by annual publicity campaigns and coordination with the Ministry of Education, through which TAP staff made presentations about the program to Ministry regional heads and distributed applications in schools. TAP was also able to collaborate with CCT field offices and SSP grantees to distribute grant applications.

TAP educational grants were awarded to students from all regions, as can be seen through the chart below.

Number of TAP grants by regions of Kazakhstan

No	Region	2009 cohort	2010 cohort	2011 cohort	2012 cohort	Total
1	Almaty city	30	69	123	60	282
2	South Kazakhstan Oblast	13	28	35	12	88
3	Zhambyl Oblast	10	24	15	17	66
4	Kyzylorda Oblast	2	12	37	12	63
6	West Kazakhstan Oblast	5	30	13	15	63
5	Astana city	4	17	31	5	57
9	East Kazakhstan Oblast	11	13	14	7	45
8	Karaganda Oblast	6	7	14	13	40
7	Aktobe Oblast	3	7	10	18	38
10	Kostanai Oblast	1	6	7	9	23
11	Pavlodar Oblast	0	4	12	3	19
12	Akmola Oblast	0	8	7	3	18
14	Almaty Oblast	1	2	7	4	14
13	Atyrau Oblast	0	5	3	5	13
15	North Kazakhstan Oblast	1	5	0	4	10
16	Mangystau Oblast	0	0	0	2	2
	Total	87	237	328	189	841

Student Characteristics

A chart outlining key characteristics of the 841 students awarded educational grants is below. It is interesting to note the predominance of females, who comprised roughly two-thirds of all TAP students.²¹ One out of every six TAP students was an orphan.²² Half came from rural areas, and the vast majority speak Kazakh as their first language.

Total number of Grantees	841	%
Male	244	29
Female	597	71
Students with disabilities	16	1
Orphans	137	16
Students from urban areas	417	49
Students from rural areas	424	50
Kazakh as first language	738	88

Student Support

In addition to financial assistance, TAP offered recipients case-managed support. All students were assigned to a staff member at the specialist level who monitored their progress. Students residing outside of Almaty who did not exhibit academic or other problems during their studies were met by TAP staff at least four times a year. Those students with no problems who lived in Almaty met with TAP staff more frequently, at least once a month. TAP staff provided students with advice on a variety of topics: study habits, housing, budgeting stipends, follow up after workshops, and volunteer service, among others. Students that exhibited difficulties (missing classes or otherwise not demonstrating acceptable academic performance) were assigned to a high risk category. TAP staff monitored high risk grantees outside Almaty through frequent phone calls and in-person meetings, with more frequent check-ins for grantees in Almaty. Meetings were also held with student advisors and officials of academic institutions, and parents and guardians of high risk students to get their support in supporting the TAP recipient. Orphans figured prominently in the high risk category most likely due to the challenges associated with coming from a closely regulated institution to an environment where students have to be responsible for both their personal and academic lives.

Other support for TAP students is outlined below:

- TAP staff conducted visits to dormitories and student housing throughout Kazakhstan twice a year. Staff worked with university and college administrators to offer as many housing options

²¹ The predominance of young women in TAP's recipient pool reflects the demographics of higher education in Kazakhstan more broadly, where according to the national Statistics Agency, starting at age 20, there are many more females who pursue higher education degrees than males.

²² Many individuals in the "orphan" category are "social orphans". That is they actually have one or more of their parents alive, but they were abandoned and placed in orphanages. Applicants in the "orphan" category did not fill in the PMT to prove their poverty status, as the questionnaire was based on characteristics in a typical household, and state child institutions were not typical.

as possible to TAP students, and to correct any deficiencies that were observed. Where dorms were not available, students lived in rented rooms or shared flats that were also inspected.

- During the 2012-2013 academic year, BOTA rented a dormitory for students living in Almaty on a pilot basis. TAP hired a dorm monitor, and staff visited this facility weekly to check conditions and have conversations with students about day-to-day issues at their institutions and within the dormitory.²³
- TAP opened social media pages for students on Facebook and various other local platforms with helpful information posted on an ongoing basis.
- An Alumni Club was formed for TAP students in 2012 as the first set of graduates emerged from the program. The Club organized meetings and events such as tree planting and poetry competitions for graduated and continuing TAP students.
- Articles on TAP students were published on their achievements in BOTA's periodic magazine, BOTAZhan, that was distributed to all TAP students as well as CCT beneficiaries and NGO grantees.

Support for Students Graduating in 2015 and 2016

BOTA made arrangements to make payments for the 201 students who will be graduating in 2015 and the 22 students who will complete their studies in 2016.. Thus every student who was accepted as a TAP Recipient and wants to complete their studies will have the opportunity to do so, even if the field of study takes more than four years (for medical degrees for example) and even though BOTA will cease to exist as a legal entity by the first half of 2015.

There is a certain amount of risk in pre-paying student stipends and tuition costs: students could drop out for any reason; they may not budget their stipends well, which were paid in a lump sum rather than on a monthly basis; universities may not honor their agreements with BOTA (which will be liquidated) and choose not to accept these students, especially in 2016. To mitigate these risks, TAP held meetings with all continuing students and explained how the stipend should be allocated and why they are being given the lump sum payment. This has been also reinforced in written fashion with a special brochure developed and distributed to these students. TAP management has talked or met in person with relevant deans and university rectors to explain the new TAP policies and payment procedures related to closing BOTA. These meetings resulted in a reasonable level of assurance on the universities' side that they will honor the tuition pre-payment and that continuing TAP students will be well-supported from an academic advisory perspective.

3.3 TAP Results

Graduates

As mentioned above, the overriding goal of TAP was to break the cycle of poverty for young people from poor and vulnerable backgrounds by giving them access to higher education, and thus the possibility of finding a decent paying job based on their educational qualifications. It is too early to tell what the success rate of TAP's efforts in this regard will be. However, there is strong evidence to suggest that TAP

²³ At the end of that academic year it was decided not to continue the pilot because it didn't meet expectations in terms of cost and efficiency for TAP.

targeted the right students to assist with the vast majority being the first in their family to have access to university or college education. TAP monitoring data reveal that:

- **91% of TAP students are the first children in their families to obtain higher education;**
- **87% of TAP students are the first in their household to obtain higher education** (including parents);
- An average of **95% of parents/guardians of TAP students**, interviewed between 2012-2014, believed that the BOTA educational grant had increased their child's economic and personal growth potential.

Based on their academic performance, and participation in TAP workshops and community service volunteer opportunities, TAP students are well prepared to succeed academically and economically. By the end of 2014, **314 TAP graduates – 64% of all graduating students and 51.6% of all TAP graduates – were among the best in their classes academically.**

During the summer of 2014, TAP, in cooperation with BOTA's monitoring and evaluation team conducted a survey of graduates focusing on employment. The survey also looked into the value of TAP workshops and other assistance for recipients. The survey showed that as of August 2014, **62% of 2013 graduates had found gainful employment** and **30% of the TAP cohort that graduated in June 2014** had managed to find work.

In addition to TAP graduates that secured employment following the BOTA grant, **33 students** from the 2013 and 2014 classes found additional funding to allow them to **pursue graduate studies.**

	Year of Graduation			
	2011	2012	2013	August 2014
Number of graduates	4	22	125	335
Number of employed graduates	1	12	77	100
% of employed graduates	25.0%	54.5%	62.6%	30.0%
Number and (%) of TAP students pursuing graduate studies	0	0	6 (4.8%)	27 (8.1%)

Other survey findings include:

- **92% of the TAP 2013 graduates** who found jobs confirmed that they **would not have been able to find their jobs without their higher education that TAP financed.**
- **All 486 students surveyed confirmed that skills taught in BOTA trainings have been and continue to be helpful in their day-to-day lives.** Those surveyed reported that TAP trainings on budgeting and planning and problem solving were most useful. Those students with jobs ranked the employment-oriented workshops, especially solving problems in the workplace the most helpful.

- **Three quarters of students who were working and living on their own reported that the income they earned was sufficient to meet their needs.** A small percentage indicated that their salaries were sufficient to support not only themselves but their extended families as well.

Finally, as noted above, in 2011, as part of BOTA's mid-term strategy, the Board of Trustees voted to give a slight preference in the selection process to students who chose a major aligned with BOTA's mission. **As a result, a total 179 students, or 21% of all TAP grantees, pursued social sector professions** (teaching, social work, medicine, among others). To date, **16% of all graduates, or 77 students, received social sector-related degrees.**

OPM Qualitative Evaluation Conclusions on TAP

Key conclusions from Oxford Policy Management's qualitative evaluations of TAP are noted below:

- "TAP has reached some of the poorest young people from a range of the poorest regions of Kazakhstan and giving them a huge opportunity – a university education at an education establishment of their choice to study a course of their choice – which, it would appear, they almost certainly would otherwise not be able to access."
- "TAP has not only given them a great opportunity to study, but it motivates them to study hard and they have also gained confidence, social and life skills and expanded horizons from the training workshops provided by BOTA and from the community service elements of the program."
- "On the whole the application format is fit for purpose. BOTA provides a high level of support to applicants who have decided to apply."
- "The proportion of applicants who pass the proxy means test has risen from 1/3 in the 2009 round to more than 2/3 in the 2011 round, which indicates that the efficiency of targeting has significantly improved over the three rounds."
- "Outcomes of TAP... are overwhelmingly positive for those who have received the grants and are continuing with their studies. Their confidence, academic performance and plans for the future have all improved."

3.4 TAP Innovations

Three innovations that stand out for TAP are the training workshops it offered, its volunteer community service requirement, and activities to motivate students to perform at their best.

Training Workshops

Training workshops were offered twice a year, in the fall and spring semesters, and were meant to help students succeed in their studies, gain soft but important skills such as problem solving, and as graduation approached, to find a job and succeed in the workplace. No other scholarship program implemented in Kazakhstan before TAP offered this kind of training that supplemented grants to attend university or college. TAP's trainings were to help students succeed during and after their studies.

TAP's training workshops were provided regionally. During the trainings, TAP staff allocated time for students to network with each other, and for TAP staff to schedule one-on-one time with students, visit campuses, administrators, and inspect student housing. Almost all TAP senior staff who led the workshops were formerly teachers or educators who could facilitate the TAP team's understanding of student needs and keep BOTA administrative costs spent on outside trainers low.

The training workshops were all developed by the TAP team in close cooperation with IREX. The first trainings oriented TAP students on program requirements. Examples of subsequent trainings included effective communication skills, goal setting and financial management, and personal management skills. Employment-related trainings included a three-part workshop on career preparation that covered how to find a job, interview skills, among other job readiness topics. TAP also offered students training on leadership in action and problem solving and conflict resolution. All trainings received excellent feedback from grantees and graduates, who reported in a follow-up survey cited below that information and skills gained from the workshops were helpful in many ways especially in budgeting time, dealing with difficult situations, and finding a job.

Volunteering and Community Service

Another TAP innovation was the program's community service requirement. All TAP students were obligated to complete 20 hours of community service per year. Part of the student orientation focused on what community service means and how to document community service to submit to TAP staff. SSP grantees were often invited to these trainings and to discuss volunteer opportunities with their organizations, and this information was supplemented with written lists of NGOs and social institutions that provided volunteer opportunities. Students were free to choose to volunteer at any organization with a social mission as long as the organization could confirm their volunteer service. After conducting community service, students had to complete a report that listed the number of hours they volunteered and their main tasks and achievements.

For many students, the volunteer practice became one of the most important aspects of their TAP experience. They embraced the opportunity to give back to the community in return for their educational grant and experienced altruistic satisfaction in doing something that was highly appreciated by others. Most students went well beyond the expected 20-hour requirement, volunteering up to hundreds of hours. The **total hours logged by students** over the life of TAP is **over 100,000**, indicating that the average student spent 40 hours volunteering – twice the amount required. A few noteworthy volunteering efforts include:

- Aktolkyn Dauletbaeva: In her four years as a TAP student, Aktolkyn volunteered for more than 2,000 hours in Taraz, or 500 hours each academic year (25 times the TAP requirement) working with disabled children and at the Bata Ana orphanage where she assisted 135 children with mental disabilities and 70 additional children who were participating in a home-based care program. She organized events, including a summer camp program, music festival, art exhibition, and New Year's party for the children and youth with whom she worked. Ms. Dauletbaeva also became a certified trainer in MCH issues and offered training to disabled women on reproductive health.
- Bolat Aralov: Bolat volunteered for more than 1,300 hours in his four years as a TAP student at the Nusipbayev boarding school for orphans. He taught English and Turkish to fourth through seventh-grade students, worked with a school comedy club, helped the grade school students

win a citywide contest, and supported a choral group that took part in a contest broadcast on local TV.

- Alim Guldana: Alim, a TAP grantee with disabilities, spent 460 hours volunteering in a clinic for disabled adults. She helped with everyday tasks such as assisting staff with feeding patients and leading art lessons. She also volunteered in an orphanage, organizing a charity concert in cooperation with a local NGO.
- Askar Fahrislamov: Over two years as a Karaganda State Medical University student, Askar spent more than 200 hours volunteering at a home for the elderly in his village. He organized social and entertainment events and helped with repairs and improvements at the facility.

Number of Volunteer Practice Hours

Academic Year	Number of Students	Total Number of Hours	Average Number of Hours per Student
2009 - 2010	87	2,948	34
2010 - 2011	322	15,163	47
2011 - 2012	624	28,093	45
2012 - 2013	743	37,411	50
2013- 2014	575	25,709	45
Total	2,351	109,324	44

Netbook Competition

From 2010 to 2013, TAP organized an annual competition to motivate students to perform at their highest academic levels and carry out much-needed volunteer projects. TAP staff awarded netbook computers to 120 students over the three years for excellent academic results and to 15 students for impressive volunteer project reports. While TAP does not have statistics on the overall impact of the netbook competition on grades and community service for all students, anecdotal evidence demonstrates that the competition was effective in motivating many students to do their best.

V. Overall Results for BOTA

1. Strategic Objective One: Beneficiary Reach

BOTA Foundation achieved, and often surpassed, expected results in a number of areas. In its five years of work, BOTA more than doubled the number of beneficiaries it served, compared to numeric targets envisioned in the 2011 mid-term strategy. BOTA's first strategic objective was to use its resources to assist 100,000 poor children, youth, and mothers in Kazakhstan. The final number of beneficiaries served was 208,654 as highlighted below:

Sector	Maternal and Child Health		Early Childhood Development (ECD)		Child Protection (CP)		Youth Livelihoods (LLH)		TOTAL Beneficiaries	
	2011 Target	Actual by Sept 2014	2011 Target	Actual by Sept 2014	2011 Target	Actual by Sept 2014	2011 Target	Actual by Sept 2014	Total 2011 Target	Actual by Sept 2014
CCT	23,000	50,072	34,000	74,470	7,000	8,635	6,000	21,064	70,000	154,241
SSP	2,000	2,221	2,500	2,524	13,500	26,119	12,000	22,708	30,000	53,572
TAP	-	-	-	-	-	-	1,000	841	1,000	841
TOTALS	25,000	52,293	36,500	76,994	20,500	34,754	19,000	44,613	101,000	208,654

BOTA reached more than 100% of its 2011 CCT beneficiary target, SSP reached more than 78% its target, while TAP served 16% fewer beneficiaries than expected. The main reason why TAP did not achieve its target was that the target was too ambitious and assumed that new grantees would be added to the TAP pool every year through 2014. Given that BOTA should not commit to funding students longer than the end date of the BOTA program (December 2014), the Board of Trustees agreed that recruitment of new TAP students should end in 2012.

Key Factors Facilitating CCT's Expanded Beneficiary Achievement Include:

- Increase of amount available for CCT cash transfers by around 45% from the 2011 budget that planned \$39.4 million for CCT cash transfers, while by the end of the program \$56.6 million was transferred.
- In 2012, CCT expanded its implementation to three new oblasts (Zhambyl, Mangystau and Atyrau). Program staff did not anticipate the demand for CCT in those regions and how efficient the program teams and volunteers would be in signing up new beneficiaries.
- CCT employed the resources it had to maximize enrollment in places where it was active. CCT's resources included: using team members, local authorities, and volunteers to carry out an effective communication campaign about the program; efficient targeting resulting in more beneficiaries than expected – 96% of applicants passed the PMT and were included in the program.
- In some regions, 100% of all settlements were reached by CCT. This was especially true in the two pilot oblasts, Kyzylorda and Akmola, due to the length of time CCT was operational there. About 90% of all settlements were reached in Almaty Oblast by the two partner teams, 80% in Mangystau, and slightly less in other oblasts.

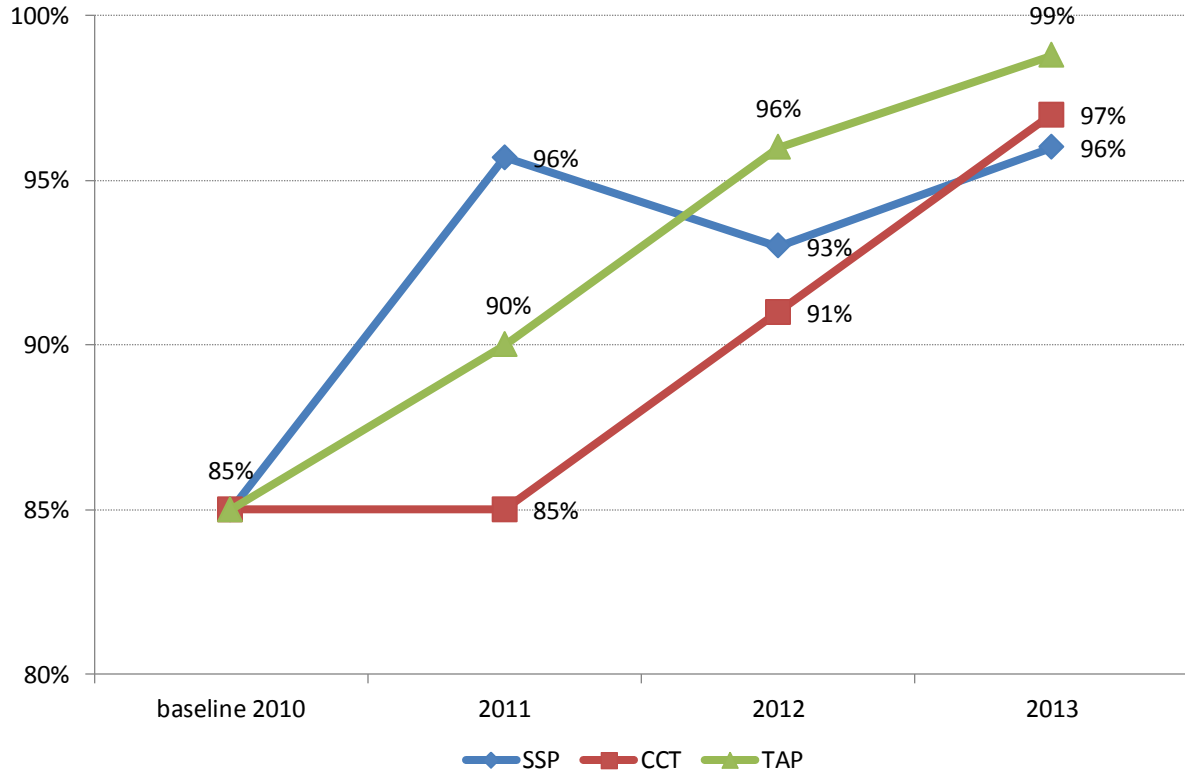
- CCT, without additional recruitment or promotional effort, was able to easily add beneficiaries within existing recipient household, including children ages four and below, mothers becoming pregnant, and youth becoming eligible for LLH support.
- Due to the extension of the BOTA MoU, CCT extended new enrollment from the planned end date of November 2013 to February 2014. Prolonged enrollment resulted in more than 10,000 new beneficiaries in six oblasts. From February to June 2014 there was no additional recruitment, but close to 9,000 new beneficiaries were added through the activation of newly eligible beneficiaries in existing households.
- As a result of CCT's distance enrollment efforts in 2012 and 2013, CCT enrolled close to 14,000 individuals – approximately 10% of the total number of CCT beneficiaries.

SSP's Ability to Assist More Than 75% More Individuals Than Planned Can Be Attributed To:

- The two most popular grant categories were youth in difficult life situations and the youth livelihood category. For grantees in both of these categories, SSP applied a common approach to project implementation by offering peer-to-peer trainings through which hundreds of beneficiaries could be reached through the same project, in contrast to more limited beneficiary numbers through ECD and MCH projects.
- SSP's grant structure allowed for renewals of the same projects from the second to fifth grant rounds. In all cases of extended projects, grantees already had experience delivering services and therefore could easily add new beneficiaries using the same tried and tested approaches.
- SSP added an eighth grant round in late 2013 that resulted in about 1,500 new beneficiaries.

2. Beneficiary Satisfaction with BOTA

The chart below describes BOTA's effectiveness and efficiency in implementing its programs. The chart depicts a weighted average of the results of grantee satisfaction surveys undertaken by BOTA's M&E team in close cooperation with the Foundation's three programs from 2010 to 2013. The results of the survey show by in large an increasing trend towards almost universal satisfaction with BOTA programs and operations on a range of dimensions. The SSP survey measured the satisfaction of end beneficiaries with the social services provided by NGO grantees. The TAP survey measured student satisfaction with training workshops. The CCT survey polled beneficiaries on their satisfaction with the timeliness and accuracy of paid cash transfers. All BOTA programs used critical feedback to improve implementation where appropriate, both from the beneficiary surveys and other sources. For example, CCT added a hotline number for beneficiaries in early 2013 to call with any issues, due to a complaint received by CCT's Almaty office about a volunteers' behavior. OPM evaluations made a series of recommendations to improve all three program's performance that were by in large implemented. Continual learning and fine-tuning of BOTA programs was a key factor in the increasing trend of beneficiary satisfaction.



3. BOTA’s Financial Management Performance

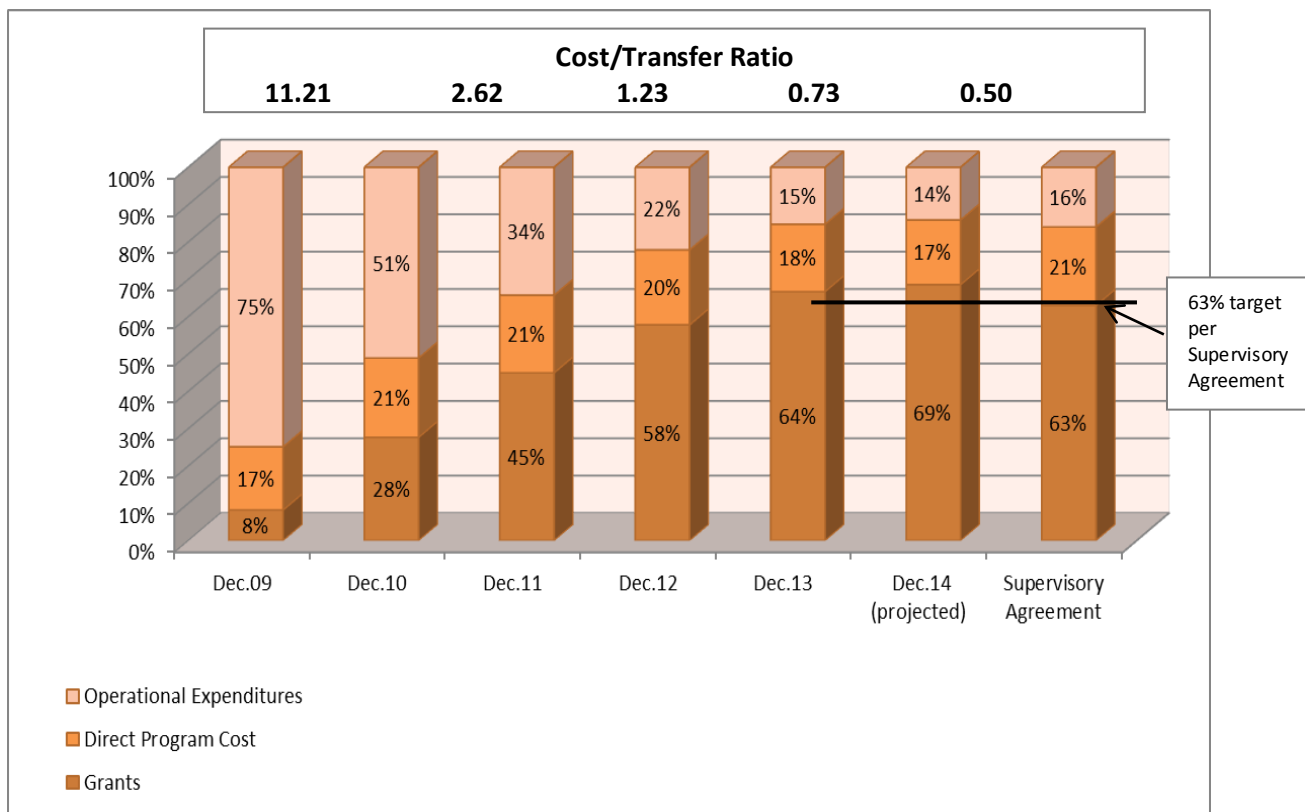
3.1 Cost Transfer Ratio

In 2011, BOTA and the World Bank agreed to a revised set of percentages for BOTA allocations for grants, direct program costs, and operational expenditures. The table below details actual percentages for these budget categories by year, along with the revised ratios from BOTA’s Supervisory Agreement:

Cost trends	Supervisory Agreement	Actual percentage between 2009 to 2014						
		2014*	2013	2012	2011	2010	2009	2009-2014 Cumulative Actuals
Category	Percent	Percent	Percent	Percent	Percent	Percent	Percent	
Grants	63%	75.5%	79%	70.8%	57.5%	37.2%	8.2%	68.2%
Direct Program Costs	21%	14.8%	14.9%	19.2%	20.5%	23.3%	16.9%	17.3%
Operational Expenditures	16%	9.7%	6.1%	10.0%	22%	39.5%	74.9%	14.5%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

As seen in the table, by the end of BOTA program, the actual percentage of BOTA funds going to the grants category exceeded its target of 63.0%, and direct program and operational costs were less than anticipated. BOTA was able to increase its operational efficiency after initially investing significant amounts of money building systems that allowed BOTA to implement its programs efficiently. BOTA also made efforts to reduce operational costs when possible. For example, in 2014, there was no annual salary increase made for staff. Also, with the introduction of a tightly controlled staff reduction plan, office space shrank proportionately, thus saving costs on rent and funds available for staff professional development.

The table below shows the cost per distribution per year divided by grants, direct program costs, and operational expenditures:



The cost transfer ratio shows the amount of funds BOTA required to distribute grants to beneficiaries and NGOs. BOTA therefore spent an equivalent of \$11.21 to distribute one dollar in 2009. By the end of 2014, BOTA’s cost transfer ratio decreased significantly to \$.046 for each dollar distributed to beneficiaries. As a result, approximately six million dollars more went directly to BOTA program beneficiaries than originally anticipated with the cost transfer ratio agreed upon in the Supervisory Agreement.

3.2 Budget Planning and Efficiency

One of the most daunting challenges that BOTA faced was spending a relatively large sum, \$115 million, in a relatively short time through social service programming. BOTA by in large was able to meet its spending targets, as illustrated in the chart below.²⁴

The size and absorptive capacity of Kazakhstani NGOs working in the social sector, and relatively small number of scholarships that were part of BOTA's design, meant that the mechanism that returned the majority of BOTA's funds was CCT. In 2013, when CCT had an average of 60,000 active beneficiaries each month, more than two million a month was being transferred from BOTA's account in cash transfers to CCT households. Given the OPM finding in 2013 that BOTA's cash transfer amount was not sufficient to have an impact in increasing household consumption, BOTA could have started the program with a larger transfer amount, and would have been able to meet its original spend down target during the timeframe of the original BOTA Program mandate.²⁵

Starting in 2011, BOTA's burn rate increased to around 95%. In the first years of operation, much of the work involved setting up systems and procedures, designing programs, and hiring and training staff. Once these tasks were complete, the Foundation's ability to have a robust budget and spend it efficiently dramatically increased.

Year	Budget Amount, in USD, in 000	Amount of Budget Spent, in USD, in 000	Burn Rate (%)
2008-2009	\$7,617	\$3,816	50%
2010	\$13,459	\$7,879	59%
2011	\$16,680	\$15,923	95%
2012	\$28,862	\$27,122	94%
2013	\$39,830	\$37,281	94%
2014	\$23,672	\$23,801 ²⁶	100%
Total		\$115,822	

By December 2014, BOTA had finished all program-related expenditures and expected to close operations with approximately \$375,000 in surplus, or about .01% of the \$115 million that was available to BOTA. The BoT and Parties agreed to transfer this surplus to UNICEF in support of their efforts to strengthen civil society organizations' effectiveness in implementing child welfare programming.

²⁴ Along with its 2013 workplan, submitted to the Parties in November 2012, BOTA requested a two year no-cost extension in order to implement its Sustainability Plan, which was concurrently submitted with the workplan. However, the Parties did not support the sustainability plan, and only approved a seven month extension of the BOTA Program from April 2014 to December 2014 to spend down remaining funds and continue assisting TAP students

²⁵ Other factors that would have contributed to an on-time spend-down of BOTA funds: if all TAP students who were accepted into the program completed their studies (instead of the approximately 15% drop out rate); if the proposition made in BOTA's 2011 Mid-term Strategy for SSP's budget to be enriched by \$10 – 20 million for grants to international organizations came to fruition (it did not); if BOTA was able to keep all of its field operations in place until the end of September 2014 – the Kyzylorda CCT program shut at the end of 2013 because of corruption problems (see lesson learned section for more details).

²⁶ At the time of preparation of this report, 2014 expenses were considered preliminary pending confirmation from independent auditors. This amount also includes the balance to be transferred to UNICEF at the end of BOTA Program. Variance between budgeted and actual expenses in 2014 arose due to reimbursements from the Kyzylorda fraud case.

VI. BOTA's Legacy

In addition to the 208,000 beneficiaries that BOTA reached, the Foundation has left behind important legacies. The impact of BOTA on graduating TAP students who find gainful employment, and indeed break the cycle of poverty within their families, will be profound. For nascent NGOs that developed into strong organizations that continue to provide vital services to their communities as a result BOTA funding and training, BOTA's legacy will be marked for years to come. CCT's creation of new systems and procedures, outside of government structures, to implement a robust cash transfer program also can be studied and adapted around the world as appropriate.

1. Potential Transformation of How Social Assistance is Delivered in Kazakhstan Based on CCT

Facilitated by the World Bank, BOTA engaged in dialogue with the Government of Kazakhstan's Ministry of Labor and Social Protection (MLSP) since 2011 on the Foundation's CCT program. The MLSP had been working with the World Bank on improving the effectiveness of its social assistance programs. After a series of meetings between BOTA, MLSP, and the World Bank, BOTA developed a proposal to the BoT and Parties for BOTA to work jointly with MLSP on its E2020 Employment Program pilot (described on page 22). Based on lessons learned from the E2020 pilot, MLSP used lessons learned from the E2020 pilot to design its Orleu program.

In a recent article,²⁷ a high ranking MLSP official explained that the E2020 pilot project encouraged citizens from poor families to be responsible for creating solutions to their family's problems thanks to CCT's model for behavior change that the pilot used. Through the pilot, the government provided families with cash transfers on the condition that recipients engage in government training programs and credit schemes, and access other government services. The pilot is now being implemented in three oblasts (East Kazakhstan, Zhambyl, and Akmola) and in 2015, will roll out to Almaty and Astana. If successful, the pilot will be introduced to the rest of the country starting mid-2016. In Zhambyl and Akmola, many of BOTA's former volunteers have been employed by the GoK to help link beneficiaries to government services as they did for BOTA's CCT program. In sum, a key portion of the Government of Kazakhstan's social assistance program will be modeled on the successes and lessons of BOTA's CCT program – one of the Foundation's most important legacies.

2. Coalition of Child and Youth Welfare NGOs

Starting at the beginning of 2014, SSP held a series of focus groups with current and former grantees on whether the work that BOTA did to strengthen social service NGOs could be carried on through the formation of a national coalition. More than **145 NGOs** took part in a series of meetings in nine cities across Kazakhstan to discuss the design of the coalition. In February 2014, 18 SSP grantees came together and formed the **National Child and Youth Welfare NGO Coalition** and agreed upon the following goal: to improve child and youth welfare in Kazakhstan. The Coalition's leaders were very interested in adopting relevant systems and procedures from BOTA for providing funding and technical support to other social service NGOs. Some of the Coalition's planned activities include:

²⁷ <http://www.time.kz/articles/territory/2014/10/02/kak-slezt-s-chuzhoj-shei>

- Coordinating the development of a child welfare roadmap for Kazakhstan with concrete annual targets and programs to meet those targets, and develop approaches that would fill gaps in child welfare assistance;
- Monitor government and NGO activities to identify issues pertaining to child welfare;
- Develop and advocate for policy changes;
- Carry out media campaigns to raise awareness of key issues and rally support;
- Consolidate Kazakhstani NGOs delivering social services to children and youth and promote the development of a sustainable market of social services for children and youth;
- Improve the quality of NGO services for children and youth through organizational- and institutional development-related activities;
- Disseminate best practices, tested approaches and the latest developments in the field of child welfare;
- Monitor, evaluate and analyze child welfare-related programs; and
- Advocate for sustainable financial mechanisms to support child welfare NGOs.

During the summer of 2014, Coalition leaders met with high level government leaders to determine if there might be support for the Coalition to continue BOTA's work. The high level officials were supportive of the Coalition and encouraged the Coalition members to formally register, which it did in November, under the name **Union of Legal Entities - For the Welfare of Children and Youth in Kazakhstan (ULE)**.

The success of the Coalition will be supported through a partnership agreement BOTA facilitated between the Coalition and UNICEF. Through this agreement, UNICEF will provide technical and financial support to the Coalition to help strengthen it institutionally. In October 2014, BOTA's Board of Trustees endorsed this partnership, and agreed in principle to transfer any remaining balance left in BOTA's bank account to UNICEF to support its child welfare programs, including building the capacity of the ULE Coalition and to finance the work that UNICEF and the Coalition undertake jointly.

3. BOTA's Trained Staff

BOTA hired and trained more than 100 local staff, with a high percentage of these at the specialist or manager level. Many of these individuals have already gone on to work for international organizations such as the World Bank, UNICEF, UNDP, and other international agencies. Others have started or joined local NGOs. For example, a new organization named Shabyt was formed by BOTA's staff from its Akmola field office. The mission of the new organization, which is already legally registered, is to improve the lives of poor people in Akmola Oblast by mobilizing local communities to solve important social problems. This new organization has already begun a project to measure the public's awareness of activities that the GoK has implemented through the E2020 program.

All former BOTA staff will take the lessons and skills gained from working with the Foundation, such as program design and implementation, and use that knowledge in their new places of employment. In this way, BOTA's legacy will endure in Kazakhstan for the foreseeable future.

VII. Lessons Learned from BOTA

There are important lessons learned from IREX's experience building the BOTA Foundation as a mechanism to repatriate disputed assets to Kazakhstan's most vulnerable citizens. These lessons are not only reflections on the BOTA experience but also serve as recommendations for future asset return processes that engage civil society. The following lessons learned are outlined below:

1. *Responsible asset repatriation via civil society is possible;*
2. *A contextually relevant mission is important;*
3. *A balance between independence from the government and collaboration with the government can be achieved;*
4. *Shared expectations and trust among partners is key; and*
5. *Preventing and/or addressing fraud requires diligence and fearlessness.*

1. Responsible Repatriation via Civil Society is Possible

With international partnership, the BOTA Foundation was able to transparently and productively repatriate over \$115 million to poor children, youth, and their families in Kazakhstan.

BOTA was established as a model foundation to repatriate disputed assets that were seized as part of a U.S. Foreign Corrupt Practice Act (FCPA) investigation. Part of the model involved being responsive to civil society leaders who had petitioned the U.S. Department of Justice to return the frozen funds to benefit Kazakhstan,²⁸ and giving civil society leaders a seat at the table, initially as local founders of BOTA and subsequently as trustees. In addition to civil society playing a role in identifying assets and contributing to the design of the mechanism, BOTA demonstrates that a civil society organization can be built with international support to return assets back to the people to whom they belong.

The BOTA example demonstrates how civil society can play a critical role in the effective return of stolen or disputed assets back to its country of origin. Civil society can be involved in all phases of the asset return process – from tracing funds, designing return mechanisms, managing or monitoring the return, and sharing their experience with other stakeholders. Throughout the process, civil society has the ability to advocate on behalf of those most affected by corruption – the poorest of the poor – and amplify their voices. Since civil society represents the interests of the people of a country, civil society's participation in the development and oversight of asset repatriation brings legitimacy, transparency, and accountability to the effort.

2. Contextually Relevant Mission

*Having a **contextually relevant mission is important** – having a mission that is compatible with the needs of the country and has the buy-in of civil society and government provides the opportunity to achieve real impact.*

²⁸ More than thirty civil society leaders signed an open letter to the DOJ entitled "Please Return our Funds" published in the "Taszhargan" newspaper, Almaty, May 9, 2007 (issue No 18).

BOTA's mission was to improve the lives of vulnerable children and youth suffering from poverty in Kazakhstan through investment in their health, education, and social welfare. This mission was aligned with the GoK's own social development priorities and the needs of poor households in Kazakhstan, and was a priority for civil society organizations in Kazakhstan. Much of BOTA's efforts were geared towards piloting new approaches and solutions to challenges associated with child welfare and also built the capacity of Kazakhstani social service providers to improve the lives of vulnerable children and youth. Despite the source of BOTA's funds and the corruption case that ensued, BOTA was able to administer its programs with little contention since all stakeholders agreed that improving the lives of poor children and youth is a priority for Kazakhstan. BOTA's innovative approaches were then supported by the GoK that eventually adopted some of BOTA's SSP grantee's best practices and is also piloting BOTA's CCT model to administer its social protection programs. In this way, BOTA was not only a vehicle to transparently repatriate assets but also a mechanism that had real development impact.

For future asset repatriation efforts it is important that the mechanisms through which the assets are returned to the public respond to a need that is shared by all stakeholders involved. A contextually relevant mission helps mitigate obstacles that may hinder a transparent asset return process and ultimately have greater impact.

3. Collaboration with the Host Government

*A **balance** between independence from the government and collaboration with the government can be achieved. The right balance creates an environment where funds can be safeguarded and impact can be gained.*

Due of concerns related to safeguarding the funds, those involved in determining how the disputed assets were returned to Kazakhstan required that the BOTA Foundation did not work with the GoK in any way. While BOTA's significant independence from the government reassured stakeholders that the assets would be safeguarded, pushing for and achieving some collaboration was important to ensure impact and sustainability. With a bit of collaboration the GoK learned from BOTA's experience testing various approaches for child welfare, and adopted BOTA's models and programs.

While the need to be independent of the Government of the Republic of Kazakhstan was born out of concern that the GoK would influence how the money was spent or even benefit from the funds, BOTA was able to effectively implement its programs and return the disputed assets to the people of Kazakhstan. For future efforts, if government support is available and not a threat to the integrity of the return process, this support can significantly improve the impact of the work.

Collaboration between government and civil society does not preclude having adequate monitoring mechanisms in place. The right balance between independence from the government and collaboration with the government should be determined on a case-by-case basis when returning assets via civil society. Particularly when the asset repatriation process seeks to have development impact, collaboration with relevant government bodies can significantly improve outcomes.

4. Governance Structure

The structure of asset repatriation mechanisms should be considered carefully and resources to support that structure should be commensurate. How many and exactly which partners are necessary should be carefully considered from both prudence and feasibility perspectives.

BOTA had a multi-tiered governance structure. An international Program Manager (IREX and Save the Children), a BoT, the World Bank, and three government Parties were responsible for ensuring that the assets were returned transparently to benefit the lives of poor Kazakhstanis. When considering the design of a governance structure for future asset repatriation mechanisms, it is important to consider the following factors:

- Is there an existing local organization that has the capacity to manage large amounts of money transparently, accountably, and efficiently?
- Are additional layers of oversight, such as an international implementer and government parties, important for political reasons? Does international involvement protect the organization returning assets from being coopted by national actors?
- Are the layers of oversight mechanisms able to efficiently monitor the return of stolen assets or are they impeding the funds from reaching the intended beneficiaries? Does each of the layers of oversight clearly understand their roles and responsibilities?
- Are there sufficient resources for each layer of oversight to effectively fulfill their roles and responsibilities?

While BOTA's governance structure was effective in safeguarding BOTA's funds and maybe even prudent given that this model of asset repatriation was being tested, IREX spent significant time and effort engaging each layer of the structure. With additional resources to respond to requests from each layer of oversight and additional resources that would enable each oversight mechanism to prioritize BOTA's needs, BOTA might not have experienced delays in receiving tranches of funds or faced other critical obstacles in implementing its programs. For future asset repatriation cases, it is therefore important to carefully consider the structure of the layers of oversight and to ensure that there are sufficient resources to support each of those layers.

5. Shared Expectations among Partners is a Must

Shared expectations and trust among partners are essential. Without this, small day-to-day operations and larger sustainability agreements are hard to reach.

Article 3.2 of BOTA's MoU states "BOTA Foundation shall be established with the intention that it continue to operate as a functioning foundation after the BOTA Program has been completed." While Article 3.2 was the basis for BOTA's second strategic objective, the three Parties did not have a shared understanding of what sustainability would mean for BOTA or how it could be realized. As a result, none of the three Parties supported BoT approved initiatives towards achieving sustainability. Had all stakeholders had a shared expectation from the beginning that BOTA would cease to exist after it spent the assets, then the resources that were devoted to ensuring that BOTA continued after 2014 could have been better spent on furthering BOTA's impact and legacies while it existed.

For future asset repatriation efforts, sustainability must be understood as a strategic, realizable goal supported by all key stakeholders from the beginning. If building a sustainable institution or having sustainable impact is secondary to returning assets back to the people of a country as transparently as

possible, then efforts should concentrate on supporting local structures that can build upon the successes and legacy of that asset repatriation process.

6. Reducing Corruption Risk

Preventing and/or addressing fraud requires diligence and fearlessness. Transparency and accountability are important above all else but corruption is always a risk. The strictest financial controls need to be in place coupled with constant monitoring to identify and address cases of fraud.

BOTA's \$115 million in disputed assets represent a sizeable amount of money and BOTA operated in a country that Transparency International 2014 Corruption Perceptions Index ranks 129 out of 175 countries.²⁹ While BOTA and IREX had a zero tolerance towards corruption, in spite of the each organization's best efforts, there were incidents of corruption, from less significant incidents such as TAP students falsifying receipts for supplies to larger-scale fraud in SSP and CCT.

In 2012, an SSP grantee in a remote area of Western Kazakhstan defaulted on a project. In this case, the grant was terminated for lack of performance and the grantee was required to return about \$10,000 in advanced funds. All attempts to recover this money did not work, and BOTA received approval from the BoT and Parties to bring a civil court case against the organization that the Foundation won. The grantee was ordered by the court to repay BOTA for its loss, including court fees, and by December 2014, almost all of the money had been recovered.

In addition to the incident of fraud in SSP, BOTA discovered a more severe incident of fraud in October 2013 in CCT's field office in Kyzylorda by BOTA's own staff in two different schemes. In the smaller of the schemes, four employees conspired to create 30 fake CCT households and collect almost \$18,000 that was sent to accounts set up by these staff. In this case, all of the stolen money was paid back almost immediately and the staff involved resigned or were fired. The second case was much larger. Two other employees set up 123 fake households and collected more than \$176,314 that these employees refused to return. With the support of all governing stakeholders, a criminal complaint was made against these individuals, and a lengthy criminal investigation ensued that resulted in arrests and a trial. Ultimately the defendants admitted their guilt, were given a provisional jail sentence, and were required to repay all lost funds to BOTA, 100% of which were received by June 2014.

As the BOTA example demonstrates, there is a need for the strictest internal controls possible based on realistic corruption risk assessments where asset repatriation takes place. A mitigation plan for any corruption risk must be in place and closely monitored, such as explicit policies encouraging staff to come forth if they suspect any kind of fraud, strong internal controls, random verifications of transactions, and ongoing audits that meet international standards. Proper systems to identify and adequately address instances of fraud are vital for any asset repatriation process to be perceived as legitimate and transparent.

²⁹ <http://www.transparency.org/cpi2014/results>

VIII. Conclusion

The BOTA Foundation successfully and transparently returned \$115 million in disputed assets to vulnerable children, youth, and their families in Kazakhstan. Returning the assets to vulnerable populations, the BOTA Foundation reached over 200,000 beneficiaries throughout Kazakhstan, enrolling 154,241 beneficiaries from 95,000 poor households in the six regions where CCT operated, distributing over 600 grants to local civil society organizations, and providing scholarships to almost 900 poor Kazakhstani youth to attend university. BOTA represents an unprecedented effort where civil society transparently repatriated a large sum of assets while also having tremendous development impact.

BOTA's legacy is significant – at the national level the GoK's adoption of BOTA's CCT model to implement its social protection programs; at the regional level government adoption of social service programs modeled by BOTA grantees; a national coalition of almost 20 NGOs that BOTA supported through SSP that will continue to advocate for child welfare-related policy change and promote best practices in the field; and the over 120 staff BOTA trained in systems, processes, and procedures that meet international standards that they will carry on to their new places of work. These legacies will help sustain the development impact that BOTA had on poor children and youth throughout Kazakhstan. The memory of BOTA as an independent, transparent foundation that served the country's most vulnerable people will serve as an important example for future institutions in Kazakhstan.

In addition to BOTA's legacy in Kazakhstan, BOTA was a successful case study of how assets can be repatriated to their country of origin via civil society. As the results from building the BOTA Foundation and implementing its three programs show, involving civil society consistently in the asset-return process provides important opportunities to rebuild trust in local institutions, provide oversight, and identify and meet the needs of citizens.

Civil society can contribute to each stage of the asset repatriation process. Civil society can conduct research, stakeholder mapping, and landscape analysis; help design asset-return mechanisms; manage or monitor the return of assets; synthesize learning and develop recommendations to inform future mechanisms; and conduct outreach and advocacy to promote the use of new knowledge in other contexts. Most importantly, civil society can advocate for citizens and amplify their voices throughout the asset-return process.

Everyone benefits when civil society is engaged from the outset. In BOTA's case, the U.S. and Swiss governments witnessed the successful return of disputed assets to poor people in Kazakhstan, the GoK learned valuable models for implementing social protection programs, child welfare organizations in Kazakhstan grew their capacity to better serve their communities, and children and youth living in poverty in Kazakhstan received much-needed services so that they can build healthier and stronger society. Involving civil society throughout the asset repatriation process therefore provides an important opportunity to repatriate assets in a way that benefits all stakeholders involved, particularly the world's most vulnerable populations who need it the most.

ANNEX ONE: OPM EVALUATION BACKGROUND AND FINDINGS³⁰

1. OPM Impact Assessment Methodology

The research team began by selecting communities in Almaty *oblast* to participate in the study. The unit for selection was the *okrug*, the smallest unit of local government administration which consists of a small group of villages headed by a mayor or *akim*. The team randomly selected 108 *okrugs* for the research, out of the 226 rural *okrugs* in the *oblast*. The *okrugs* were divided into 54 pairs, with each pair consisting of two communities that were as similar as possible to one another.

There are 262 *okrugs* in Almaty *oblast*; the remaining 36 were excluded as they are classified as urban or contain large towns or dense populations. BOTA did not work in these areas.

One member of each pair was randomly assigned to the 'treatment' group that would receive the CCT program during the survey period; the other was assigned to the 'control' group that would not receive the CCT. So there were 54 treatment and 54 control *okrugs*. This is termed a clustered randomized control trial.

At baseline the characteristics of the treatment and control groups are expected to be the same; the baseline survey itself serves as a useful check that this holds true and it can highlight any chance differences. After the CCT has operated for a year in treatment areas, any differences that are identified between the treatment and control groups may be attributed to BOTA, once any external factors have been taken into account.

Having selected the communities, the team then identified the households for interview. This entailed finding households in each *okrug* that, first, contained children of pre-school age, and second, were classified as poor according to BOTA's criteria.

The local government office of each *okrug* provided a list of children of the right age from its own administrative records that it maintains as part of its regular process of ensuring that all children are in school. In each *okrug* 72 of these households were randomly selected to be tested as to whether they met BOTA's eligibility criteria.

In some locations fewer households were interviewed because there were not 72 children of pre-school age in the *okrug*, or because there were insufficient extra households to replace any that were found to be unavailable.

An interview team then went to each household and administered BOTA's proxy means test, the short 10–15 minute test that BOTA uses to estimate whether a household is poor or not. This test determines whether a household can join the CCT. In total 6,899 households were interviewed and 5,388 of them passed the test.

Finally, of all households that passed the test, approximately 10 per *okrug* were randomly selected for the detailed baseline interview. A total of 1,173 households were interviewed, evenly split between treatment and control locations, and between boys and girls. In two-thirds of cases the child eligible for the CCT benefit (referred to below as the 'eligible child') was 4 years old; in the remaining cases the

³⁰ See <http://www.opml.co.uk/projects/external-evaluation-bota-foundations-social-sector-programmes-kazakhstan>

respondents had a 5-year-old child. This age group was targeted for the baseline survey in order to be sure that all interviewed households would still be eligible for the CCT a year later at the time of the follow-up survey. Households of six-year-olds were not interviewed at baseline because the children would soon be entering school and would cease to be eligible for the benefit.

Where possible, if the eligible child already attended pre-school the team also interviewed the director of the pre-school facility to find out about its amenities and activities.

The random assignment of communities to the treatment and control groups, and the random selection of households for interview within those communities, means that the results of the survey are statistically representative of all households in Almaty *oblast* that are eligible for BOTTA's CCT benefit for children of pre-school age for at least a year.

2. Selected Findings of the Baseline Survey

Household Characteristics:

- The average eligible household consists of about six people of whom just over three are adults and three are children under 18, of which at least one is the child eligible for the BOTTA benefit. About one in every three households includes a member of pension age.
- Almost all eligible children have both parents still alive, and nearly nine out of every 10—some 86%—still live with both of them.
- While 99% of members of eligible households are Kazakh by citizenship, the range of nationalities (ethnicities) represented is more diverse. Alongside the 82% of household members who consider themselves Kazakh other significant nationality groups include, for instance, people of Uyghur, Russian, Turkish and Azeri origin. This diversity is typical of Almaty oblast.

Support for Early Learning:

- Eligible children usually have a supportive environment at home. Almost all engage in a wide range of activities that promote learning and school readiness. Some 97% had taken part in at least four learning activities at home over the previous week, from a list including reading and writing, story-telling, counting and naming objects, singing and physical exercise.
- Almost every child—over 99%—has access to playthings at home and just under half of eligible children have at least three books suitable for their age group at home, while one in three has none at all.

Experiences of Pre-School:

- Enrollment and attendance: At baseline some 44% of eligible children were reported to have ever been enrolled in a pre-school facility. This proportion is very similar among girls and boys. The most common type of pre-school attended is the mini-centre. This is the flexible form of pre-school facility that has been set up over the last six years by the government, offering care and education for children under the age of seven for between two and 10 hours per day, and for two to seven days per week, either as part of a school or as a standalone facility. Over half (56%) of children who have ever been to pre-school have attended this type of facility. About

29% have been to the more traditional kindergarten, and 17% to a 'zero class', the part-time preparatory class that provides an introduction to school for children who have not attended kindergarten.

- The data for pre-school enrolment were the only figures in the survey where the team found that there were already very highly significant differences at baseline between treatment and control groups: nearly 48% of eligible children in treatment areas had ever been enrolled, compared with 39% in control areas. This suggested that, even though households in treatment areas had not yet started to receive cash from BOTA at baseline, they had already begun to alter their behavior in anticipation of the imminent need to comply with BOTA's conditions

Household Consumption

- More than half (59%) of individuals in households eligible for the CCT live below the level of consumption defined by the government as the 'subsistence minimum', the amount that is considered to be the minimum necessary to eat a sufficient quantity and variety of food and to cover basic non-food needs. The average eligible household has a monthly consumption of about KZT 100,000 (about \$680), of which almost two-thirds (62%) is spent on food.

Income and Employment

- More than half of adults—and over 70% of women—are outside the labor force entirely, neither working nor looking for work. This includes, for example, people who classify themselves as housewives or pensioners. Among those household members who do consider themselves to be part of the labor force a small proportion are unemployed. Some have a job on a seasonal basis, often in agriculture.

3. Impact Evaluation Results

Targeting

- In April 2012, several months after completion of the baseline survey in each *okrug*, OPM compared its list of 2,846 households known to be eligible with BOTA's database of CCT beneficiaries, to find out how many had ever enrolled. The time delay maximized the chances of capturing not only households that were reached in the first wave of enrolment in 2011 but also those that might have applied in subsequent enrolment rounds. It was found that 1,365 (48%) had enrolled onto the CCT. The implementation error of exclusion was therefore 52% of eligible households. This estimated take-up rate is within the range that is observed in the international literature for the take-up of benefits in the public sector in Europe and the United States. For example, Hernanz *et al.* note that, 'estimates typically span a range of between 40% and 80% in the case of social assistance'.
- Targeting performance (by design): Are eligible households poor? In its design BOTA's targeting process is quite effective in directing resources towards poorer households in Kazakhstan. Some 57% of people in households eligible for the CCT for children of pre-school age had a level of consumption below the 'subsistence minimum' for 2011. 55% of eligible households are in the poorest quintile nationally, and demonstrates that BOTA's targeting process is effective in distinguishing very poor from very wealthy households.

- By design BOTA's program is quite progressive, concentrating resources on poorer households. During implementation about half of eligible households are not joining the program. On average these non-joiners have higher consumption and more stable incomes than beneficiaries. For successful applicants their early experience of interaction with BOTA has largely been quite positive.

BOTA Impact on Preschool Enrolment:

- More children in pre-school: One of BOTA's main objectives for pre-school-age children is to increase enrolment and attendance at pre-school, which are conditions of receiving the transfer. The CCT has had a considerable influence here. There is a natural increase between baseline and follow-up surveys in the rate of children ever enrolled at pre-school because they are now one year older. At baseline in 2011, before BOTA had given any transfers, fewer than half had enrolled in pre-school; by the follow-up survey in 2012 this had risen to more than three-quarters (78%). BOTA has significantly affected the size of the change. In CCT areas some 84% of children have now attended a pre-school, compared with 70% in control areas.

Household Consumption

- We might expect the CCT to increase the consumption of households that receive it. However, the impact evaluation was not able to detect a significant change. This may be because the transfer is too small to be discernible compared with overall consumption. A typical household eligible for the CCT has a consumption of about KZT 93,000–94,000 (\$625) a month. BOTA's contribution of an extra \$24 per beneficiary, or slightly more for pregnant women, adds less than 4% to the total. Households who receive the CCT are not substantially changing the mix of items that they buy. The proportion of consumption that is devoted to food is quite high in both treatment and control areas, at around 57%. This is because the surveyed households are all eligible for the CCT and therefore relatively less well off.

4. Qualitative Assessments Results

Relevance of Programs

CCT: The focus on early childhood development, anemia and home care for children with disabilities has been confirmed by respondents as being relevant to the social policy challenges in Kazakhstan.

The provision of cash to low-income groups with eligible household members is found to be a relevant policy measure for many recipients. The small amounts of the cash and the relatively short period during which it is delivered may not always have a discernible poverty alleviation effect in beneficiary households. But the evaluations have noted that there is some seasonal variance with some households reporting the cash transfer as an important—or, for some, the only—source of household income during winter months if work is unavailable.

As for the imposition of conditionalities these vary in their relevance. For pre-school-age children the requirement to enroll in early education services certainly addresses an identified problem; the value of requiring an 85% attendance rate is less clear since it leads to a very large variation in the conditions that children must meet depending on whether their facility is open for four hours a week or 40. The training modules that formed part of the conditionalities for pregnant and lactating women were often

considered relevant, but more so before the birth, while for households of children with disabilities the 2012 evaluation raises questions about the relevance of the training program for this diverse group of participants who each have very specific needs.

TAP: The 2011 assessment concluded that the TAP, in the form it took from 2009-2011, was relevant in addressing lack of funding as one of the main barriers preventing young people from low income households from achieving higher education. It documented that the grant recipients felt a transformational impact from becoming a TAP scholar and also confirmed that the TAP complements the government programs and policies in higher education.

It is clear that for the TAP students from the 2009-2011 rounds, lack of funding was the major constraint to accessing a university education. Without BOTA they might have gone to college; trained in a short course that could get them into quick, if low paid, employment; attended a less prestigious local university with lower fees but of lower quality; or studied on less expensive evening courses that would take longer to complete. But most likely they would not have been able to study at all: Grantees interviewed for the 2011 study were clear that TAP had not only given them a great opportunity to study, but that it motivated them to study hard. They said they had also gained confidence, social and life skills and expanded horizons from the training workshops provided by BOTA and from the community service elements of the program. The relevance of the TAP grant to graduates from the 2009-2010 rounds has been confirmed with eight out of respondents interviewed (albeit an extremely non-representative sample) having gone on to employment or further higher education study.

Respondents to the 2012 assessment confirm, on the whole, that the TAP continues to target students from low-income households for support. The high level of relevance of the TAP that was found in the November 2011 assessment has been slightly compromised by the new focus on two-year college courses for 11th-grade school leavers and on 3rd or 4th year university students. Questions have emerged about whether the TAP is pushing students to take college courses that they otherwise would not choose or has forced students to choose two-year courses where three- or four-year courses are more typical and appropriate.

SSP: The SSP has been targeting similar beneficiary groups to the CCT but has been making interventions on the supply rather than the demand side. The SSP to date has been invested mainly in the development and replication of social services for children with disabilities, children and young people in difficult life situations and those at risk. Early childhood development services have also been supported, but to a lesser extent. Investment in the development of maternal and child health services began later, with the first grants in that sector being awarded in September 2012.

Most areas of work and target beneficiary groups considered relevant by multilateral organization key informants and NGO respondents are encompassed in the existing SSP priorities. Funding is a major constraint for NGOs and therefore the provision of funding through grants is a relevant intervention. Another constraint is lack of knowledge and expertise among NGOs that can constrain innovation and dilute impact.

Almost all NGO respondents were positive as to the usefulness of BOTA seminars and training for their work and gave specific examples of new ideas and areas of work they had had as a result of attending.

The intensive support provided by the SSP staff in the planning, application, implementation, monitoring and reporting cycle has clearly been relevant for building NGO capacity.

Efficiency and Effectiveness

Overall the qualitative evaluation has confirmed that the BOTA programs have been implemented across all three activities with high levels of effectiveness for those that receive the benefit.

The PMT as an instrument for fair and transparent inclusion or exclusion in support programs according to the low-income criteria being applied by BOTA appears on the whole to have the confidence of community members in CCT program areas that were interviewed for these studies and of TAP applicants, whether successful or non-successful.

The SSP appears to be reaching increasing numbers of vulnerable target group beneficiaries through grants to social services NGOs which are delivering more effective services. The second-round study noted a marked increase in the systematic provision of technical assistance to NGOs since the first round. Whether it is this, or the NGOs themselves, stimulating innovation, the services described by respondents during interviews for this round of the assessment reflect more interesting and complex services addressing more deep-seated social problems.

Teething problems with the language and administrative systems of the SSP have been addressed continuously and BOTA has developed a grant-making scheme that both minimizes the risks of making grants to small, inexperienced NGOs and builds their capacity to implement increasingly large grants while at the same time ensuring that larger and more experienced NGOs can expand their reach to the target beneficiaries with larger grants.

BOTA has been having a positive impact on recipients across all three activities. The SSP appears to have widened the reach of existing NGO services to target beneficiaries and to have supported the emergence of new NGOs able to meet the needs of target beneficiaries in some parts of the country.

The TAP has offered an otherwise inconceivable opportunity of accessing and completing higher education to 841 young people from low-income households across the country. This opportunity may lead to better employment opportunities upon graduation, but only a longer term evaluation can assess the full impact on the whole cohort of TAP grantees.

The CCT has offered some help in terms of small amounts of cash to tens of thousands of households and this cash appears to have been particularly important in households where income is affected by seasonal employment opportunities. The cash appears to have helped households mainly to eat more nutritious food, ensure payment for medical services and for transport to receive antenatal health services and in some cases to pay for early childhood education services where payment is required.

Where payment for kindergarten is not required, the cash has been used, among other things, to equip children with the clothes, stationery and shoes that they need for attendance at pre-school. Where delays have occurred in initial transfers to communities newly enrolled in the CCT program, savings have been spent in some cases on larger and more expensive household needs such as furniture or household equipment. All of these findings from the qualitative evaluation will be corroborated and quantified by the quantitative impact evaluation for which the results will be made available later in 2013.

Increasing demand for early education services appears to have, in some villages where the BOTA CCT program is operational, stimulated supply of these services.

The BOTA program has had some impact on attitudes and knowledge about anemia among pregnant or lactating women, but has had less impact on ensuring attendance at post-natal health services or on improving home-based care of children with disabilities. Parent training for parents of pre-school-aged children has been well received by all who have participated and they report changes in their own behaviour with their children and more positive parenting interaction.

The CCT has also created a 2,500-strong volunteer force that has been trained in interactive learning methods for adults.

Sustainability

The BOTA program was never designed to be sustainable beyond the planned five-year delivery period, but the studies nevertheless suggest several possible future roles in the Kazakhstan social policy environment focused on vulnerable children and young people that build on the existing program.

The volunteers represent a potential force for community development and public policy implementation as they can carry key public policy messages and have been trained to mobilize community action. The volunteer force could similarly play a valuable role in community needs assessments and research that can inform social policy.

BOTA could develop a role as an independent monitoring / accreditation / training body for children's NGOs that are developing and delivering social services for the government. There is also the potential for a role as a broker between the corporate sector wanting to develop corporate social responsibility programs and NGOs able to reach vulnerable groups and ensure they benefit from such funding.

The TAP has the potential to be a program of interest to large corporate employers and therefore could be sustainable for a small number of grants with private raised funding.

The PMT has the potential to be of use to the government in fine-tuning and targeting its social assistance programs.

ANNEX TWO – BOTA’S RESULTS MONITORING FRAMEWORK

Achievement of Targets

BOTA used a results monitoring framework (RMF) which included objectives to be achieved, indicators to measure progress toward achieving each objective, and established targets (i.e., planned achievement) for each indicator which BOTA was to accomplish by the end of 2014. The following section uses charts to present the comparison of planned (i.e., target) with actual achievements for the CCT, SSP and TAP Programs.

In the charts, the blue bar represents what was achieved overall (not by year) and the red line represents the planned target to be achieved by the end-of-project. Three categories are used to report the difference between achievement (actual) and target (planned):



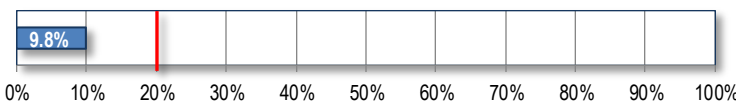
- (1) **Achievement Missed Target**, which includes indicators where achievement was less than the target by more than 10%;
- (2) **Achieved Target**, which includes indicators where achievement was within +/-10% of the target; and
- (3) **Achievement Exceeded Target**, which includes indicators where achievement exceeded the target by 10% or more.

Numbers in the indicator box (i.e., #40 below) refer to the indicator number within BOTA’s RMF. They are not sequential in the presentation below, because they are separated by the respective BOTA programs and grouped within each program according whether the indicator target was missed, achieved or significantly exceeded. Explanations are provided if targets were missed or significantly exceeded.



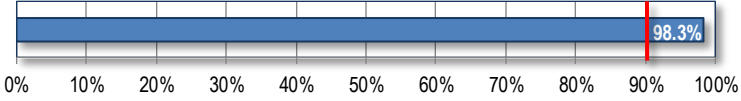
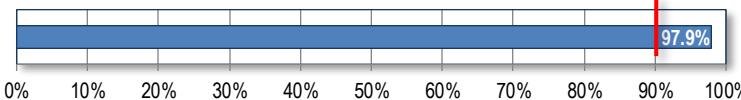
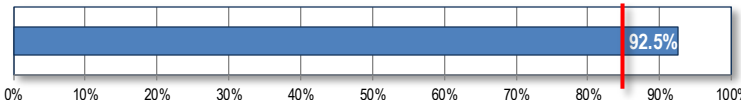
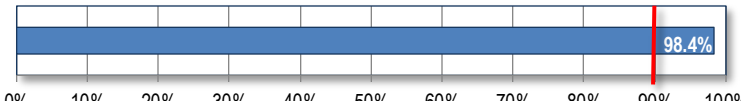
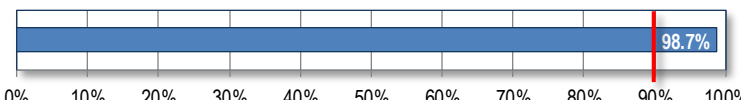
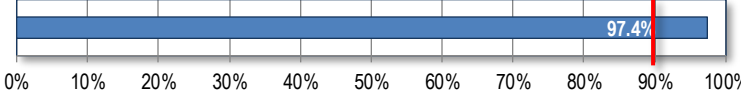
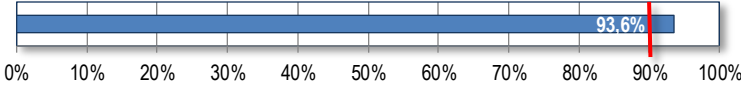
Conditional Cash Transfer (CCT) Program

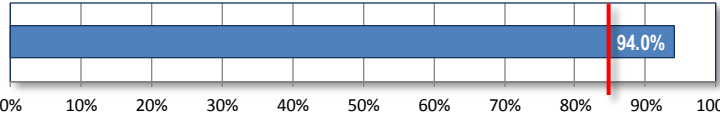
Below are charts showing achievement and the planned target for the **13** indicators used by the CCT Program to measure progress toward accomplishing objectives. Based on the criteria mentioned above, **8%** (or **1**) of the indicators missed the target and **92%** of the indicators were either achieved (**8** or **61%**) or exceeded (**4** or **31%**) the target.

Achievement Missed Target (1 or 8% of the 13 CCT indicators)



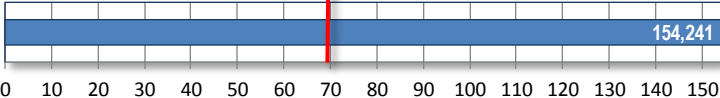
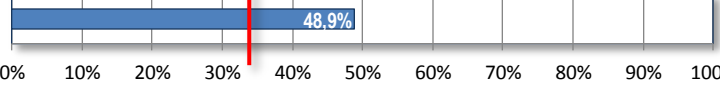
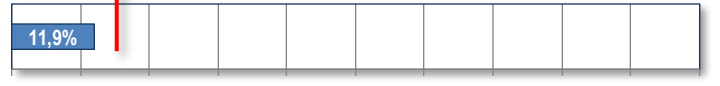
Intermediate Result	Indicator	Acheivement  vs. Target 
Improved home based care of targeted disabled children	Increased knowledge of targeted parents who completed the entire course on HBC best practice (#40).	 <p>Years: 2012 – 2013 Achieved: 9.8% Target: 20%</p> <p>Explanation: Though CCT created positive impact on this category, reflected in many success stories, where parents changed their behavior and daily care patterns and kids had improvements in their health status, it was hard to measure through a standard test of knowledge increase in this category.</p>

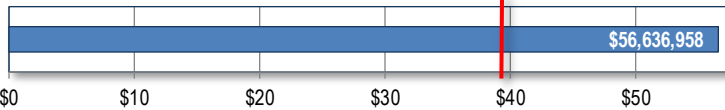
Achieved Target (8 or 61% of the 13 CCT indicators)

Intermediate Result	Indicator	Acheivement  vs. Target 
Successful household targeting system established.	% of enrolled poor PLWs who meet satisfactory ante/post natal care health visits requirements (#1).	 <p>Years: 2012 – 2014 Achieved: 98.3% Target: 90%</p>
Targeted women and children beneficiaries of the BOTA core programs will demand and have access to maternal and child health services.	% of enrolled poor PLW who meet conditionality for health education sessions (#2).	 <p>Years: 2012 – 2014 Achieved: 97.9% Target: 90%</p>
Targeted poor young children of the BOTA core programs will demand and have increased access to governmental and non-governmental early childhood development services.	% of enrolled poor children 4 – 6 years of age who meet satisfactory ECD center attendance (#9).	 <p>Years: 2012 – 2014 Achieved: 92.5% Target: 85%</p>
Targeted poor, vulnerable and disabled children and youth of the BOTA core programs will demand and have increased access to child protection services.	% of enrolled poor HHs with disabled children who meet conditionality on participation in CCT HBC trainings (#14).	 <p>Years: 2012 – 2014 Achieved: 98.4% Target: 90%</p>
Targeted youth of the BOTA core programs will demand and have increased access to education and skills training for livelihoods, employment and civic engagement.	% of enrolled out-of-school youth from poor HH who meet conditionality on participation in CCT's LLH training program (#18).	 <p>Years: 2012 – 2014 Achieved: 98.7% Target: 90%</p>
Successful household targeting system established.	% of poor HHs accepted in CCT out of all applicants (#32).	 <p>Years: 2012 – 2014 Achieved: 97.4% Target: 90%</p>
Effective, accountable and transparent payment systems implemented.	% of cash transfer to beneficiaries received correctly and on time (#34).	 <p>Years: 2012 – 2014 Achieved: 93.6% Target: 90%</p>

<p>Effective, accountable and transparent payment systems implemented</p>	<p>% of beneficiaries who are "satisfied" that BOTA's cash transfers were done correct and timely (#35).</p>	 <p>Years: 2012 – 2013 Achieved: 94% Target: 85%</p>
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Achievement Exceeded Target (4 or 31% of the 13 CCT indicators)



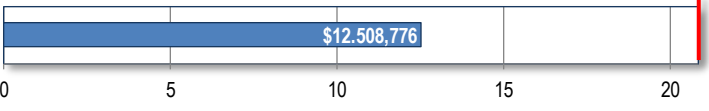
Intermediate Result	Indicator	Achievement  vs. Target 
<p>Successful household targeting system established.</p>	<p># beneficiaries included in the BOTA CCT program (in Thousands) (#31).</p>	 <p>Years: 2010 – 2014 Achieved: 154,241 Target: 70,000</p> <p>Explanation: Exceeded because target reflected minimum expectation of beneficiaries served according to amount available for CCT program grants in the Supervisory Agreement. Other reasons of doubling the number of CCT beneficiaries were:</p> <ol style="list-style-type: none"> 1) Increasing demand and trust for CCT by local administration and the community; 2) Increasing funds for CCT grants from amounts that couldn't be utilized by SSP and TAP; 3) Efficient targeting system, innovative tools and approaches, such as MIS, PMT, case management approach, which increased the effectiveness of the program and allowed to reach more beneficiaries at a lower cost; 4) Expansion of CCT on 3 new oblasts in 2012 after successful piloting in other 3 oblasts; 5) Rapid response to the demand for the program through the activation of beneficiaries in existing HHs, adding of new beneficiaries because of changes in HH composition, distance enrollment in remote settlements; 6) Effective management of enrollment process, setting indicators for each team, the extension/prolongation of the enrollment or suspension as needed;
<p>BOTA efficiently and effectively implements programs.</p>	<p>% of funds disbursed for program grants relative to the indicative percentages allocated in the Supervisory Agreement (#23).</p>	 <p>Years: 2010 – 2014 Achieved: 48.9% Target: 34%</p> <p>Explanation: According to Supervisory agreement it was assumed that 70% of funds will be disbursed for program grants and 30% for direct program costs. Actually 80% of funds disbursed for program grants and 20% for direct program costs.</p>
<p>BOTA efficiently and effectively implements programs.</p>	<p>% of funds disbursed for direct program costs relative to the indicative % allocated in the Supervisory Agreement (#23).</p>	 <p>Years: 2010 – 2014 Achieved: 11.9% Target: 14%</p> <p>Explanation: Spending less on non grant activities should be considered as success.</p>

<p>BOTA efficiently and effectively implements programs.</p>	<p>CCT dispersed (millions USD) (#25).</p>	 <p>Years: 2010 – 2014 Achieved: \$56,636,958 Target: \$39,379,480 Explanation: Exceeded because target reflected amount available for CCT program grants in the Supervisory Agreement (\$39,379,480). In fact, \$56,636,958 have been disbursed through CCT due to increasing number of beneficiaries. CCT was the key instrument to reconstitute most of BOTA's available assets and in comparison with other BOTA programs CCT was more flexible in disbursement of any additional funds due to effective program management, including strong management of CCT program activity (enrollment, monitoring, verification, delivery of bank cards etc.) and administrative-finance activity.</p>
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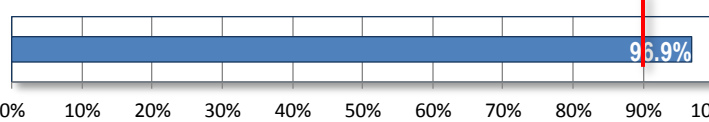
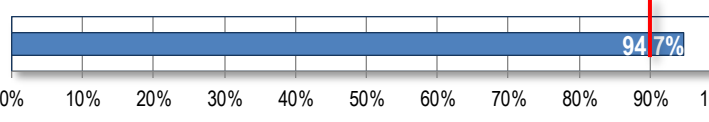
Social Services Program (SSP) Achievements

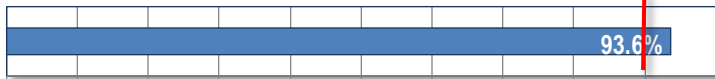

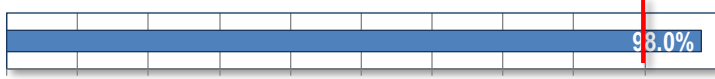
Below are charts showing achievement and the planned target for the 16 indicators used by the SSP Program to measure progress toward accomplishing objectives. Based on the criteria mentioned above, (1 or 6%) of the 16 indicators missed the target and 94% were either achieved (5 or 31%) or exceeded (10 or 63%) the target.

Achievement Missed Target (1 or 6% of the 16 SSP Indicators)



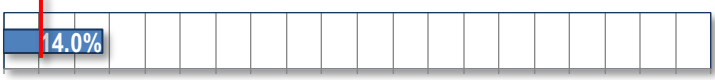
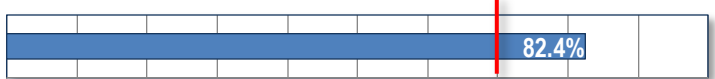
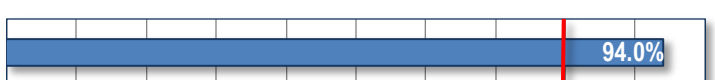
Intermediate Result	Indicator	Achievement  vs. Target 
<p>BOTA efficiently and effectively implements programs.</p>	<p>SSP grant amount committed (in millions USD) (#25). Target: \$20,847,960</p>	 <p>Years: 2011 – 2014 Achieved: \$12,508,776; Target: \$20,847,960 Targets were based on BOTA's 2011 Mid-term Strategy which envisioned that SSP would make grants of \$10 – 20 million to international organizations to improve child welfare in Kazakhstan. This idea was subsequently not pursued because it was surmised that international organizations would not be more efficient than local NGOs in improving the situation in Kazakhstan, and the latter group was already being assisted by BOTA.</p>

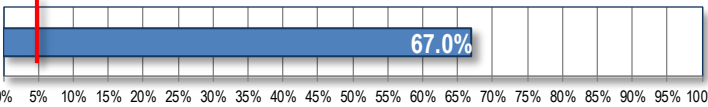
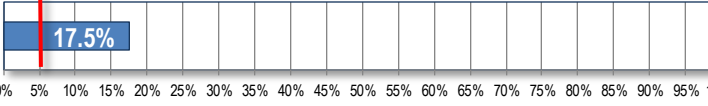
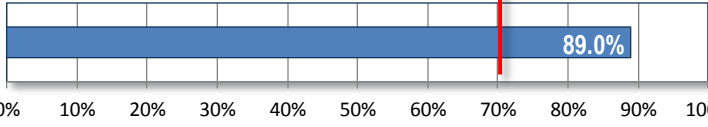
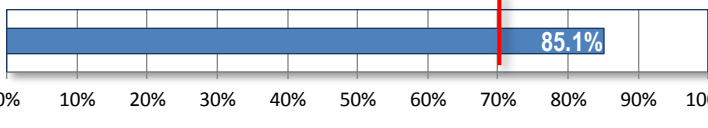
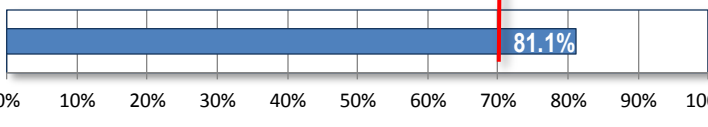
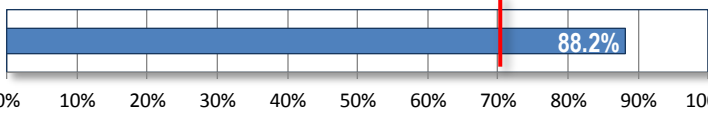
Achieved Target (5 or 31% of the 16 SSP Indicators)

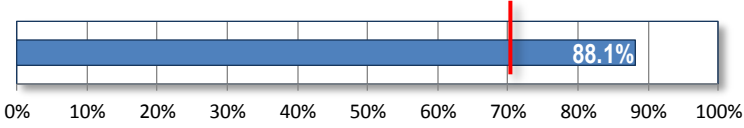
Intermediate Result	Indicator	Achievement  vs. Target 
<p>Targeted poor young children of the BOTA core programs will demand and have increased access to governmental and non-governmental early childhood development services.</p>	<p>% of beneficiaries expressing satisfaction (meeting needs, availability and accessibility) with ECD services received from NCO grantees(#11).</p>	 <p>Years: 2011 – 2013 Achieved: 96,9% Target: 90%</p>
<p>Targeted poor, vulnerable and disabled children and youth of the BOTA core programs will demand and have increased access to child protection services.</p>	<p>% of beneficiaries expressing satisfaction (meeting needs, availability and accessibility) with CP services received from NGO grantees(#15).</p>	 <p>Years: 2011 – 2013 Achieved: 94,7% Target: 90%</p>

<p>Targeted youth of the BOTA core programs will demand and have increased access to education and skills training for livelihoods, employment and civic engagement.</p>	<p>% of beneficiaries expressing satisfaction (meeting needs, availability and accessibility) with youth services received from NGO grantees (#19).</p>	 <p>Years: 2011 – 2013 Achieved: 93,6% Target: 90%</p>
<p>Targeted youth of the BOTA core programs will demand and have increased access to education and skills training for livelihoods, employment and civic engagement.</p>	<p>% increase of new Youth services (#20).</p>	 <p>Years: 2011 – 2014 Achieved: 7,5% Target: 5%</p> <p>Explanation: Due improvements in strategies and targeting grantees were able to expand service and introduce the new tools and methods;</p>
<p>BOTA efficiently and effectively implements programs.</p>	<p>Grant Performance (#24).</p>	 <p>Years: 2011 – 2014 Achieved: 98% Target: 90%</p> <p>Explanation: individual support to all grantees (grant seminars, counseling, sait-visits)</p>

Achievement Exceeded Target (10 or 63% of the 16 SSP Indicators)

Intermediate Result	Indicator	Acheivement  vs. Target 
<p>Increased access and scope of nongovernmental ECD services, especially in rural areas for targeted children.</p>	<p>% increase of new ECD services(#12).</p>	 <p>Years: 2011 – 2014 Achieved:14% Target: 5%</p> <p>Explanation: 2012-2014 grantees -previously implemented projects with the support of BOTA, it led to implementation of holistic approach in service provision, grantees were able to expand services, introduce the new tools and methodic; grantees involved parents in project implementation and there were particular educational services for parents</p>
<p>Increased access and scope of nongovernmental ECD services, especially in rural areas for targeted children.</p>	<p>Improved alpha-numeric knowledge of ECD kids in % (#38).</p>	 <p>Years: 2012 – 2014 Achieved: 82,4% Target: 70%</p> <p>Explanation: Exceeded because target reflected minimum expectation of knowledge gained (e.g., "C" grade) while NGO grantee efforts resulted in n "A grade".</p>
<p>Targeted women and children beneficiaries of the BOTA core programs will demand and have access to</p>	<p>% of beneficiaries expressing satisfaction (meeting needs, availability and</p>	



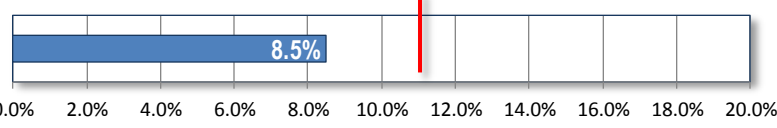
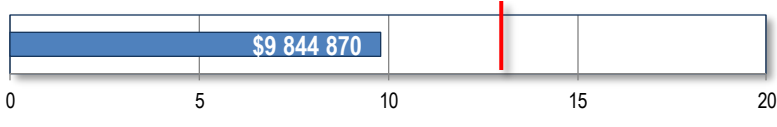
maternal and child health services.	accessibility) with MCH services received from NGO grantees(#5).	<p>Years: 2013 Achieved: 94% Target: 80%</p> <p>Explanation: MCH sector area was introduced in May 2012; it was not included into beneficiaries' satisfaction survey in 2012.</p>
Targeted women and children beneficiaries of the BOTA core programs will demand and have access to maternal and child health services.	% increase of new MCH services (#6).	 <p>Years: 2012 – 2014 Achieved: 67% Target: 5%</p> <p>Explanation: MCH sector area was introduced in May 2012 so all services were generally new. Except this increase was due to specific regional needs in Aktobe, South Kazakhstan and , Zhezkazgan where lack of MCH services identified and satisfied by grantees</p>
Targeted poor, vulnerable and disabled children and youth of the BOTA core programs will demand and have increased access to child protection services.	% increase of new CP services(#16).	 <p>Years: 2011 – 2014 Achieved: 17,5% Target: 5%</p> <p>Explanation: 2012-2014 grantees -previously implemented projects with the support of BOTA, it led to implementation of holistic approach in service provision, grantees were able to expand services, introduce the new tools and methodic; grantees used peer to peer approach. Intensive technical assistance was provided by BOTA</p>
Increased knowledge of MCH issues by targeted women through NGOs.	Increased knowledge of targeted women on MCH best practice (#37).	 <p>Years: 2013 – 2014 Achieved: 89% Target: 70%</p> <p>Explanation: Exceeded because target reflected minimum expectation of knowledge gained (e.g., "C" grade) while NGO grantee efforts resulted in n "A grade".</p>
Increased parental involvement in ECD for target group.	Increased knowledge of targeted parents on ECD in % (#39).	 <p>Years: 2012 – 2014 Achieved: 85,1% Target: 70%</p> <p>Explanation: Exceeded because target reflected minimum expectation of knowledge gained (e.g., "C" grade) while NGO grantee efforts resulted in n "A grade".</p>
Increased knowledge and improved community-based care options for targeted institutionalized children through family-reunification and alternative family care services.	Increased knowledge on CP by trained parents in % (#41).	 <p>Years: 2012 – 2014 Achieved: 81,1% Target: 70%</p> <p>Explanation: extensive technical support was provided to all CP grantees</p>
Improved knowledge or practice of livelihood skills, attitudes, and behaviors by targeted	Increased self-esteem of youth in DLS (#42).	

youth.		<p>Years: 2012 – 2014 Achieved: 88,2% Target: 70%</p> <p>Explanation: Most of grantees increasingly use professional psychological support and coaching programs to support youth.</p>
Improved knowledge or practice of livelihood skills, attitudes, and behaviors by targeted youth.	Increased knowledge of trained youth on livelihood (#44).	 <p>Years: 2012 – 2014 Achieved: 88,1% Target: 70%</p> <p>Explanation: Almost all grantees used peer to peer approach; introduced tutorship program; on job coaching introduced by many grantees.</p>

Tuition Assistance Program (TAP) Achievements

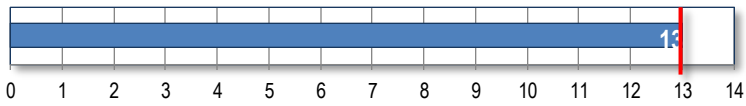
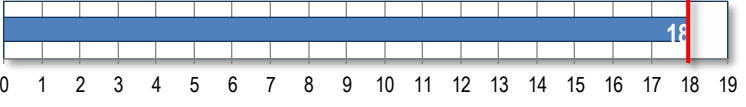
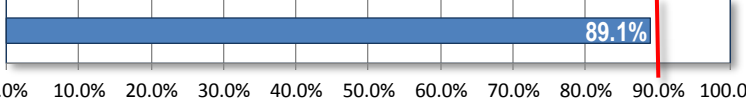
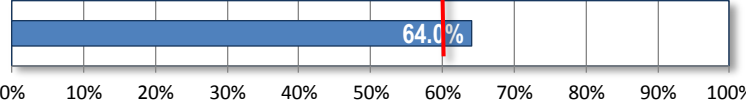
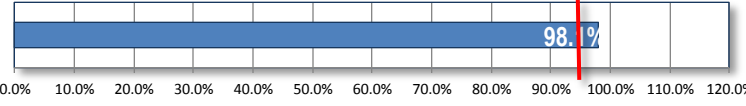
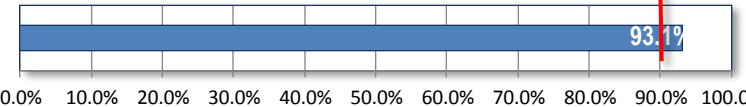
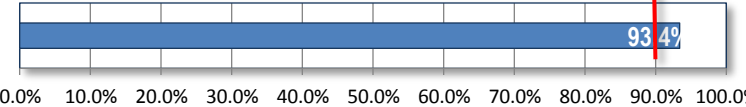
Below are charts showing achievement and the planned target for the 13 indicators used by the TAP Program to measure progress toward accomplishing objectives. Based on the criteria mentioned above 15% (or 2) of the indicators substantially missed the target and 85% were either achieved (8 or 62%) or substantially exceeded (3 or 23%) the target.

Achievement Missed Target (2 or 15% of the 13 TAP Indicators)

Intermediate Result	Indicator	Acheivement  vs. Target 
BOTA efficiently and effectively implements programs.	Total funds cumulative funds disbursed for TAP beneficiary grants (#23, G).	 <p>Years: 2011 – 2014 Achieved: 8,5% Target: 11,0%</p> <p>Explanation: There were scholarship holders leaving the program before they received their degree.. In 2012 the program enrolled students who were in 3rd and 4th academic years in their higher education institutions, as well as those who applied to colleges for 2 years of study. So, some scholarship holders studied in the program only one year.</p>
BOTA efficiently and effectively implements programs.	Grant amount committed (in millions USD) (#25).	 <p>Years: 2011 – 2014 Achieved: \$9 844 870 Target: \$12 740 420</p> <p>Explanation: There were scholarship holders leaving the program before they received their degree. In 2012 the program enrolled students who were in 3rd and 4th academic years in their higher education institutions, as well as those who applied to colleges for 2 years of study. So, some scholarship holders studied in the program only one year.</p>

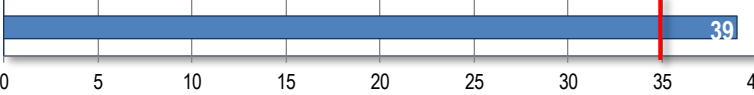
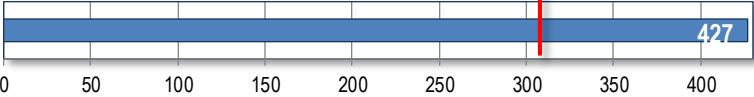
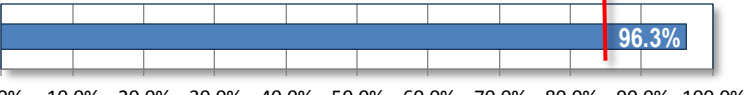

Achieved Target (8 or 62% of the 13 TAP Indicators)

Intermediate Result	Indicator	Acheivement  vs. Target 
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<p>Targeted women and children beneficiaries of the BOTA core programs will demand and have access to maternal and child health services.</p>	<p>Number of TAP graduates received diplomas related to Maternal Child Health (#7).</p>	 <p>Years: 2013 – 2014 Achieved: 13 Target: 13</p>
<p>Targeted poor, vulnerable and disabled children and youth of the BOTA core programs will demand and have increased access to child protection services.</p>	<p>Numbers of TAP graduates received diplomas related to Child Protection (#17).</p>	 <p>Years: 2013 – 2014 Achieved: 18 Target: 18</p>
<p>Targeted women and children beneficiaries of the BOTA core programs will demand and have access to maternal and child health services.</p>	<p>% of TAP recipients studying in MCH area with good academic performance (#8).</p>	 <p>Years: 2011 – 2014 Achieved: 89,1% Target: 90%</p>
<p>Successful household targeting system established.</p>	<p>% of poor students accepted in TAP out of applicants (#32).</p>	 <p>Years: 2011 – 2014 Achieved: 64% Target: 60,0%</p>
<p>Effective, accountable and transparent payment systems implemented.</p>	<p>% of TAP students reporting to be satisfied or very satisfied with transfer system (#35).</p>	 <p>Years: 2011 – 2014 Achieved: 98,1% Target:: 95%</p>
<p>BOTA efficiently and effectively implements programs.</p>	<p>Student retention rate (#26).</p>	 <p>Years: 2011 – 2014 Achieved: 93,1% Target: 90%</p>
<p>BOTA efficiently and effectively implements programs.</p>	<p>% of TAP recipients expressing satisfaction and/or increase of knowledge due to BOTA workshops (#27).</p>	 <p>Years: 2011 – 2014 Achieved: 93,4% Target:: 90%</p>

Achievement Exceeded Target (3 or 23 % of the 13 TAP Indicators)

Intermediate Result	Indicator	Acheivement  vs. Target 
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<p>Targeted poor young children of the BOTA core programs will demand and have increased access to governmental and non-governmental early childhood development services.</p>	<p>Number of TAP graduates received diplomas related to Early Childhood Development (#13).</p>	 <p>Years: 2012 – 2014 Achieved: 39 Target: 35 Explanation: Exceeded because graduate targets by social sector set in 2011 and in 2012 during the last TAP enrollment there were more ECD students that joined than expected.</p>
<p>Targeted youth of the BOTA core programs will demand and have increased access to education and skills training for livelihoods, employment and civic engagement.</p>	<p>Numbers of TAP recipients receive graduation diplomas (#21).</p>	 <p>Years: 2011 – 2014 Achieved: 427 Target: 307, Explanation: Exceeded target because targets for expected graduates were established in 2011, while in 2012 the BOARD approved the new strategy to help 3rd and 4th year students complete their studies, so TAP increased its pool of students who would graduate during the life of the program.</p>
<p>Successful household targeting system established.</p>	<p>% of TAP recipients and guardians with increased sense of personal and academic opportunities for youth and families from poor families (#33).</p>	 <p>Years: 2012 – 2014 Achieved: 96,3% Target: 85% Explanation: Exceeded target, however, not all parents and/or guardians were reached to assess their attitude toward the value of TAP educational grant, but all (100%) of those reached were positive about its value.</p>
<p>BOTA efficiently and effectively implements programs.</p>	<p>Total funds cumulative funds disbursed for TAP direct program costs (#23, DPC).</p>	 <p>Years: 2010 – 2014 Achieved: 2,4% Target: 3% Explanation: When TAP started conducting the program workshops in the premises provided by universities free of charge, the money were spared which previously were used for renting training rooms. Also, this positive trend, savings in Direct Program Costs, was achieved due to tenge devaluation; 5% of inflation rate allocated in the budget; due to time lag between employee resignation and hiring new employee.</p>