



# Operations Manual

## Regional Disaster Vulnerability Reduction Project

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## ABBREVIATIONS AND ACRONYMS

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AG	Accountant General
APL	Adaptable Program Loan
BRAGSA	Buildings, Roads and General Services Authority
CAPRA	Central American Probable Risk Assessment
CCRIF	Caribbean Catastrophe Risk Insurance Facility
CDB	Caribbean Development Bank
CPD	Central Planning Division
ECD	Eastern Caribbean Dollars
EA	Environmental Assessment
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EOI	Expression of Interest
FMS	Financial Management System
GDP	Gross Domestic Product
GFDRR	Global Fund for Disaster Risk Reduction
GOSVG	Government of Saint Vincent and the Grenadines
GPN	General Procurement Notice
IBRD	International Bank for Reconstruction and Development
ICB	International Competitive Bidding
IDA	International Development Association
IFR	Interim Financial Report
MoARTFF	Ministry of Agriculture, Rural Transformation, Forestry and Fisheries
MoE	Ministry of Education
MoFEP	Ministry of Finance and Economic Planning
MoHILPP	Ministry of Housing, Informal Human Settlements, Lands and Surveys and Physical Planning
MoTW	Ministry of Transport and Works
NCB	National Competitive Bidding
NEMO	National Emergency Management Office
OECS	Organization of Eastern Caribbean States
PAD	Project Appraisal Document
PPCR	Pilot Programme for Climate Resilience
PS	Permanent Secretary
PSIPMU	Public Sector Investment Programme Management Unit
RDVRP	Regional Disaster Vulnerability Reduction Project
RFP	Request for Proposals
RFQ	Request for Quotations
RPF	Resettlement Policy Framework
SBD	Standard Bidding Documents
SCF	Strategic Climate Fund
SDR	Special Drawing Rights
SDS	Social Development Specialist
SOE	Statement of Expenditures

SPN  
TOR  
UNDP

Specific Procurement Notice  
Terms of Reference  
United Nations Development Program

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## SECTION 1 – INTRODUCTION

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The Government of St. Vincent and the Grenadines (GOSVG) has signed the following agreements with the International Development Association (IDA)<sup>1</sup> to finance the Regional Disaster Vulnerability Reduction Project (RDVRP):

1. Grant Agreement – SCF-PPCR Grant Number TF010206
2. Loan Agreement – SCF-PPCR Loan Number TF010207
3. Credit Agreement – 4986-VC<sup>2</sup>

The project is estimated to cost US\$20.92 million and is 100% Bank funded with no co-financing involved.

The Operations Manual has been prepared as a guide to the Government, including staff of the Central Planning Division (CPD) and Line Ministries, on the nature and scope of project implementation and the functions and responsibilities of these entities under the Agreements.

The objectives of the manual are to:

- a) enable stakeholders to understand the scope, content, organization, and activities of the Project;
- b) indicate the performance expected of the management, operating, and support staff;
- c) ensure that the requirements for transparency, equity, compliance and accountability are met; and
- d) guide the operations of the functions to be performed under the Project to ensure consistency, timeliness and accuracy.

### Central Coordinating Entity

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The Central Planning Division (CPD) within the Ministry of Finance and Economic Planning (MoFEP) will be the Project’s main coordinating body. The Agreements require that the CPD with functions, staff and responsibilities satisfactory to the Bank, be maintained throughout the life of the Project for the purposes of: (A) processing documentation required for disbursement of the funds; (B) procuring goods, works and services under the Project; and (C) preparing and maintaining records, accounts and financial statements referred to in the Agreements; (D) coordination and implementation of the Project; and (E) monitoring and evaluation of the Project.

This Operations Manual draws upon several documents:

- a) Grant Agreement – SCF-PPCR Grant Number TF010206
- b) Loan Agreement – SCF-PPCR Loan Number TF010207

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<sup>1</sup> In this Manual the ‘Bank’ is used to denote IDA.

<sup>2</sup> For the purposes of this Operations Manual these three agreements will be referred to collectively as “the Agreements”

- c) Credit Agreement – 4986-VC
- d) the Project Appraisal Document (PAD) issued by the Bank (Report No. 61650-LAC)
- e) Publications of the Bank on such matters as procurement of goods and services, disbursement and accounting requirements and implementation and completion reports

## Country Background

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St. Vincent and the Grenadines consists of 32 islands covering a total of 389 square km, with a total population of approximately 106,000<sup>3</sup>. St Vincent, the northernmost island, is the country's commercial and political centre, accounting for 90 percent of both the land area and population.

According to the 2010 National Accounts, the Gross Domestic product of SVG was US\$ 583 million. SVG has a poverty headcount index of about 30.2 percent as of 2007/08 and an estimated unemployment rate of 21 percent. St. Vincent and the Grenadines ranks 91<sup>st</sup> out of 182 countries on the 2007 United Nations Development Program (UNDP) Human Development Index.

SVG is exposed to a range of natural hazards. Most common are hazards stemming from weather-related phenomena such as winds, rainfall, hurricane and drought. The islands experience an annual hurricane season from June to November, followed by a dry season from December to May.

## Project Background

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St. Vincent and the Grenadines (SVG) is among the most disaster-prone countries in the world. Annual hurricanes exacerbated by the effects of climate change and combined with less frequent but devastating geological events, adversely affect the pace of growth and development. In response, disaster management has been accorded priority on the national agenda. While local and sub-regional data are presently not available to fully evaluate the specific effects of climate change for SVG, global and regional data indicate that rising sea levels and changes in storm patterns are altering the country's risk profile. The effects of climate change are already evident in many parts of the country with storm activity continuing to denude exposed coastlines and negatively impact on development. The situation is only expected to worsen given SVG's high vulnerability to the effects of global warming and associated impacts.

Despite investments to enhance its response capacity and progress in understanding disaster vulnerabilities, SVG continues to face high levels of risk associated with natural hazards and a changing climate. In particular, ageing public infrastructure in sectors such as health, education, water, and roads creates very high levels of vulnerability. Recently, intensifying storms and rainfall concentration have exacerbated existing hazard patterns and have caused significant and consistent damage to infrastructure, including housing, road networks, schools, hospitals, and utilities (water, electricity & telephone). The resulting impacts significantly affect human welfare, national economic activities, property, and natural resources.

To reduce the adverse effects of natural phenomena, there is a continued need to rebuild damaged infrastructure with more resilient structures while ensuring that new buildings are constructed to

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<sup>3</sup> 2001 Population and Housing Census

higher standards in line with the international building codes (IBC). In addition, these actions will be supplemented with more comprehensive disaster risk reduction measures, such as preventative maintenance, appropriate zoning, hazard mapping, establishment and enforcement of construction codes, disaster information mechanisms, and flood and landslide mitigation. Thus far, interventions range from contribution to financing of the Caribbean Catastrophe Risk Insurance Facility (CCRIF), to rebuilding damaged infrastructure resulting from high winds, storm surges and flooding.

In addition to these interventions, several national agencies have undertaken some risk reduction activities with the development of disaster preparedness and response investments. Most of these activities have focused on the development of national disaster plans, the establishment of the National Emergency Management Organization (NEMO), and promoting public education and awareness. Notwithstanding these efforts, the country continues to face high levels of risk and without more comprehensive interventions, there is likely to be a greater need to divert limited financial resources away from economic growth activities into repairs and reconstruction. Thus, the next logical step is to reduce physical vulnerability and lower the country's disaster risk profile.

With this in mind, and in keeping the with the World Bank/OECS Regional Partnership Strategy 2010-2014, the Regional Disaster Vulnerability Reduction Project (RDVRP) was developed and merged with the Pilot Programme for Climate Resilience (PPCR)<sup>4</sup>. The objective of the combined PPCR grant, concessional financing and IDA credit is to measurably reduce vulnerability to natural hazards and climate change impacts in St Vincent and the Grenadines and the Eastern Caribbean. The Project aims to increase resilience to climate change by supporting capacity development and tools to assess and communicate disaster and climate risk to the public and to decision makers in different sectors, and to improve the integration of natural hazard and climate risk into physical planning processes. In addition, the Project is designed to contribute to vulnerability and risk reduction through a combination of civil works, capacity building, and institutional development activities at the national and regional levels. These activities are designed to reduce the response time in the wake of a disaster and to improve regional and national resilience to natural hazards and longer-term impacts resulting from climate change.

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<sup>4</sup> The PPCR is a Climate Investment Fund (CIF) financed programme which aims to provide incentives for scaled-up action and to support transformational change through the integration of climate risk and resilience into core development planning and the design of projects to build resilience to climate change.

## SECTION 2 –PROJECT SUMMARY

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### Project Objective

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The project aims to measurably reduce Saint Vincent and the Grenadines' vulnerability to natural hazards and the adverse impacts of climate change.

### Project Description

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In order to achieve its objective, the project proposes four mutually reinforcing components, namely: (1) Prevention and Adaptation Investments; (2) Regional Platform for Hazard and Risk Evaluation, and Applications for Improved Decision Making; (3) Natural Disaster Response Investments; and (4) Project Management and Implementation Support.

### Project Components

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#### **1. *Prevention and Adaptation Investments (US\$7.3 Million)***

This component is designed to reduce physical vulnerability and limit the fiscal shock caused by adverse natural events through the piloting of adaptive measures to build resilience to current and future climatic changes. It includes a broad set of civil works activities, such as drainage improvement, rehabilitation, reconstruction, and retrofitting of bridges and roads, retrofitting of critical public buildings (including schools and emergency shelters), investments in satellite emergency centers and adaptive watershed to reef system measures.

This component will also fund supporting studies required for the development of works and soft activity packages such as hydrologic/hydraulic investigations, geotechnical investigations, and associated pre-engineering and engineering activities required to support design standards and safeguard compliance. During the execution of the identified activities, comprehensive measures would include the integration of building code requirements and land use planning according to coastal and river contours in the project development process. It would also introduce hazard/risk analysis and climate change impact analysis to assist in the design and construction of resilient systems.

#### **2. *Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision making (US\$ 10.8 million):***

This component would finance activities which will enhance regional collaboration for capacity-building and knowledge-building around data management, risk analysis, climate change adaptation planning,

and a piloting approach to building more climate resilient environments within two of the seven priority areas<sup>5</sup>. It would also finance a pilot for climate change adaptation for Union Island.

With this objective in mind and for the purpose of generating a change in the region to standards of public sector investments, the project will pilot watershed management (Arnos Vale Watershed) and coastal protection management (Georgetown). In collaboration with other countries from the region and with the support of regional technical agencies, the Ministry of Transport and Works and the Physical Planning Unit would take the lead on organizing the Eastern Caribbean regional knowledge sharing and learning process to develop and apply climate change adaptation measures for watershed and coastal zone management and protection.

It is envisaged that the activities under this component will generate an understanding of how to incorporate fact-based knowledge regarding natural hazards and climate change and their risks to and impacts on the society, economy, and infrastructure into local development planning. The component contains a series of capacity building interventions across a number of sectors and actors in collaboration with regional technical agencies and other countries in the region.

The lessons learned regarding watershed management, coastal protection, and climate change adaptation in reefs would be captured and subsequently published with the participation of a regional technical agency, effectively creating a blueprint for building climate resilience in the Eastern Caribbean.

### **3. *Natural Disaster Response Investments (US\$ 1.0 million):***

This is a provisional component that would allow for rapid (re)allocation of the funds during an emergency, under streamlined procurement and disbursement procedures, in support of the GoSVG's response and recovery efforts. The activities financed by this component will be demand and event driven and will be detailed in the GoSVG's Action Plan of Activities. The submission of an acceptable Action Plan of Activities, along with an official declaration by the Government of Saint Vincent and the Grenadines that a "disaster for the State" has occurred<sup>6</sup> are the two conditions that must be fulfilled in order to trigger this component.

The specific steps for triggering this component, along with the unique coordination and implementation arrangements for the Action Plan of Activities, are contained in Annex 10 of the Operation's Manual.

### **4. *Project Management and Implementation Support (US\$ 1.8million):***

Activities under this component relate to the institutional support and capacity development for project management and execution. Activities would include training, staffing, and development activities associated with project execution such as consulting services and support for:

- a) Preparation of designs and tender documents for execution and supervision of works, purchase of goods, and contracting of training activities;

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<sup>5</sup> Priority areas requiring strengthening to reduce natural risk and vulnerability as identified by Eastern Caribbean countries include i) critical public infrastructure such as airports and hospitals; (ii) other public infrastructure such as transport and water grids; (iii) government buildings; (iv) watershed management; (v) urban flood mitigation; (vi) coastal protection; and (vii) landslide risk reduction.

<sup>6</sup> in accordance with Section 32 of the National Emergency and Disaster Management Act of 2006.

- b) Preparation of project reports;
- c) Processing of contracts including the evaluation of tenders, preparation of evaluation reports, selection of contractors, and negotiation and supervision of contracts;
- d) Liaising activities among the participating line ministries during project execution;
- e) Supervision of the quality of works;
- f) Specific training of staff in project management and execution;
- g) Capacity building for accreditation to the UNFCCC Climate Adaptation Fund; and
- h) Other activities, as required, to provide support to the CPD.

## **Project Financing**

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The proposed lending instrument for the programme is a horizontal Adaptable Program Loan (APL) implemented in parallel in the OECS. Currently, there are three confirmed participating countries: Grenada, Saint Lucia, and Saint Vincent and the Grenadines. Country projects in Grenada and Saint Vincent and the Grenadines form the first phase (APL 1 and 2). Saint Lucia constitutes the second phase (APL 3) of the programme, and the third phase would allow the remaining OECS countries, namely Antigua and Barbuda, Dominica, and Saint Kitts and Nevis, to participate in the programme, if requested.

The St. Vincent and the Grenadines project is estimated to cost US\$20.92 million and will be financed by grant funds from the Pilot Programme for Climate Resilience (PPCR), a loan from the Strategic Climate Fund (SCF) and St. Vincent and the Grenadines' national and regional International Development Agency (IDA) allocations as follows:

**Climate Investment Fund: US\$10 million**

PPCR Grant – US\$7.0 million

SCF Loan – US\$ 3.0 million

**IDA: US\$ 10.92 million**

National – US\$ 4.42 million

Regional – US\$ 6.5 million

The amount of funds allocated to each project component and the categories of eligible expenditures can be found in Table 1 and Table 2 below:

**Table 1 – Project Financing by Component**

<b>Component/Category</b>	<b>Total (US\$ millions)</b>	<b>Percent of Financing</b>
<b>Component 1:</b> Prevention and Adaptation Investments	7.3	34%
<b>Component 2:</b> Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision Making	10.8	52%
<b>Component 3:</b> Natural Disaster Response Investments	1.00	5%
<b>Component 4:</b> Project Management and Implementation Support	1.8	9%
<b>Total</b>	<b>20.9</b>	<b>100%</b>

**Table 2 – Categories of Eligible Expenditure**

<b>Category</b>	<b>Amount of the Funds Allocated (Expressed (UD\$)</b>	<b>Type of Funds</b>	<b>Percentage of Expenditures to be financed (incl. taxes)</b>
Goods, works, non consulting services, consultants' services, training and operating costs under components 1,2 and 4 of the project	7,000,000	Grant	35%
	3,000,000	Loan	15%
	9,920,000	Credit	50%
Goods, works, non consulting services, consultants' services for emergency reconstruction subprojects under component 3 of the project	1,000,000	Credit	100%

## **SECTION 3 – IMPLEMENTATION ARRANGEMENTS**

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The Central Planning Division (CPD) will be responsible for managing the general implementation of the project including procurement, financial management and monitoring and evaluation activities.

During project implementation, the CPD will rely on the participating line ministries for technical support in the preparation of the bidding documents and for some aspects of implementation supervision. These ministries include the Ministry of National Security etc., Ministry of Health, the Environment and Wellness, the Ministry of Housing, Informal Human Settlements, Lands and Surveys and Physical Planning (MoHILPP), and the Ministry of Transport and Works (MoTW). More complex civil works will rely upon independently contracted engineering services, as necessary.

The CPD will also manage the environmental and social safeguard aspects of activities financed by the project. The CPD has project management capacity and has managed safeguards of several World Bank projects investing in public infrastructure.

### **Implementation Responsibilities**

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#### **Procurement and Contract Management**

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Procurement activities will be managed through the CPD. All contracting activities including bidding, contractor/consultant selection, and execution supervision, will be managed through the CPD with the technical assistance of the participating line ministries. As needed, line ministries will provide technical support particularly with respect to physical infrastructure sub-projects. Line ministries will also provide technical documentation to support procurement activities and, given the emphasis on works represented under the project portfolio, additional civil engineering support will be provided to the CPD.

During the procurement process, the CPD will convene technical committees, led by the relevant line ministry's focal point, as necessary for the design, evaluation and supervision of contracts to ensure the active participation of the beneficiary agency.

#### **Financial Management**

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All financial management activities will be managed by the CPD. Using a sound financial management system, the CPD will provide accurate and timely reports to the Bank and GoSVG. The Financial Management System (FMS) utilized will include records and accounts for the preparation of the financial statements in a format acceptable to the Bank and reflects the operations, sources of funds and expenditures related to the project.

## Monitoring and Evaluation

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The CPD will be responsible for monitoring the progress on the project result indicators. Using established institutional systems, coupled with project-specific mechanisms such as the establishment of a project steering committee, the CPD will track the progress of the project and provide reports to the GoSVG and the Bank on a regular basis as part of the agreed reporting requirements.

## Participating Ministries

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Participating ministries will provide technical staff to assist in contract supervision and other aspects of project implementation such as the development of Terms of References. The participating line ministries include: Ministry of National Security etc., Ministry of Tourism, Ministry of Agriculture etc., Ministry of Housing Informal Human Settlement, Land and Surveys and Physical Planning, Ministry of Transport and Works, Ministry of Education and Ministry of National Mobilisation etc. Representatives from each of the participating line ministries have been identified to serve as focal points to the project. Table 3 below lists each focal point.

**Table 3 – Line Ministry Focal Points**

<b>Participating Agency</b>	<b>Focal Person</b>
Ministry of Finance and Economic Planning	Director of Planning /Senior Projects Officer
Ministry of Housing, Informal Human Settlements, Lands and Surveys and Physical Planning	Chief Technical Officer
Ministry of Transport and Works	Chief Engineer
Ministry of National Security etc.	Director of NEMO
Ministry of National Mobilisation	Director of Community Development
Ministry of Education	Senior Project Officer
Ministry of Health , Environment and Wellness	Health Planner
Ministry of Agriculture etc.	Director of Forestry
Ministry of Tourism	Permanent Secretary

## Regional Disaster Vulnerability Reduction Project Steering Committee (RDVRPSC)

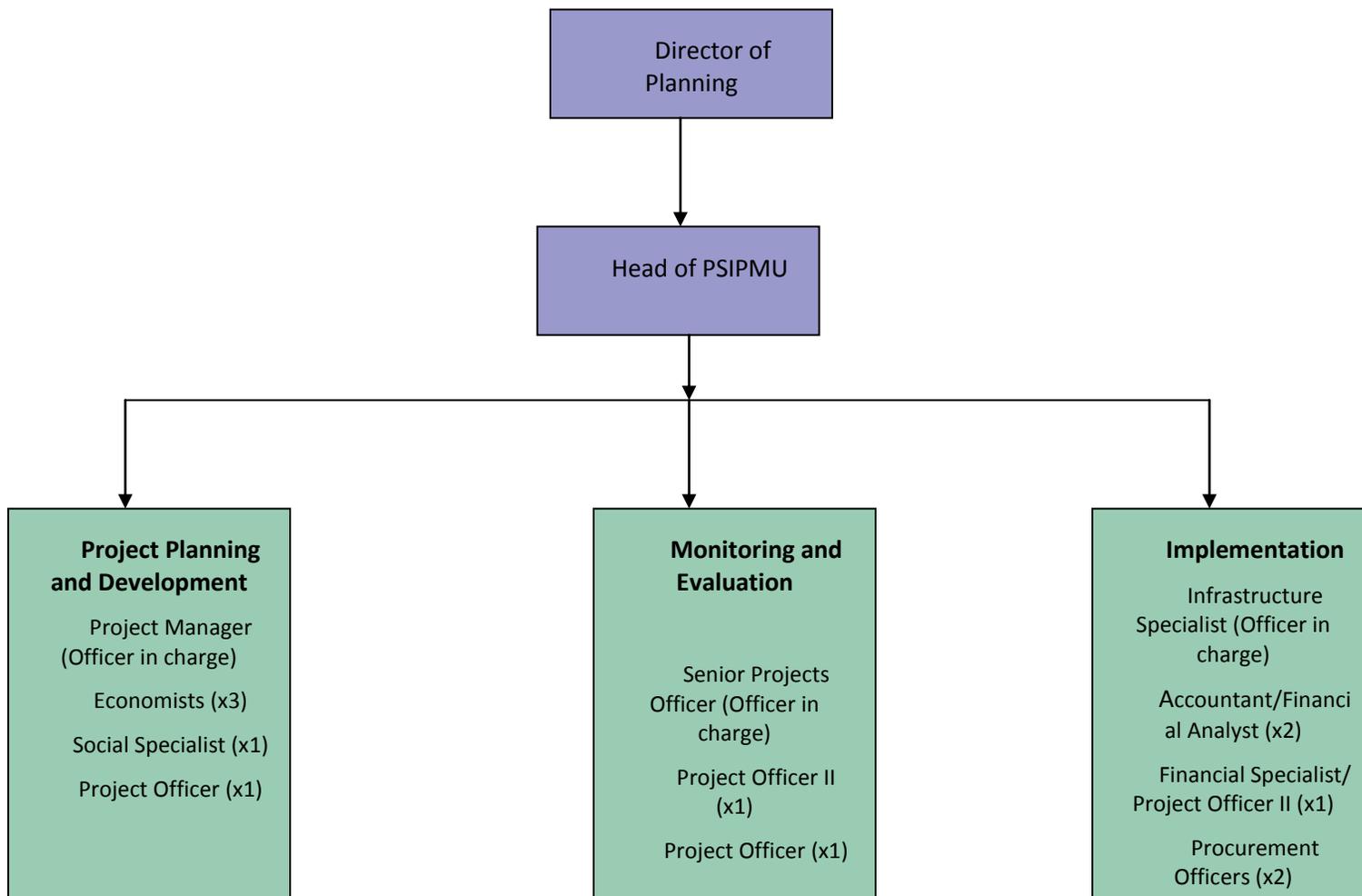
This committee is responsible for ensuring the smooth execution of project activities and the successful accomplishment of project objectives. The Committee will meet monthly to review project implementation performance and be convened, when necessary, to attend to urgent matters, which may arise in the course of implementation of the Project. Generally, the role of the RDVRP Steering Committee is to:

- Assess project progress.
- Provide advice and guidance on issues facing the project.
- Assist with resolving strategic level issues and risks.
- Use influence and authority to assist the project in achieving its outcomes.
- To prioritize those activities included for financing under Component 3 (Disbursement Category 2)

The responsibilities of the Steering Committee are outlined in Annex 1. The RDVRPSC will consist of the following representatives:

Organization	Representative
Central Planning Division	Director of Planning ( <b>Chairperson</b> ) Marcelle Edwards-John (Senior Project Officer) Janelle Quow (Engineer) Ronette Jordon (Project Officer I - Secretary)
Ministry of Transport, Works & Urban Development	Permanent Secretary/Alternate: Chief Engineer
Ministry of National Security etc.	Permanent Secretary/Alternate: Director of NEMO
Ministry of Housing etc.	Permanent Secretary/Alternate: Chief Technical Officer
Ministry of Education	Permanent Secretary/Alternate: Project Manager
Ministry of Health etc.	Permanent Secretary/Alternate: Health Planner
Ministry of Tourism	Permanent Secretary
Ministry of Agriculture etc.	Permanent Secretary

*Figure 1 – Public Sector Investment Programme Management Unit (PSIPMU) Organizational Chart*



## **SECTION 4 – PROCUREMENT AND CONTRACT MANAGEMENT**

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This section outlines specific methodologies that the CPD will apply to procure civil works, goods, consultancies and other services. Procurement for the Project shall be carried out in accordance with the World Bank’s “Guidelines: Procurement under IBRD Loans and IDA Credits” dated May 2004, revised October 2006 and May 2010; and “Guidelines: Selection and Employment of Consultants by World Bank Borrowers”, dated May 2004, revised October 2006 and May 2010 and the provisions stipulated in the Agreements.

In case of discrepancy between the operational manual and the Agreements, the stipulations in the Agreements will prevail. Whenever the national laws contradict the Agreements and the Guidelines, the national laws shall prevail.

### **Procurement Responsibility**

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The Central Planning Division located in the Ministry of Finance and Economic Planning will be responsible for executing all procurement activities to be financed by the project, including bidding, contractor selection, contract management and project supervision. During the procurement process, the CPD will convene technical committees as necessary for the design, evaluation, award, and supervision of contracts.

Technical inputs to bidding documents and assistance in project supervision will be provided from participating line ministry. Responsibility for the management of change orders and contract modifications rests solely with the CPD.

Procurement will be managed in accordance with the procurement thresholds identified in the project legal agreements and in accordance with applicable Bank procurement requirements. The CPD has several years of experience working with Bank procedures and has demonstrated its competence in working within Bank established policies and procedures. However, as implementation proceeds, the CPD will evaluate its training needs and identify capacity-strengthening activities to be executed under Component 3 of the project.

### **Procurement Specialist Responsibilities**

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The Procurement Specialist will supervise the entire cycle of procurement processes conducted within the project, directing and managing the processes including:

- a) Preparation and update of Procurement Plan
- b) Elaboration of the ToRs
- c) Elaboration of technical specifications
- d) Establishment of packages

- e) Preparation of bidding documents and RFPs
- f) Timely publication of General Procurement Notice (GPN), Specific Procurement Notice (SPN) and Expressions of Interest (EOI)
- g) Bid opening and evaluation
- h) Selection and appointment of consultants
- i) Contract award and ratification
- j) Contract management
- k) Mobilization of contractors' and consultants' resources
- l) Distribution of goods
- m) Presentation of reports
- n) Quality control

A detailed ToR for the Procurement Specialist is provided in Annex 5.

## **Procurement Activities**

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### **Goods and Equipment**

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Goods to be procured under the project estimated to cost a total of US\$3.43 million would include equipment for institutional strengthening, emergency communication, gabion baskets, equipment for satellite warehouses, and equipment for emergency shelters. Procurement will be carried out using the World Bank procurement procedures. The CPD will verify and certify the purchase of all goods and equipment.

### **Civil Works**

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Works to be procured under the project will consist of several civil works contracts totaling US\$7.85 million. These would include construction of river defense, rehabilitation of bridges, construction of satellite warehouses, and retrofitting of emergency shelters. Procurement will be carried out using the Bank's procurement procedures.

Certification of works will be carried out by the Chief Engineer, Ministry of Transport, and Works (or his authorized representative) or the works consultant assigned the responsibility for supervision where one is appointed. The CPD will monitor and verify the completion of certified works.

### **Consulting Services**

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Consulting services estimated at approximately US \$5.98 will include technical assistance (training) services for institutional strengthening and hazard risk analysis, design and supervision of civil works for rehabilitation of school infrastructure, shelters and community centres, river defense and road repair and slope stabilization, salaries for contracted PSIPMU staff, and technical and financial audits. Selection methods for consultant contracts are laid out in the Agreements.

The work of consultants will be monitored and certified for payment at agreed intervals by CPD. The Procurement Specialist will monitor and check for completion of certified assignments.

## Procurement Methods

The CPD will carry out procurement in accordance with the World Bank’s “Guidelines: Procurement under IBRD Loans and IDA Credits” dated May 2004, revised October 2006 and May 2010; and “Guidelines: Selection and Employment of Consultants by World Bank Borrowers”, dated May 2004, revised October 2006 and May 2010.

The CPD has developed a procurement plan for the first eighteen months of project implementation. The procurement plan will be updated annually in agreement with the Bank, or as required, to reflect actual project implementation needs and improvements in institutional capacity. The procurement plan is provided in Annex 9.

For each contract to be financed by the Grant/Credit/Loan, the different procurement methods or consultant selection methods and prior review requirements are listed below.

**Table 4: Standard Thresholds for Procurement Methods and Prior Review**

Expenditure Category	Contract Value (Threshold) US\$ Thousands	Procurement Method	Contracts Subject to Prior Review
<i>1. Works</i>			
	>1,500	ICB	All
	150-1500	NCB	First Contract & all >750
	<150	Shopping	First Contract
	Regardless of Value	Direct Contracting	All
<i>2. Goods</i>			
	>150	ICB	All
	50-150	NCB	First Two Contracts
	<50	Shopping	First Contract
	Regardless of Value	Direct Contracting	All
<i>3. Consulting Services</i>			
3.1 Firms	>100	QCBS, QBS, FBS, LCS	All Contracts
	<100	QCBS, QBS, FBS, LCS, CQS	First Contract
	Regardless of Value	Single Source	All
3.2 Individuals	Regardless of Value	Comparison of 3 CVs	ToR

**Note:** QCBS = Quality and Cost Based Selection; QBS = Quality Based Selection; FBS = Fixed Budget Selection; LCS = Least-Cost Selection; CQS = Selection Based on Consultant Qualifications.

Flexibility in the procurement has been built into the project to allow for rapid re-categorization of the financing to cover the cost of early recovery efforts in the event that the emergency mechanism component is triggered. These include:

- Pre-qualification of vendor as well as shortlisting of possible consultants and contractors;
- relaxed prior-review thresholds; and/or
- special procurement methods such as direct contracting, force account shopping, or other simpler procurement methods for the delivery of urgently needed goods and services.

## **Government of Saint Vincent and the Grenadines Procurement Procedures**

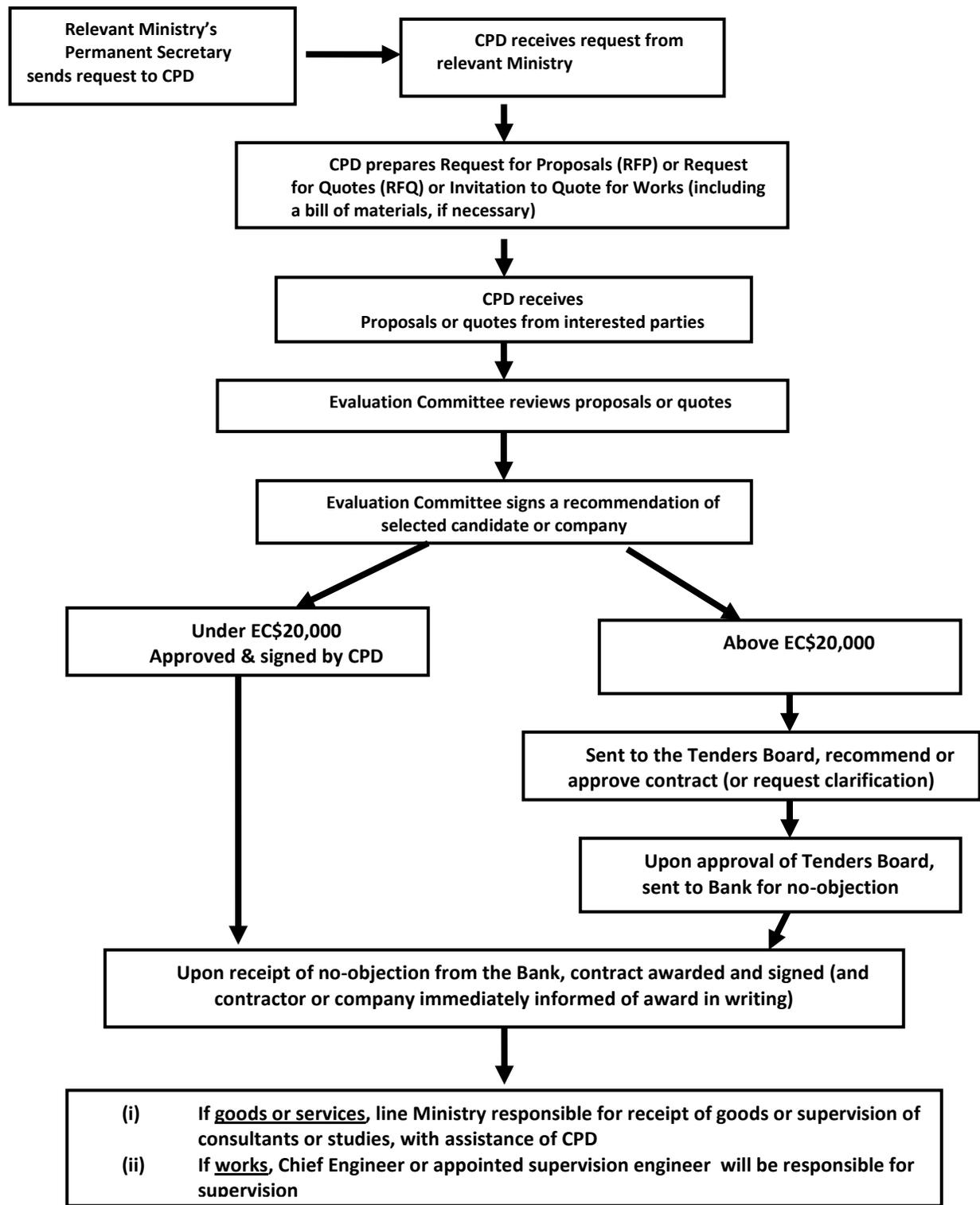
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Below is a general description of steps required to manage the procurement process:

- The CPD, in collaboration with the relevant line ministry focal person, will prepare the necessary request for proposal (RFP) (for consultants), request for quotations (RFQ) or tender documents for goods and works (including designs and bills of quantities if relevant).
- For contracts requiring prior review, the CPD will seek the Bank's "no-objection" to the terms of reference (consultants) and bidding documents (good, works and non-consulting services).
- When the "no-objection" is provided, the CPD invites proposals (for consultants), quotes or bids (for goods and works).
- Proposals, quotes and tenders are submitted to the relevant authority (e.g. Director of Planning or the Central Supplies Tenders Board).
- An evaluation committee will evaluate proposals and make recommendations under the purview of the procurement officer.
- If contract is below EC\$20,000 the CPD may approve the recommendation and proceed with issuing contracts or procuring goods, after obtaining the Bank's no objection (for prior review contracts).
- If the contract is over EC\$20,000, the evaluation report together and recommendation for contract award will be signed by the evaluation committee and sent to the Central Supplies Tenders Board through the Director of Planning, for approval. The Central Supplies Tenders Board may request clarifications, approve or object to the recommendation for award of the contract.
- If it is approved, the Central Planning Division will seek the Bank's no objection to issue the contract (for prior review contracts).
- Upon receipt of no-objection from the World Bank, the contract is awarded and signed.
- The line ministry will be responsible for the receipt of goods and services with support from the CPD. In the case of works, the supervision role will be taken or coordinated by the Chief Engineer or other appointed supervision engineer.

Figure 2 overleaf describes the steps required to award contracts.

**Figure 2 - Flow Chart of GoSVG's Procurement Procedures**



## **SECTION 5 - ACCOUNTING PROCEDURES AND FINANCIAL MANAGEMENT**

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This section details the accounting and financial management policies and procedures to be used in the implementation of the Project. It incorporates all the covenants of the Agreements as well as those of the Government of St. Vincent and the Grenadines as specified in the Financial Regulations.

### **Financial Management Responsibility**

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The Central Planning Division (CPD) will be responsible for coordinating the implementation and financial management of the project. The Bank requires the establishment of a sound financial management system that will facilitate the production of accurate and timely reports to the Bank and GoSVG. The financial management System (FMS) must include records and accounts for the preparation of the financial statements in a format acceptable to the Bank and reflects the operations, sources of funds and expenditures related to the project.

### **Financial Management Staff**

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The CPD has three project accountants, one of whom is conversant with the World Bank's project financial management requirements. The specific skill sets/capacity required for using the World Bank's procedures will be upgraded /strengthened through additional training provided by the World Bank, as required. The following are the details of the financial management arrangements:

### **Design of the Financial Management System (FMS)**

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The financial management system is designed to accomplish the following objectives:

- outline and specify the accounting procedures to be used for the project, reflecting accountability and transparency;
- ensure that the established procedures are adhered to in the disbursement of project funds;
- ensure that all transactions are properly classified and accounted for;
- ensure that reports required by the Bank and the GoSVG are prepared on a timely basis, in an efficient and effective manner;
- define the procedures for creating, maintaining and safeguarding records and ensure that records are preserved and classified for easy access;
- allow for the efficient audit of the project financial statements;
- ensure that all assets and liabilities are properly accounted for, with a detailed inventory of goods/equipment; and,

- ensure that there are internal controls in place to foster the safeguarding of all assets.

## Accounting System

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The accounting system used for this project is the Peachtree 2007 software.

This system is designed to cover

- internal control;
- flow of funds to support project activities;
- financial reporting arrangements including linkages to key performance indicators; and
- auditing arrangements.

## Internal Control

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The internal accounting controls are designed to prevent or detect errors or irregularities, which would have an impact on the financial statements. The accounting system to be used is Peachtree Complete Accounting complemented by various excel spreadsheets for cash books and various ledgers.

## Flow of Funds

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The project will operate two bank accounts, which were opened at the Bank of St. Vincent and the Grenadines. These are:

- Regional Disaster Vulnerability Reduction Project US\$ Special Account – Account Number 9016
- Regional Disaster Vulnerability Reduction Project EC\$ Project Account – Account number 135155

The US\$ Special Account is a pooled US Dollar denominated bank account used to channel funds from the Bank to the Project. This account will be operated in accordance with the procedures and guidelines set forth in the Bank's *Disbursement Handbook*. The initial deposit into the US Dollar Special Account will be US\$500,000. Funds from the US Dollar Special Account will be periodically transferred to a Local Currency Account from which payments in local currency can be made.

Transfers from the US dollar denominated account to the EC dollar denominated account will be done via a letter of authorization to the Bank of St. Vincent and the Grenadines.

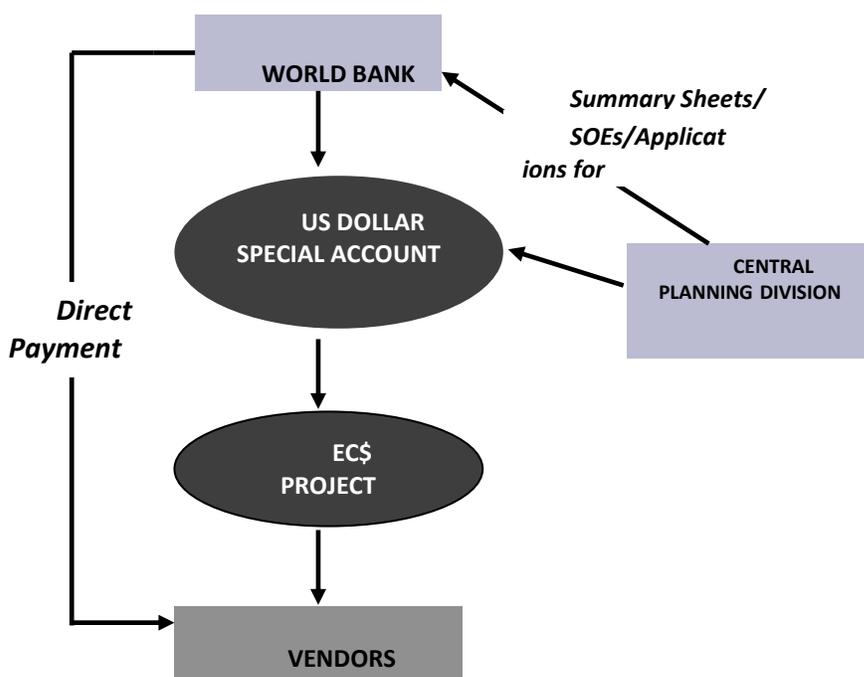
Withdrawals from the World Bank of amounts to be deposited into the Special Account shall be made by Application for Withdrawal supported by an Interim Financial Report (IFR). Payments to be

processed by Direct Payment by the Bank must be done in accordance with the World Bank's *Disbursement Handbook*<sup>7</sup>.

Upon approval of each application, the amount requested will be deposited into the Special Account in order to finance eligible expenditures (representing approximately six months of expenditures) following the date of the report provided. The CPD will control the Special Account and will be responsible for the requests for replenishment.

The Withdrawal Application Form must indicate the amount of funds required and the currency, usually US dollars, in which the funds are required. The use of the IFR simplifies and accelerates the replenishment process since the review of documents for small payments would be eliminated. The chart below illustrates the flow of funds within the Project:

**Figure 3 – Flow of Funds Chart**



## **Disbursement Arrangements**

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Disbursements for the project will be made based on “Report-Based Disbursement” procedures - using Interim Financial Reports (IFR) - submitted to the Bank on a quarterly basis, within 45 days after the end of reporting period.

All letters of authorisation, cheques and payment vouchers should only be signed with appropriate supporting documentation (certified supplier invoices, purchase orders and requisition orders).

<sup>7</sup> The Disbursement Handbook is accessible at [www.worldbank.org](http://www.worldbank.org).

Payment Vouchers should be stamped, indicating the date paid and cheque number, then attached to the relevant supporting documentation. In addition, after payment, all invoices must be stamped to ensure that payments are not duplicated.

All original records of receipts and payments, including; invoices, cheques, debit advices, credit advices, and bank reconciliation statements are maintained and filed by the Accounts section. Authorization letters and purchase orders must be properly filed.

### Disbursement Deadline Date

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The Disbursement Deadline Date is four months after the Closing Date specified in the Financing Agreement, the SCF-PPCR Loan Agreement and the SCR-PPCR Grant Agreement. Any changes to this date will be notified by the World Bank.

### Authorised signatories

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Persons authorized to sign the Application for Withdrawal to obtain replenishment from the World Bank are:

1. Laura Anthony-Browne, Director of Planning
2. Decima Corea, Deputy Director of Planning
3. Edmond Jackson, Budget Director
4. Godfred Pompey, Permanent Secretary

Only one signatory is required for each application.

### Journal Entries for Disbursement of funds

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The proceeds from the World Bank expenditures as per the Legal Agreements must be journalized at the end of each month. The Project's Financial Management Specialist<sup>8</sup> should ensure that all expenditures recorded in the Disbursement Journal are captured in the Government's system.

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<sup>8</sup> The Financial Management Specialist for this project is the Project Officer II in the Implementation Unit of PSIPMU.

**Table 5 – Expenditures by Component**

<b>Component/Category</b>	<b>Total (US\$ millions)</b>
<b>Component 1:</b> Prevention and Adaptation Investments	7.32
<b>Component 2:</b> Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision Making	10.80
<b>Component 3:</b> Natural Disaster Response Investments	1.00
<b>Component 4:</b> Project Management and Implementation Support	1.80
<b>Total</b>	<b>20.92</b>

### **Bank Reconciliation Statements**

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Monthly bank reconciliations must be prepared on all bank accounts and signed by the Director of Planning or Deputy Director of Planning. For the Special Account, the Financial Management Specialist will reconcile disbursements received with the Disbursement Section of the World Bank on a monthly basis. A bank reconciliation for the Special Account must also be submitted to the World Bank, together with a copy of the bank statement, when submitting a withdrawal application for replenishment of the Special Account.

### **Funds Receipts**

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On receipt of funds from the World Bank into the Special Account, the commercial bank sends a credit advice to the CPD and also to the Accountant General's Department. The Financial Management Specialist will record the amount received in the project's accounting system.

### **Procedures for Payment to Vendors**

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The Bank requires proceeds of the credit to be used economically, efficiently and only for the purposes for which the financing is provided as described in the credit agreements. The Procurement Specialist is responsible for vetting the Purchase Order and sends this on to the Financial Management Specialist who commits the funds.

For the payment of eligible expenditures the following steps will be performed:

1. Once the bill is received, it is date stamped.
2. The Financial Specialist ascertains that the expenditure was properly verified by the Deputy Director of Planning or Procurement Specialist. The Financial Specialist then processes the payment.
3. The Financial Specialist prepares the letter of payment, attaches supporting documents, including purchase order, copy of contract, vendor invoice and goods received note.
4. The letter of payment is passed to any two of the following signatories for signature:
  - Laura Anthony-Browne, Director of Planning
  - Decima Corea, Deputy Director of Planning
  - Ingrid Fitzpatrick, Accountant General
  - Godfred Pompey, Permanent Secretary

The letter should give clear instructions to the Bank as to payee's name, the account/s to be debited and the amount to be debited. Bank payments can be made by way of telegraphic transfers, bank draft or direct transfer.<sup>9</sup>

1. When a payment is made by way of telegraphic transfer, details such as the ones below should be clearly stated:
  - Payee's name
  - Payee's address
  - Payee's bank name
  - Payee's bank account number
  - ABA/Routing Number.
2. The letter to be sent to the Bank, together with the attached invoice, should be sent for the first signature. The letter is then sent for the second signature.

### World Bank Replenishment, Reimbursement and Direct Payments

Replenishment, Reimbursement and Direct Payments are methods that would be used to request funds from the World Bank. The withdrawal applications supported by the Statements of Expenditure (SOEs) or summary sheets where applicable, will be used to replenish the Special Account.

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- <sup>9</sup> Telegraphic transfer can be used for making overseas payments;
  - Bank draft is used for both local and overseas payments; and
  - Direct transfer is used when making local payments.

Before withdrawals from the World Bank can begin, the following must occur:

1. The credit must be declared effective by the World Bank, following compliance with all conditions specified in the credit agreement and the General Conditions.
2. The World Bank must receive evidence of authority to sign withdrawal applications (the GoSVG designates which officials may sign withdrawal applications and provides copies of their authenticated specimen signatures). This letter is signed by the Minister of Finance on his letterhead.
3. Disbursement conditions, including: (i) establishment of causal relationship between the relevant emergency and the need to trigger Component 3, and (ii) preparation and submission to the WB of an acceptable proposed Action Plan of Activities.

### Replenishment

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Application for Withdrawal for replenishment of the Special Account should be done on a timely basis to ensure the availability of funds to meet expenses. The first application is to request the initial advance (US\$ 1,000, 000) representing the authorized allocation or a part thereof as specified in the credit agreement. It must include a completed application for withdrawal, but requires no supporting documentation. However, prior to requesting the initial advance, the CPD must have done the following: (1) opened the Special Account in USD in a commercial bank acceptable to the World Bank, and (2) obtained a comfort letter from the depository bank and submitted the letter to the World Bank.

All subsequent withdrawal applications (replenishment requests) are made to request replenishments into the Special Account for payments already made (all replenishment applications to the USD Special Account must be in USD). The application, together with SOE's and/or Summary Sheets and Summary of Categories, must be prepared and signed by at least one authorized signatory and sent to the World Bank, together with a bank reconciliation statement. The disbursement letter will indicate the types of expenditure for which no supporting documentation other than the SOE is required and the contract value below, which SOEs are to be used (expenditures not subject to prior review). For other expenditures (above the prior review threshold), the Summary Sheets must be accompanied by full supporting documentation. SOE forms and summary sheets must set out the appropriate details for each expenditure. The application package should also include the bank statement for the Special Account and Reconciliation Statement. The borrower keeps the supporting documentation in a central location for examination by independent auditors and Bank staff during supervision missions.

If the Bank requires supporting documentation (as in the case of payments against contracts above the SOE limit, generally the same as contracts requiring prior review), copies of procurement documentation should have been forwarded to the Task Manger at the Bank for approval prior to contract award and payment. For expenses above the SOE limit, after the “no-objection” has been obtained from the Task Manger at the Bank, the relevant procurement documentation should be forwarded to the Disbursement Department of the Bank prior to requesting reimbursement on the SOE. One copy of each of the following supporting documents is normally given to the Bank:

1. Supplier’s or consultant’s invoice or a summary statement of work performed signed by the supervising engineer or other authorized official.
2. Evidence of shipment (for equipment and materials purchased); this can be one of the following: copy of the bill of lading or forwarder’s certificate.
3. Evidence of payment; this can be one of the following: receipted invoice, formal receipt or commercial bank’s report of payment.

### Direct Payment

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Payment can be made directly by the World Bank to a third party for goods, works and services. An Application for Withdrawal is prepared. The borrower must provide supporting documentation and give clear instructions to the Bank as to:

1. Payee’s name and address
2. Payee’s bank name and address
3. Payee’s bank account number and Swift Code
4. Sort Code
5. Country where payee is located

### Audit Arrangements

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The Project’s financial statements shall be audited in accordance with provisions of Section 4.09 (b) of the General Conditions by independent auditors and following a TOR that is acceptable to the Bank.

The audit report will include supporting schedules providing sufficient information on the project (i.e. Sources and Uses of Funds, Statement of Expenditures (SOE), and the Special Account). The amounts in these financial statements would be required to be reconciled with the amounts in IDA’s disbursement records. The audit report shall cover the period of one fiscal year and shall be transmitted to the World Bank no later than six months after the end of the fiscal year.

Detailed supporting documentation, including certification for expenditures, will be kept by the CPD for at least one fiscal year after the Bank has received the audit report for the year in which the last withdrawal from the Credit account was made and submitted to the Bank. For all contracts requiring

the Bank's prior review, full documentation will accompany “no-objection” requests. Detailed documentation will be retained by the CPD for inspection during supervision missions and for audit by external auditors acceptable to the Bank.

## Financial Reporting Requirements

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The CPD is currently using a computerized accounting system, which would be adequate for preparing timely financial reports for the project. The system is designed in such a way to ensure that the procedures conform to the following official Bank documents:

1. The Disbursement Handbook
2. The Financing Agreement
3. The Procurement Guidelines and Handbooks for Consultants Services Goods (prepared by the World Bank)
4. Audit Agreement Standards (manual listing the requirements of the auditors)

The CPD will ensure that information is timely and reliable. Annual financial statements detailing the projects' performance for each financial year will be prepared. To monitor project implementation, interim statements and management reports will be prepared quarterly and yearly.

Financial Reports are to be provided to the following organisations:

- World Bank (quarterly basis and annual) – 2 copies
- Ministry of Finance and Economic Planning (quarterly) – 1 copy

## Required Reports

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Several financial reports are required to be sent by the CPD to the Bank at various time intervals. These reports include the IFR, the audit report, bank reconciliation statements and others. The procedural flow for developing each financial report can be found in Annex 2 of this Manual.

### *(i) Interim Financial Report (IFR)*

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The IFR covers a three-month period and is submitted no later than 45 days after the end of the quarter. The cash accounting model is being used for this project. The financial management specialist is responsible for compiling the financial section of the report, while the procurement specialist is responsible for the procurement plan.

The IFR will form the basis for the bank's disbursement of project financing provided it is: i) prepared within the framework of an acceptable financial management system; ii) submitted in

the standard format; and, iii) fulfils all other requirements. The standard reporting format is provided in Annex 8. The IFR will be submitted in two parts, viz:

**Part 1 – The Financial Report**

- 1-A Project Sources and Uses of Funds
- 1-B Uses of Funds by Project Activity
- 1-C Project Cash Withdrawals (Disbursements)
- 1-D Special Account Statement
- 1-E Project Forecast

**Part 2 – Procurement Plan**

- 2-A List of contracts requiring prior approval
- 2-B Contracts subject to post review

Copies of the IFR must be submitted to the following persons/organisations:

1. The World Bank (2 copies) - supported with a signed withdrawal Application Form
2. Director General, Ministry of Finance and Economic Planning
3. File copy within the CPD

*(ii) Audit Reports*

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The Bank requires the GoSVG to submit annual audited financial statements, no later than six (6) months after the end of the fiscal year ending on December 31.

The Audit Report includes:

- a) Certified copies of the Financial Statements
- b) An opinion on the Financial Statements, Special Accounts and internal controls as outlined in the Terms of Reference issued to the Auditors

The project financial statements for the audit covers all project funds, and should include summary statements of Special Account transactions as well as IFRs submitted during the year.

*(iii) Bank Reconciliation Statements*

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Monthly bank reconciliation statements of the two bank accounts must be prepared; one for the US Dollar Account to maintain the disbursement of funds by the World Bank Special Account, and one for the EC dollar Project Account.

Reconciliation Statements must be maintained for both bank accounts that serve to assist in monitoring disbursements against amounts allocated/budgeted. The Cash book, along with payment vouchers, credit advances and receipts will serve as control and will be able to identify

cash movements. Based on the level of activity, reconciliation statements must be printed monthly and filed.

Two copies of the Bank Reconciliation Statements are required:

- Ministry of Finance and Economic Planning
- one copy for file for CPD

*(iv) Recording of Fixed Assets*

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A fixed asset register will be maintained by the Financial Management Specialist to record details of items procured, and the locations of these assets, when goods are received. Yearly inventory lists will be prepared by the receivers of fixed assets in accordance with GOSVG requirements.

A copy of the Monthly Reconciliation report, the Peachtree report, and the Monthly Expenditures Report shall be submitted by the financial management specialist to the Ministry of Finance and Economic Planning for their records.

## **SECTION 6 – SAFEGUARDS AND SUSTAINABILITY**

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### **Sustainability**

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The GoSVG recognizes that the sustainability of infrastructure investments, and of its physical development planning in general, is conditioned on improving the understanding of adaptation options to strengthen their resiliency to disaster and climate risks. The disaster vulnerability reduction works and capacity-building initiatives at technical and policy levels implemented under the project will require the ownership of the participating national authorities and the participation and support of local communities as well as the continued support of regional technical agencies.

### **Safeguards**

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Supervision for environmental compliance will be managed through the CPD under Bank supervision. In addition to Bank requirements, the CPD will be responsible for ensuring the proper application of any national environmental requirements.

A Resettlement Policy Framework (RPF) and a Social Assessment were completed during project preparation. The Chief Technical Officer in the MoHILPP will assist the CPD throughout the course of the project. A part time social safeguards specialist will also be hired during project implementation to ensure that the project is implemented in accordance with the RPF.

An initial Environmental Assessment (EA) was prepared by the GoSVG in December 2010 to evaluate the potential environmental impacts of the RDVRP on a program-wide level. Civil works contracted by the CPD are supervised by line agencies including the MoTW under the direction of MoTW's Chief Engineer.

Guidelines on environmental management and compliance for each safeguard triggered under the project can be found below.

#### **OP/BP 4.01 – Environmental Assessment**

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In accordance with Bank environmental safeguards requirements, this programme has been classified as Category B. Works proposed under the program are largely rehabilitation and retrofitting of selected infrastructure and public buildings, and impacts are generally associated with the actual construction phase of the works activities. Limited new constructions could be included in individual sub-projects such as water supply improvements, as well as some road stabilization works, coastal defense works, and flood mitigation works such as river defenses and bridges.

The Government prepared an Environmental Assessment (EA) examining project activities and providing an environmental framework to guide project execution. These would include two groups of projects: those which involve more complex environmental conditions and/or potentially significant environmental effects (if unmitigated) and which will therefore require a separate stand-alone Environmental Impact Assessment (EIA) specific to that particular subproject; and, those comprising uncomplicated rehabilitation works where the impacts are limited to the construction phase and are minimal (e.g. repair and retrofitting) and which can be addressed through standardized or generic mitigation measures.

For uncomplicated activities, draft construction contract clauses are included in Annex 3. These clauses may be modified as needed and included in the works contracts as an Annex constituting the Environmental Management Plan (EMP).

For more complex sub-projects requiring EIAs, the assessments will be completed prior to initiation of the works in order to evaluate potential impacts and establish the corresponding environmental requirements for the design and construction phase of the activity. Draft ToRs for an EIA are included in Annex 4. All such sub-projects in the procurement plans would be subject to prior review.

The potential impact to natural habitats (OP/BP 4.04) and the potential impact to physical cultural resources (OP/BP 4.11) are used to determine if a subproject or activity is environmentally complex or may have potentially significant impacts if unmitigated. . The criteria to determine if OP/BP 4.04 has been triggered is whether or not a specific activity or subproject would potentially affect land or water areas where the biological communities are formed largely by native plant and animal species where human activity has not essentially or heavily modified the area's primary ecological functions. The criteria to determine if OP/BP 4.11 has been triggered is whether or not a specific subproject or activity would potentially affect objects, sites, structures, natural features or landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. In cases where it is suspected that a specific subproject or activity could meet these criteria and trigger the safeguard policy, due to the presence of sensitive or complex environmental or sociocultural conditions, the screening procedure would result in a positive determination and such subproject would require a separate EIA.

Based on a preliminary screening and review of the subprojects in the EA and during safeguards supervision missions, most will require only the inclusion of the standardized and generic mitigation measures in the EMP (Annex 3). Subprojects identified which will potentially require separate stand-alone EIAs include, Dark View/Troumaca/Petit Bordel slope stabilization, Paget Farm Road and Georgetown Coastal Defense; in addition, the Sandy Bay Coastal Defense and the Fenton Road / Green Hill project may also require additional stand-alone EIA studies because of sensitive or complex environmental or sociocultural conditions. Throughout implementation the specific conditions of individual subprojects should be evaluated as they are defined in greater detail through this screening process to determine if they require stand-alone EIA studies to better understand complex environmental conditions, and to design and select the most appropriate environmental mitigation measures and customized EMPs to include in contracts for specific civil works.

## OP/BP 4.12 – Involuntary Resettlement

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Under Bank Social Safeguard requirements, it was determined that several activities could involve land acquisition or resettlement, and the Involuntary Resettlement Safeguard (OP/BP 4.12) has been triggered. OP/BP 4.12 requires “screening” of all projects proposed for Bank financing to help ensure that they take social concerns into account with respect to adverse impacts on project affected people (PAP’s) and to appropriately plan for and respond to these impacts, and thus improve decision making about resettlement, options, alternatives, participation of PAP’s and compensation. The policy includes activities to address and mitigate these risks.

To this end, a Social Assessment was undertaken during project preparation to determine the impact of project activities on local communities, including vulnerable groups, land use, crops, buildings and other property. The Social Assessment is publicly available on the Government of SVG website<sup>10</sup>. Furthermore, during project preparation, a Resettlement Policy Framework (RPF) was completed to clarify resettlement principles, organizational arrangements, and design criteria to be applied to subprojects to be prepared during project implementation. The RPF is publicly available on the World Bank website<sup>11</sup> as well as the Government of SVG website<sup>12</sup>. Supported by the MoHILP, the CPD will be responsible for ensuring adequate compliance under Bank required involuntary resettlement procedures and assisted by a part time social safeguards specialist. The framework is valid for all sub-project activities executed under the RDVRP attracting World Bank (WB) financing and including other donor financing in the RDVRP project sites.

## Monitoring and Evaluation of Environmental and Social Safeguards

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Supervision for environmental and social compliance will be managed through the CPD with support from the Bank. In addition to Bank requirements, the CPD will be responsible for ensuring the proper application of any national environmental requirements. The CPD will continue to staff a social specialist as well as an environmental specialist or engineer to assist with project supervision especially as involves inspection of works in the field. The CPD may use the same engineer who already has experience supervising similar projects for the Hurricane Tomas Emergency Loan, which will further enhance the supervisory capacity of the CPD.

The implementation of environmental management procedures shall rest with the MoTW and shall be supervised by the CPD. The executing agency shall be responsible for direct supervision and implementation of works. Environmental management plans (EMPs) shall be included in bidding and contracting documents and shall be presented for approval to the contracting officer. These plans shall be reviewed, along with other contract documentation, by the CPD for presentation to the Bank.

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<sup>10</sup> [http://gov.vc/images/stories/pdf\\_documents/social\\_assessment\\_regional\\_disaster\\_vulnerability\\_reduction\\_project\\_2012.pdf](http://gov.vc/images/stories/pdf_documents/social_assessment_regional_disaster_vulnerability_reduction_project_2012.pdf)

<sup>11</sup> [http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/05/04/000333037\\_20110504012850/Rendered/PDF/RP11410v10P11787101public10BOX358346B.pdf](http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/05/04/000333037_20110504012850/Rendered/PDF/RP11410v10P11787101public10BOX358346B.pdf)

<sup>12</sup> [http://gov.vc/images/stories/pdf\\_documents/draft%20resettlement%20policy%20framework.pdf](http://gov.vc/images/stories/pdf_documents/draft%20resettlement%20policy%20framework.pdf)

The executing agency shall designate a field representative who shall conduct periodic inspections to assure environmental compliance. These reports shall be forwarded to the CPD for inclusion in the contract performance documentation.

## **SECTION 7 – PROJECT MONITORING AND EVALUATION**

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### **Monitoring**

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Monitoring of project progress will be managed by the CPD. The CPD will utilize already existing mechanisms to perform the monitoring functions. The World Bank team will assist the CPD in tracking performance indicators during missions.

#### **Monitoring system**

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The CPD is responsible for monitoring of and reporting on performance indicators. Progress on the indicators will be reported to the Bank semi-annually in the context of Bank supervision missions. Monitoring of the project will be carried out on a continuous basis, from the commencement to the completion of the implementation. This is essential in communicating the progress of the implementation and the adherence to the contract and requirements of the GoSVG and the Bank.

The CPD will rely on information from the line ministries' focal points to inform sectoral results from project activities. Information provided will include; physical quantities, expenditure and pertinent issues in the monthly report and meetings as arranged with the CPD. Periodic site visits will be performed by the CPD or any official authorized by the GoSVG or the World Bank.

The project monitoring and evaluation system will have three levels: (1) at the CPD level, (2) at the line ministries level and (3) at the field level. This monitoring and evaluation will be supplemented with consultant's inputs and World Bank missions. The regular reporting of these agencies and updating of implementation progress data drawn from the updates by the stakeholders in the project at difference levels/activities will assist the CPD in providing timely interventions. It will also help remove impediments in project implementation and build the capacity of stakeholders involved and benefiting from the project. The results and monitoring framework is provided in Annex 7.

### **Monitoring Indicators**

---

Baseline studies have been carried out at the beginning of the project to facilitate the evaluation of the effectiveness of the project during implementation according to the established qualitative and quantitative result level indicators of the project. Additional studies will be carried out and compared with the established baseline at the completion of the project (4 months before the closing of the project). The Results and Monitoring Framework can be found in Annex 7.

## Project Reports

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The GoSVG, as part of its monitoring and evaluation function is required to produce and furnish to the Bank a number of reports on the implementation of the project and the progress achieved at various interval in the life of the project. These include:

### *Project Progress Report*

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These reports are to be completed in accordance with the provision of Section 4.08 of the General Conditions and on the basis the indicators agreed to with the Bank. Each report will cover a period of six calendar months and shall be submitted to the Bank not later than forty five (45) days after the end of the reporting period.

### *Mid-Term Review*

---

This report is to be completed on or about twenty four (24) calendar months after project effective date. The report, apart from providing information on the achievements of the project, must also provide recommendations to ensure the efficient implementation of the project thereafter. Once submitted, the report must be discussed with the Bank one month after its submission to the Bank.

### *Project Completion Report*

---

In keeping with Section 4.08 (c) of the General Conditions, a report on the execution of the project shall be submitted to the Bank not later than six months after the project closing date.

The project can provide support for the strengthening of monitoring and evaluation systems under Component 3.

## Staff Evaluation

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The Head of the PSIPMU will oversee the day to day operations of the project and will be responsible for all aspects of project implementation, including managing the work of all staff. The Head of the PSIPMU will reports to the Director of Planning.

## **SECTION 8 – REPORTING**

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This section provides a summary of the reports and reporting mechanisms discussed throughout the manual. Descriptions of the reports are provided below:

### **Project Progress Reports**

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These reports shall be submitted to the World Bank in accordance with section 5.08 of the General Conditions. The schedule for their submission is provided in Section 7 above.

### **Mid-Term Report**

---

On or about twenty four (24) months after project effective date, the GoSVG is required to submit to the Bank, a mid-term report documenting the progress achieved in the project during the period preceding this report. The report should take account the monitoring and evaluation activities performed during project implementation and should also recommend measures to ensure the efficient implementation of the project and the achievement of the project objectives for the remaining project implementation period.

Once submitted, and pursuant to the legal agreement, the GoSVG is required to review the mid-term report with the Bank, one month after its submission.

### **Project Completion Report**

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The final report on the execution of the project is to be submitted to the Bank not later than six months after the closing date of the project.

### **Interim Financial Report**

---

The Interim Financial Report summarizes the sources of project financing, with uses of funds summarized under the disbursement categories in the Grant/Credit/Loan Agreements, project expenditure by components and sub-components consistent with those in the Project Appraisal Document (PAD), project cash withdrawals, special account statement and project cash forecast. A detailed explanation of the IFR can be found in Section 5 of this Manual.

The financial reports are to be provided to the following organizations:

- 1 World Bank
  - 2 The Government of Saint Vincent and the Grenadines
-

## **Financial Audit Report**

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Financial Audits will be carried out by a qualified independent firm, and a report furnished to the Bank no later than six months after the end of each financial year. The audit will verify the financial statements and reports for the period.

## ANNEX 1

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### STEERING COMMITTEE

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#### Role of the Project Steering Committee

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The role of the Project Steering Committee is to:

- Assess project progress
- Provide advice and guidance on issues facing the project
- Assist with resolving strategic level issues and risks
- Use influence and authority to assist the project in achieving its outcomes

#### Responsibilities of the Steering Committee Chair

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The Steering Committee Chair is the Director of Planning. Should the Chair be unable to attend a meeting, the Deputy Director of Planning will serve as Committee Chair. The responsibilities of the Steering Committee Chair are as follows:

- Sets the agenda for each meeting.
- Ensures that agendas and supporting materials are delivered to members in advance of meetings.
- Makes the purpose of each meeting clear to members and explains the agenda at the beginning of each meeting.
- Clarifies and summarizes what is happening throughout each meeting.
- Keeps the meeting moving by putting time limits on each agenda items and keeping all meetings to two hours or less.
- Encourages broad participation from members in discussion by calling on different people.
- Ends each meeting with a summary of decisions and assignments.
- Follows up with consistently absent members to determine if they wish to discontinue membership.
- Finds replacements for members who discontinue participation.

## Responsibilities of Steering Committee Members

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Individual Steering Committee members have the following responsibilities:

- Understand the goals, objectives, and desired outcomes of the project.
- Understand and represent the interests of project stakeholders.
- Take a genuine interest in the project's outcomes and overall success.
- Act on opportunities to communicate positively about the project.
- Ensure that the project is making prudent decisions – especially in procurement and in responding to issues, risks and proposed project changes.
- Check that the project is aligned with the strategy as well as policies and directions across government as a whole.

## ANNEX 2

### FLOW OF FINANCIAL PROCEDURES

Report	Procedural Steps	Day of Month	Assisted by	Approved by
1) Monthly Bank Reconciliation	a) The CPD collects Bank Statements b) The Project Accountant inputs data c) Input data into Peachtree accounting software d) Process (excel spreadsheet) for confirmation e) Obtain approval of the Director of Planning	<i>Bank Statement received Monday of the second week of the following month. Reconciliation completed and signed on the following Monday</i>	Financial Specialist	Deputy Director of Planning  Deputy Director of Planning
2) Peachtree Report	a) Enter data into programme b) Produce Peachtree statements c) Cross-reference Peachtree with Monthly Bank Reconciliation Statements d) Use excel to produce spreadsheet reports	2 <sup>nd</sup> week of month 2 <sup>nd</sup> week of month 2 <sup>nd</sup> week of month 2 <sup>nd</sup> week of month	Financial Specialist	
3) Quarterly IFR Report	a) Monthly Bank Reconciliation b) Progress Report (from the Procurement Specialist, including procurement plan) c) Peachtree Report	<i>3<sup>rd</sup> Monday after previous quarter</i>	Procurement Specialist	Director of Planning
4) Year to date financial	a) Monthly Bank Reconciliation	<i>15<sup>th</sup> of second month of</i>		

<b>Report</b>	<b>Procedural Steps</b>	<b>Day of Month</b>	<b>Assisted by</b>	<b>Approved by</b>
statements and yearly audit	b) Peachtree Report	<i>new year</i>		
5) Fixed Asset Register & Acceptance of Accounts	a) Letter issued by CPD to party requiring and acceptance letter b) Letter reviewed from party accompanied by details and description of assets received i. Dependent upon parties response, CPD Officer may have to visit party to inspect/collect information on assets required for register c) Information reviewed and register can then be completed	<i>After receipt of a fixed asset</i>	Party receiving the fixed asset  Party receiving the fixed asset  CPD Assistant Secretary	
6) Prepare Payment Voucher	a) Invoice reviewed by the CPD must be approved by the Procurement Specialist for payment (e.g., in order to ensure it is correct) b) Supporting document is then organized (i) No-Objection (ii) Contract (copy) c) Approval issued by the Director MoFEP d) Voucher Prepared b) Approved by the CPD c) Approved by the AG department d) Sent to the World Bank	<i>Prepared ad hoc as payments come to the CPD</i>	Procurement Specialist   Director of Planning – Central Planning Division, MoFEP  CPD Coordinator Accountant General	Director of Planning  Accountant General
7) Daily posting and filing	Processed vouchers and documents and file in appropriate file	<i>Carried out daily when vouchers are paid</i>		

## ANNEX 3

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### ENVIRONMENTAL MANAGEMENT PLAN (EMP)

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In accordance with Bank environmental safeguards requirements, this program has been classified as Category B in accordance with OP/BP 4.01 on Environmental Assessments. Works proposed under the program are largely rehabilitation and retrofitting of selected infrastructure and public buildings, and impacts are generally associated with the actual construction phase of the works activities. Limited new constructions could be included in individual sub-projects such as water supply improvements or satellite warehouses. In addition, there will be some road stabilization works, coastal defense works, and flood mitigation works such as river defenses and bridges.

#### Implementation and Supervision

---

Supervision for environmental compliance will be managed through the CPD under Bank Supervision. In addition to Bank requirements, the CPD will also be responsible for ensuring the proper application of any national environmental requirements.

The implementation of environmental management procedures shall rest with the MoTW and shall be supervised by the CPD. The executing agency shall provide the contracting officer who will be responsible for direct supervision and implementation of works. Environmental management plans shall be included in bidding and contracting documents and shall be presented for approval to the contracting officer. These plans shall be reviewed, along with other contract documentation, by the CPD for presentation to the Bank.

The executing agency through the contracting officer shall designate a field representative who shall conduct periodic inspections to assure environmental compliance. These reports shall be forwarded to the CPD for inclusion in the contract performance documentation.

#### Standardized Generic Contract Clauses

---

To facilitate environmental management, the following standardized generic clauses have been developed for inclusion in construction contracts for minor works with limited potential environmental effects, such as rehabilitation or reconstruction works. These clauses may be modified to comply with the laws of Saint Vincent and the Grenadines and shall remain in force throughout the contract period. It is recommended that these clauses be included in an Environmental Appendix to construction contracts. In most cases, it is the responsibility of the contractor to present environmental plans to the construction project manager prior to commencement of the works. Plans developed need only be as detailed as the works require. Plans and contract clauses may be modified or added as needed to fit particular conditions of

specific subproject activities. (In the case where a specific subproject would involve environmentally complex conditions or potentially significant impacts (if unmitigated), a separate stand-alone EIA would be prepared and the mitigation measures and contract clauses would be taken from the EIA done specifically for that subproject, and the standardized generic contract clauses below would not be used.)

### *Site Security*

---

The contractor shall be responsible for maintaining security over the construction site including the protection of stored materials and equipment. In the event of severe weather, the contractor shall secure the construction site and associated equipment in such a manner as to protect the site and adjacent areas from consequential damages. This includes the management of onsite wastes, construction and sanitary, additional strengthening of erosion control and soil stabilization systems and other conditions resulting from contractor activities that may increase the potential for damages.

### *Discovery of antiquities*

---

If, during the execution of the activities contained in this contract, any material is discovered onsite which may be considered of historical or cultural interest, such as evidence of prior settlements, native or historical activities, evidence of any existence on a site which may be of cultural significance, all work shall stop and the supervising contracting officer shall be notified immediately. The area in which the material was discovered shall be marked and the evidence preserved for examination.

Work may resume, without penalty of prejudice to the contractor, upon permission from the contracting officer with any restrictions offered to protect the site.

### *Asbestos*

---

While asbestos materials have not been identified in structures targeted for repair or reconstruction under this project, asbestos management procedures, defined in this section, shall be implemented should they be discovered during the construction process.

If in the event a construction project requires the stabilization or removal of asbestos construction materials, the contractor shall contact the Public Health Department of the Ministry of Health and the Environment and with the assistance of the Solid Waste Management Unit of the Central Water and Sewerage Authority, develop an asbestos management plan. Site management shall consist of stabilizing friable asbestos and the provision of worker protection to prevent contamination with asbestos fibers. Respiratory protection together with measures to prevent the contamination of clothing and inadvertent transport of asbestos fiber off-site shall be provided to exposed workers.

The asbestos management plan shall include as a minimum:

- Description of the issue and extent of contamination
- Site safety measures
- Stabilization techniques to be employed

- Storage and transport plan
- Approved disposal procedure
- Worker awareness and training

### *Worker Sanitation*

---

Sanitation facilities shall be provided to site workers. All sanitary wastes generated as a result of project activities shall be managed in a manner approved by the contracting officer. The contractor shall provide the contracting officer with a site sanitation plan for approval and implementation prior to the commencement of site activities.

### *Noise Control*

---

The contractor shall control noise emissions generated as a result of contracting activities to the extent possible. In the case of site locations where noise disturbance will be a concern, the contractor shall ensure that the equipment is in good working order with manufacturer supplied noise suppression (mufflers etc.) systems functioning and in good repair. Where noise management is a concern, the contractor shall make reasonable efforts to schedule activities during normal working hours (between 8 am and 5 pm). Where noise is likely to pose a risk to the surrounding community, the contractor shall inform the CPD and shall develop a public notification and noise management plan for approval by the CPD.

### *Use and management of hazardous materials, fuels, solvents and petroleum products*

---

Any use hazardous materials excluding pesticides, oils, fuels and petroleum products shall conform to the proper use recommendations of the product. Waste hazardous materials and their containers shall be disposed of in a manner approved by the contracting officer. A site management plan will be developed by the contractor if the operation involves the use of these materials to include estimated quantities to be consumed in the process, storage plans, spill control plans, and waste disposal practices to be followed. This plan is subject to the approval of the contracting officer. The minor use of pesticides such as for treatment of building foundations shall be done through registered and/or licensed pest control specialists.

### *Use of preservatives and paint substances*

---

All paints and preservatives shall be used only with the approval of the contracting officer. Information shall be provided to the CPD that describes the essential components of the materials to be used so that an informed determination can be made as to the potential for environmental effects and suitability can be made. Storage, use, and disposal of excess paints and preservatives shall be managed in conformance with the manufacturer's recommendations and as approved by the CPD. The contractor shall provide the contracting officer with a list of materials and estimated quantities to be used, storage, spill control and waste disposal plans to be observed during the execution of the contract. This plan is subject to the approval of the contracting officer.

### *Site stabilization and erosion control*

---

Contractor shall implement measures at the site of operations to manage soil erosion through minimization of excavated area, preservation of existing ground cover to the extent possible, provision of approved ground cover.

Where excavations are made, contractor shall implement appropriate stabilizing techniques to prevent cave-in or landslide. Erosion control measures shall be approved by the contracting officer.

An erosion management plan will be required where the potential exists for significant sediment quantities to accumulate in wetlands, lakes, rivers and near-shore marine systems. This plan shall include a description of the potential threat, mitigation measures to be applied, and consideration for the effects of severe weather and an emergency response plan.

### *Management of standing water*

---

Under no circumstances shall the contractor permit the collection of standing water as a consequence of contractor activities without the approval of the contracting officer and consultation with the Ministry of Health's environmental health unit.

### *Management of trash and debris*

---

The contractor shall provide the contracting officer with a trash and debris management plan that conforms to the solid waste management policies and regulations of Saint Vincent and the Grenadines. Under no circumstances shall the contractor allow construction wastes to accumulate so as to cause a nuisance or health risk due to the propagation of pests and disease vectors. The site waste management plan shall include a description of how wastes will be stored, collected and disposed of in accordance with current law. Additionally the contractor shall provide for the regular removal and disposal of all site wastes and provide the contracting officer with a schedule for such removal.

### *Rehabilitation of Government Buildings*

---

The project includes rehabilitative works to health centres, schools and police stations. In some cases, construction may occur while the facility is in use. If this is the case, the contractor shall seek to minimize as much as possible, the inconveniences, working with facility managers to control the storage and flow of materials. In addition, the implementing agency, contractor and facility managers may agree on measures to ensure that disruption is minimal; such as e.g. a shift system and alternate work hours.

## **ANNEX 4**

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### **TERMS OF REFERENCE - ENVIRONMENTAL IMPACT ASSESSMENT (EIA)**

#### **Saint Vincent and the Grenadines - Regional Disaster Vulnerability Reduction Project**

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##### **Introduction**

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{General Description of the Activity and need for EIA}

According to the Bank's Environmental Assessment Policy [OP4.01] the project is classified as Category B meaning that environmental impacts for the type of work anticipated under the project are expected to be moderate in nature and can be managed through the application of appropriate engineering and management measures.

{The purpose of this consultancy is to .....}

##### **Background Information**

---

{Describe setting and relevant attributes of the project and environs}

##### **Objectives**

---

{Describe specific objectives of the EIA}

The EIA will be conducted in compliance with World Bank requirements as presented in OP 4.01, Environmental Assessment and shall include considerations as presented in Bank Safeguards OP/BP 4.04, Natural Habitats and OP/BP 4.11, Physical Cultural Resources.

##### **Scope**

---

{Describe Scope of EIA and limiting factors}

##### **Specific EA Requirements**

---

{Detail specific activities to be accomplished and known issues to be examined in addition to those to be discovered during the assessment}

{EA Outline} At a minimum, the EIA will include the following:

Executive Summary of not more than 2 pages

## Description of the Project

Legal framework including environmental, land use, water management and other related laws and regulations

## Description of the Existing Environment

Biological

Physical

Socioeconomic

## Analysis of project Impacts

Biological

Physical

Socioeconomic

## Mitigation Analysis

Mitigation plan

Environmental Management Plan

Record of consultations

Technical Annexes

List of Preparers

{Add additional reporting as needed}

## **Qualifications of Consultant**

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The consultant shall have a minimum of a bachelors degree in natural sciences or related discipline and a minimum of 5 years experience in the development of Environmental assessments and analysis. Consultant shall have demonstrated experience in the analysis of impacts related to civil works.

## **Schedule**

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{Provide period of execution and deliverable schedule}

## **ANNEX 5**

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### **PROCUREMENT/CONTRACT MANAGEMENT SPECIALIST**

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#### **Summary**

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The Procurement/Contract Management Specialist will perform in a dynamic and proactive manner the following tasks. The specialist will perform similar activities under other WB's financed projects (including the Hurricane Tomas Emergency Recovery Project).

#### **Qualifications/ Experience**

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- Engineering or Project Management degree with a minimum of 10 years experience in managing projects and handling procurement at international level.
- Experience with donor programs and knowledge of procurement regulations and bidding documents used by multilateral and/or bilateral donors.
- Experience in contract management, supervision of goods and works and handling claims.
- Experience in training in Bank's procurement procedures, and practical experience in application of WB's rules, use of bidding documents and consultant's selection procedures and documents.
- Experience in working with Government is desirable.
- Demonstrated ability to work in teams within a collaborative mode.
- Fluency in English and good communication skills.

#### **Duties and Responsibilities**

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- Assist with project implementation generally and report on all matters relating to procurement of goods, works and services (including civil works and related consulting services, furniture, equipment, materials and supplies, fellowships and training, and specific services provided by individuals) under the project and provide systematic, timely information for use by the Government and the funding agencies on the procurement of all civil works, goods and services for the RDVRP

- Prepare and update the project procurement plan and corresponding budget for tracking purposes, identifying if the bids are for international or local tender, the timing of each procurement.
- Provide support in preparation and review of Bidding Documents, Request for Proposals (RFP), and Expressions of Interest including standardized Forms to be used for NCB, International and Local Shopping, Direct Contracting, Consultants Selection etc.
- Ensure timely publication of the annual General Procurement Notices (GPN), Specific Procurement Notices (SPN), and requests for Expression of Interests (EOI) when required.
- Maintain a Register of qualified suppliers and consultants and ensure periodic update of the Register.
- Interact with the Government's and technical officers, for coordination of the preparation of Terms of Reference for Consultants and Specifications/Drawings/Bills of Quantities for goods and works.
- Initiate and coordinate the procurement process for any procurement method, and provide support in the selection of the short lists consultants and pre-qualification of suppliers or contractors where necessary.
- Coordinate the response to the inquiries from tenderers or consultants.
- In cases of procurement actions requiring the Bank's "no objection", coordinate the dispatch of procurement documents to the Bank, monitor the Bank's response time on issuing "no objections" at different levels of the procurement process and follow-up accordingly.
- Conduct any pre-tender meetings or site visits.
- Assist in the coordination of the Evaluation Committee meetings, including any bid opening session, and assume the role of the Committee's secretary if required in recording the minutes of the meetings.
- Prepare the minutes of the Evaluation Committee meetings, and assist the Central Supplies Tenders Board for bidding and evaluation purposes as required.
- Assist in the preparation of any tenders evaluation report and proposals evaluation report.

- Provide support in preparation of the final contracts, and ensure timely distribution of all relevant procurement and contract documents to all stakeholders (Government, Accounts Department, Technical Officers, Consultants, Suppliers, and the Bank).
- Monitor timely receipt of the Goods, provisional acceptance of works and consultant's monthly status reports.
- Monitor the issuance of final acceptance certificates by the Project in respect to delivery of goods, handing over of works, completion of services.
- Monitor the receipt of the Suppliers and Consultants invoices and ensure the request does not exceed the contract allowance.
- Where required payments exceed the contract amount, verify the validity of the invoice, and prepare a request for "no objection" from the Bank for extension of supplies or services.
- Assist in dealing with any claims during implementation or any dispute or arbitration arising from performance of the contractors/ suppliers/ consultants.
- Maintain the performance-monitoring database for all suppliers and consultants.
- Maintain and update the Project's procurement filing system, and ensure timely input of all relevant documents in their respective files.
- Provide intensive procurement training program for national staff that might be appointed for implementation of the Project.
- Establish and maintain an inventory of final destinations of all goods/equipment procured under the projects, including specifically inventories of all goods/equipment supplied to individual schools; Manage the distribution of furniture, equipment, materials and supplies procured under the project to the end-users.
- Keep records for performance of goods and services, and brand names procured from various manufacturers for evaluation with regard to performance requirements of the Ministry of Education in order to construct and maintain a performance portfolio of experiences for the Ministry.
- Carry out actions necessary to acquire and maintain insurance policies consistent with IDA guidelines, and to require and maintain equipment service agreements.

## Specific Responsibilities

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In assisting in the above areas, the Procurement/Contract Management Specialist will:

- Establish and maintain records of, and monitor schedules and compliance with, procurement procedures pertinent to International Competitive Bidding, Limited International Bidding and local Competitive Bidding under the RDVRP for all goods, works and services including training and expert services.
- Establish and maintain records of all schedules and bidding documents on procurement under the RDVRP, for processing and for the file records of the CPD.
- Prepare and submit to the Director of Planning, bidding documents for procurement of goods or works under RDVRP, and prepare for forwarding to the Bank, as appropriate, the necessary documentation for their review.
- Keep abreast of all procurement procedures as are outlined by the IDA procedures under the Agreements.
- Work closely with the Financial Management Specialist of the CPD in preparing budgetary estimates and in ensuring timely, complete documentation of actual expenditures incurred in relation to procurement of civil works (including professional fees), goods and services.
- Prepare procurement related section for inclusion in the quarterly progress reports, and other reports/information as may be requested by the Director of Planning and in any forms [reports/diagrams] that might be required by the Project's needs.

## ANNEX 6

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### FINANCIAL MANAGEMENT SPECIALIST

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The Financial Management Specialist will assist the CPD in all financial management, disbursement, accounting and audit related matters, and provide financial supervisory services for the various project components. He/she will assist with the preparation every quarter of the Project's Financial Monitoring Report, taking into consideration the FMR procedures of the World Bank, which is expected to include: (i) Financial Statements; (ii) Programme Progress in coordination with the Procurement Specialist; and (iii) Procurement Management (including Goods, Works and Services).

#### Qualifications and Experience:

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- A first degree in Accounting
- 10 years experience
- Qualifications in Project Accounting
- Familiarity with fiduciary and disbursement procedures of the World Bank desirable

#### Duties and Responsibilities

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The Financial Management Specialist will be responsible for:

- Ensuring that all accounting records and bank accounts are up-to-date using computerized accounting system.
- Preparing monthly Bank Reconciliation for all Bank Accounts (Special Account, Project Account, etc.) on a timely basis.
- Submitting monthly Bank Reconciliation for Project Account to the Accountant General for the maintenance of the Government's accounting records and General Ledger.
- Establishing and maintaining suitable systems of internal control (including procurement - goods, works and services, fixed assets, civil works, inventories management and distribution).
- Developing a Financial Procedures Manual within an agreed time frame (and thereafter updating the Manual on a regular basis).
- Preparing the project's Budgets/Cash Flow Projections.

- Monitoring Programme compliance with the Government's accounting reporting requirements.
- Preparing Quarterly and Annual Program Financial Statements, as well as reporting on material variances; recommending remedial action, as appropriate, within an agreed time frame.
- Ensuring compliance with operating procedures of donors (e.g. Procurement, Disbursements, Special Accounts, Special Commitments, etc); also, meeting with all stakeholders on relevant financial matters and ensuring that the accounting reporting system is responsive to their expectations.
- Assessing reports received from internal/external auditors and following up any audit queries/management letters.
- Monitoring, in conjunction with the Procurement/Contract Management Specialist, the management aspects of all project activities, as well as evaluating any difficulties being experienced (e.g. comparing actual results with agreed performance indicators, physical existence, etc.).
- Reviewing information technology issues, including the computerization of accounting records.

## **ANNEX 7**

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### **RESULTS AND MONITORING FRAMEWORK**

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PDO Level Results Indicators*	Core	Unit of Measure	Baseline	Cumulative Target Values**						Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description (Indicator Definition, etc.)
				YR 1	YR 2	YR3	YR 4	YR5	YR6				
<b>PDO Indicator One:</b> Reduced risk of OECS population to failure of public buildings and infrastructure due to natural hazards or climate change impacts	<input type="checkbox"/>	Number of people	764 people at risk in unsafe public buildings	764	764	549	287	0	0	Twice a year	Semi-annual Project Progress Reports	Project Management Units	Measurement of reduced risk of OECS population to failure of public buildings and infrastructure
<b>Grenada:</b> Reduced risk of Grenada's population to failure of public infrastructure due to natural hazards or climate change impacts	<input type="checkbox"/>	Number of people	444 people at risk in unsafe public buildings	444	444	349	87	0	0	Twice a year	Semi-annual Project Progress Reports;	PCU; Ministry of Works, Physical Development and Public Utilities	Measurement of public buildings, structurally improved under the Project
<b>Saint Vincent:</b> Reduced risk of SVG's population to failure of public buildings due to natural hazards or climate change impacts	<input type="checkbox"/>	Number of people	320 people at risk in unsafe public buildings	320	320	200	200	0	0	Twice a year	MoTW Supervision Reports  Semi-annual Project Progress Reports	CPD; Ministry of Transport and Works (MoTW)	Measurement of public buildings structurally improved under the Project
<b>PDO Indicator Two:</b> Increased capacity of OECS Governments to identify and monitor climate risk and	X	Number of people trained	6 trained people	14	14	18	18	18	18	Twice a year	Semi-annual Project Progress Reports  Records of	Project Management Units	Measurement of increased national capacity to capture and manage climate data as well as

impacts											the people trained and participated in trainings as well as instrumentation/software installed		develop and utilize hazard models for improved decision making
<b>Grenada:</b> Number of Government officials able to produce location-specific exposure maps	X	Number of officials trained	2 technical officials with specific training on GIS analysis tools	6	6	8	8	8	8	Twice a year	Semi-annual Project Progress Reports  Number of people participating in training  Inventory report of instrumentation/software installed	PCU; NaDMA;  Physical Planning Unit	Measurement of increased national capacity to capture and manage hazard and climate risk data
<b>Saint Vincent:</b> Number of Government officials able to produce location-specific exposure maps	X	Number of officials trained	2 technical officials with specific training on GIS analysis tools	6	6	8	8	8	8	Twice a year	Semi-annual Project Progress Reports  Number of people participating in training  Inventory report of instrumentation/software installed	CPD; NEMO; MoHILPP	Measurement of increased national capacity to capture and manage hazard and climate risk data

**SAINT VINCENT AND THE GRENADINES INTERMEDIATE RESULTS**

**Component 1 Level Result (Prevention and Adaptation Investments)**

<b>Intermediate Result Indicator One:</b> Reduced risk of SVG's population to flooding in areas with flood mitigation works financed by the Project	<input type="checkbox"/>	Number of people	15 households with an average of 4 people per household for a total of 60 people	60	60	30	20	0	0	Twice a year	MoTW Supervision Reports  Semi-annual Project Progress Reports	CPD;  MoTW	Measurement in reduction in number of people exposed to flooding
<b>Intermediate Result Indicator Two:</b> Number of gabion baskets used in construction of flood mitigation works	<input type="checkbox"/>	Number of gabion baskets	0 gabion baskets have been used at the start of the Project	0	1,000	2,000	6,000	7,000	8,400	Twice a year	MoTW Supervision Reports  Project Progress Reports	CPD;  MoTW	Measurement in progress towards decreased risk of flooding
<b>Intermediate Result Indicator Three:</b> Reduced risk of SVG's population to failure of roads and bridges due to natural hazards or climate change impacts	<input type="checkbox"/>	Number of people	Daily users currently at risk: 1) Fenton (2) – 500 2) South River Rd Bridge – 10,000	10,500	10,500	10,000	0	0	0	Twice a year	MoTW Supervision Reports  Project Progress Reports	CPD;  MoTW	Measurement in reduction of number of user days of roads at decreased capacity due to floods, landslides, or structural failure
<b>Intermediate Result Indicator Four:</b>		Number of designs	0 designs and Pre-	0	2	5	6	6	6	Twice a year	Semi-annual Project	CPD;	Measurement in progress towards

Designs and Pre-engineering/geotechnical studies completed for roads and bridges rehabilitated under the Project	<input type="checkbox"/>	and pre-engineering/geotechnical studies completed	engineering/geotechnical studies are complete								Progress Reports	MoTW	decreased risk of users to roads and bridge failure due to natural hazards or climate change impacts
<b>Component 2 Level Result (Regional Platform for Hazard and Risk Evaluation, and Applications for Improved Decision Making)</b>													
<b>Intermediate Result Indicator One:</b> Percentage of public buildings geo-referenced in a national exposure database	<input type="checkbox"/>	Percent	0 percent of public buildings in national exposure database	0	30	50	50	100	100	Twice a year	Semi-annual Project Progress Reports  Number of public buildings included in exposure database  Completion of database	CPD; NEMO; MoHILPP	Measurement of increased national capacity to capture and analyze hazard exposure of public buildings
<b>Intermediate Result Indicator Two:</b> Public building geo-spatial information collected	<input type="checkbox"/>	Number of buildings	0 public buildings in which geo-spatial information has been collected	0	40	75	100	130	160	Twice a year	Semi-annual Project Progress Reports  Number of public buildings included in exposure database	CPD; NEMO; MoHILPP	Measurement of increased national capacity to capture hazard exposure of public buildings
<b>Intermediate Result Indicator Three:</b> Number of Government officials who complete training on producing location-specific exposure maps	<input type="checkbox"/>	Number of people	2 technical officials have completed training on producing location-specific exposure	6	6	8	8	8	8	Twice a year	Semi-annual Project Progress Reports  Number of people participating in training  Inventory	CPD; NEMO; MoHILPP	Measurement of increased national capacity to capture and manage hazard and climate risk data

			maps								report of instrumentation/software installed		
<b>Intermediate Result</b> <b>Indicator Four:</b> Number of location-specific exposure maps completed by staff trained under the Project	<input type="checkbox"/>	Number of exposure maps	0 exposure maps completed by staff trained under the Project	0	0	5	10	15	20	Twice a year	Semi-annual Project Progress Reports	CPD; NEMO; MoHILPP	Measurement of increased national capacity to analyze and manage hazard and climate risk data

## ANNEX 8

### INTERIM FINANCIAL REPORT

Government of SVG					
Project #.....					
Regional Disaster Vulnerability Reduction Project (RDVRP)					
Interim Un-audited Financial Monitoring Report					
Expenditure Summary					
For the Semester ending _____					
(US\$'000's)					
	IDA Credit	SCF-PPCR Loan	PPCR Grant	TOTAL	Remarks
1. Prevention and Adaptation Investments				-	
2. Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision Making				-	
3. Natural Disaster Response Investments				-	
4. Project Management and Implementation Support				-	
5. Front End Fee				-	
<b>Total</b>				-	

<b>Government of SVG</b>						
<b>Project #.....</b>						
<b>Regional Disaster Vulnerability Reduction Project (RDVRP)</b>						
<b>Interim Un-audited Financial Monitoring Report</b>						
<b>Sources and Uses of Funds</b>						
<b>For the Semester ending on .....</b>						
<b>(Amounts in US'000)</b>						
	SEMESTER			CUMMULATIVE		
	Budgeted	Actual	Variance	Budgeted	Actual	Variance
<b>RECEIPTS:</b>						
IDA Credit						
SCF-PPCR Loan						
PPCR Grant						
<b>Total Receipts</b>						-
<b>Less: Payments (By Project Component)</b>						
1. Prevention and Adaptation Investments						
2. Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision Making						
3. Natural Disaster Response Investments						
4. Project Management and Implementation Support						
5. Front End Fee						
<b>Total Expenditures</b>						
<b>NET RECEIPTS</b>						
Foreign Exchange Difference						
<b>Opening Balances</b>						
IDA Credit						
SCF-PPCR Loan						
PPCR Grant						
<b>Total Opening Balances</b>						
<b>Closing Balances</b>						
IDA Credit						
SCF-PPCR Loan						
PPCR Grant						
<b>Total Closing Balances*</b>						
Difference due to Exchange Rate Fluctuations						
Notes: Exchange rates used						

**Government of SVG**

**Project #.....**

**Regional Disaster Vulnerability Reduction Project (RDVRP)**

**Interim Un-audited Financial Monitoring Report**

**Cash Forecast Statement**

**For the Semester ending on.....**

	Disbursement Category	IDA Credit	SCF-PPCR Loan	PPCR Grant	Total	Remarks
1	Prevention and Adaptation Investments					
2	Regional Platforms for Hazard and Risk Evaluation and Applications for Improved Decision Making					
3	Natural Disaster Response Investments					
4	Project Management and Implementation Support					
5	Front End Fee					
	<b>TOTAL AMOUNT</b>					
	Exchange Rate US\$1 =EC\$					

**Government of SVG**  
**Regional Disaster Vulnerability Reduction Project (RDVRP)**  
**Interim Un-audited Financial Monitoring Report**  
**COMMITTED**

Contract Number	Contract Description	Contract Estimate	Status

## ANNEX 9

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### Links to Bank Standard Bidding And Proposal Documents

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SBD for Goods:

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:21351162~isCURL:Y~menuPK:84284~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

Bid Evaluation Form (Goods and Works):

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20062543~isCURL:Y~menuPK:84284~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

Standard Request for Proposals (Consulting Firms):

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20199092~isCURL:Y~menuPK:84284~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

Consultant – Sample Evaluation Report:

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20199092~isCURL:Y~menuPK:84284~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

## **ANNEX 10**

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### **Action Plan of Activities for St. Vincent and the Grenadines**

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## **Action Plan of Activities For Saint Vincent & the Grenadines**

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### **OECS Regional Disaster Vulnerability Reduction Project (P117871)**

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#### **Component 3: Natural Disaster Response Investments**

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**Submitted: June, 2013**

**Prepared by: Central Planning Division  
Ministry of Financing and Economic Planning**

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## A - Executive Summary

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1. This document was prepared pursuant to the Financing Agreements for the OECS Regional Disaster Vulnerability Reduction Project (RDVRP – P117871). The Financing Agreements stipulate the preparation and submission of an acceptable Action Plan of Activities for *Component 3: Natural Disaster Response Investments* (hereafter referred to as “Component 3”) as one of two conditions of effectiveness for said Component.
2. This document serves as the Government of Saint Vincent & the Grenadines (GoSVG) Action Plan of Activities and details the following: (i) the proposed emergency activities to be financed by the proceeds allocated to the RDVRP’s Component 3 (Disbursement Category 2); and (ii) the coordination and implementation arrangements related to the programing and execution of said activities.
3. Upon approval by the World Bank, the Action Plan of Activities will be annexed to the RDVRP Operations Manual and will be used by the staff of the Ministry of Finance and Economic Planning’s Central Planning Division (CPD) and other persons involved in the execution of the RDVRP to guide their actions, as they relate to:
  - a. Triggering of Component 3;
  - b. Coordination and implementation of the Action Plan of Activities;
  - c. Procurement of the services, goods and works associated with said Plan;
  - d. Financial management and disbursement of the funds allocated to the Disbursement Category 2;
  - e. Compliance with the RDVRP’s safeguard policies;
  - f. Monitoring and evaluation of the Action Plan of Activities.
4. The specific activities to be financed by the proceeds allocated to Component 3 are event and demand driven and the contents of this Action Plan of Activities represent the framework by which Component 3 will be triggered and by which the eligible activities will be coordinated and implemented in accordance with World Bank and National policies and procedures.

## B - Background

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5. The GoSVG received financing from the World Bank and its hosted Trust Funds<sup>13</sup> for the purposes of participating in the RDVRP. The development objective of the RDVRP is to measurably reduce Saint Vincent & the Grenadines’ vulnerability to natural hazards and the adverse impacts of climate change. The Project’s development objective will be achieved through, *interalia*, investments in activities that will improve its resilience to recurring natural hazards and the longer-term impacts associated with climate change.

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<sup>13</sup> Trust Funds include the (i) Climate Investment Funds’ Pilot Program for Climate Resilience; and (ii) the Global Facility for Disaster Reduction and Recovery

6. The GoSVG's financing envelope for the RDVRP is \$US 20.92 million, of which approximately \$US 1 million (650,000 Special Drawing Rights) is allocated to Component 3. Consistent with the RDVRP's development objective, Component 3 will finance post-disaster critical imports and emergency recovery and reconstruction works and associated supporting consulting services identified in the Action Plan of Activities in support the GoSVG's rapid emergency response efforts.
7. If the GoSVG determines that the cost of the post-disaster critical imports and emergency recovery and reconstruction works exceeds the initial financial resources allocated to Component 3, the GoSVG reserves the right to submit a request to re-allocate finances within the RDVRP vis-à-vis the re-categorization of uncommitted financial resources from Disbursement Category 1 to Disbursement Category 2. This request will be included in the Action Plan of Activities Cover Letter sent to the World Bank and will be supported by an Appendix to the Action Plan of Activities detailing the proposed re-categorization of financial resources.

### **C - Mechanism for Triggering Component 3: Natural Disaster Response Investments**

8. Per the RDVRP Financing Agreements, two conditions of effectiveness must be met in order to access the financing allocated to Component 3 (Disbursement Category 2). The two conditions of effectiveness are as follows:
  - a. Establish a causal relationship between the relevant emergency and the need to trigger Component 3 and withdraw the financing allocated to Disbursement Category 2; and
  - b. Prepare and furnish to the World Bank an acceptable proposed Action Plan of Activities for financing utilizing the proceeds allocated to Disbursement Category 2.
9. In accordance with the National Disaster Response Plan of the GoSVG, the National Emergency Management Organization (NEMO) – as mandated by the National Emergency and Disaster Management Act, 2006 - will lead the preliminary Damage and Needs Assessment. This initial assessment will produce a report that provides information related to the nature and scope of damages sustained by the public and private sector. Based on the information contained within the report, the Prime Minister – as Chair of the National Emergency Council – may declare that a “disaster for the state” has occurred. This shall be done via a Disaster Notification Service or a formal announcement via National broadcast. Proof of this declaration will be provided in the form of a copy of the Disaster Declaration Document. This document will be included in Appendix VII of the Action Plan of Activities.
10. The initial damage assessment report will be supplemented with sectoral reports produced by the key agencies of the GoSVG Damage and Needs Assessment Committee. Based on the identified scope of needs, the GoSVG will activate the National Disaster Plan, which requires the specific identification and prioritization of critical recovery and reconstruction activities, including critical imports. Those activities selected for financing by Component 3 will be communicated to the World Bank in the Action Plan of Activities. The scheduling of the procedural steps by which the Action Plan of Activities will be prepared is found in Appendix I.

11. The fulfillment of the conditions of effectiveness and the request to trigger Component 3 and access the financing allocated to Disbursement Category 2 will be communicated to the World Bank's Caribbean Country Director by the Minister of Finance by letter. This letter will contain the following information:
  - a. Nature of emergency, its impacts and confirmation of causal relationship (as supported by the Declaration of the National Emergency found in Appendix VII of the Action Plan of Activities) between the event and the need to access the financing allocated to Disbursement Category 2;
  - b. Nature of emergency activities (brief description); and
  - c. Action Plan of Activities & Supporting Appendices.

## **D - Coordination & Implementation Arrangements**

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12. The CPD within the Ministry of Finance and Economic Planning is the lead agency within the GoSVG responsible for coordinating the RDVRP, including the preparation and implementation of the Action Plan of Activities. Specific responsibilities of the CPD, include – *inter alia* – (i) processing documentation required for disbursement of the Category 2 funds; (ii) procuring goods, works and services identified in the Action Plan of Activities; and (iii) preparing and maintaining records, accounts and financial statements referred to in the RDVRP's Financing Agreements; (iv) coordination and implementation of the Action Plan of Activities; and (v) monitoring and evaluation of the Action Plan of Activities.
13. In addition to the CPD, a Project Steering Committee supports the RDVRP. The Steering Committee will meet quarterly to review project implementation performance and be convened, when necessary, to attend to urgent matters which may arise in the course of implementation of the RDVRP. Generally, the role of the RDVRP Steering Committee is to:
  - a. Assess project progress;
  - b. Provide advice and guidance on issues facing the project;
  - c. Assist with resolving strategic level issues and risks;
  - d. Use influence and authority to assist the project in achieving its outcomes;
  - e. Support the CPD with the prioritization of the activities to be financed in the Action Plan of Activities.
14. The specific responsibilities of the Steering Committee are outlined in Annex 1 of the SoSVG's RDVRP's Operation Manual.
15. Line Ministries will provide the requisite technical assistance to the CPD as related to the finalization of procurement bidding documents and the technical supervision of the emergency recovery and reconstruction works. The GoSVG will bolster – as needed - its supervision capacity through the engagement of technical consultants to support the preparation of bidding documents and site supervision of works. The technical consultants will work closely with the Line Ministries but report to the CPD.

## **E – Activities to be financed**

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16. The specific types of goods, services and works that are eligible for procurement are detailed in the Financing Agreement and are as follows:
- a. Critical Imports: Eligible expenditures on critical imports required by the public/private sectors (imported or locally manufactured) under Component 3 are:
    - i. Construction materials, equipment and industrial machinery
    - ii. Water, air, land transport equipment, including spare parts
    - iii. Agricultural equipment and inputs, including seeds and fertilizer (excluding pesticide)
    - iv. School and medical supplies and equipment
    - v. Petroleum and other fuel products
    - vi. Food and water containers
    - vii. Any other item agreed to between the World Bank and the Recipient (as documented in an Aide-Memoire or other appropriate Project document)
  - b. Emergency Subprojects: According to Schedule 2 of the Financing Agreement, an investment activity shall qualify as an Emergency Recovery and Reconstruction Subproject only if it aims to:
    - i. Repair or reconstruct streets, roads, bridges, transportation and other infrastructure damaged by the event in question;
    - ii. Re-establish telecommunications infrastructure damaged by the event;
    - iii. Reestablish urban and rural solid waste, water supply and sanitation (including urban drainage) damaged by the event;
    - iv. Repair, re-equip, construct or reconstruct homes, schools, clinics, hospitals or works of cultural significance or other communal structures damaged by the event
    - v. Remove and dispose of debris resulting from the emergency event
    - vi. Restore productive assets belonging to uninsured low-income producers damaged by the event in question;
    - vii. Replace vegetation destroyed by the event of the Emergency in question;
    - viii. Repair or mitigate damage caused by the event of the Emergency to a national natural protected area or buffer zone thereof.
17. There also exists an Emergency Recovery and Reconstruction Subprojects Negative List which lists in detail activities not eligible for funding. This list can be found in Schedule 4 of the Financing Agreement.

## **E - Procurement**

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18. The CPD is responsible for ensuring that the procurement policies and procedures governing the RDVRP are fully and successfully applied to the contracting of goods, works and services related to the Action Plan of Activities. These policies and procedures are detailed in Section 4 of the GoSVG RDVRP's Operation Manual. In addition to ensuring that the procurement policies and procedures are respected, the CPD is also responsible for ensuring that none of the proposed activities to be

financed under the Action Plan of Activities are on the negative list of activities ineligible for financing, as identified in the RDVRP Financing Agreement.

19. Using the proceeds allocated to Disbursement Category 2, the Action Plan of Activities will finance a combination of critical imports and emergency civil works and associated services. Per the World Bank’s review of procurement methods and prior review thresholds for OECS countries the following standard thresholds for procurement methods and the respective prior reviews will govern the procurement activities associated with the Action Plan of Activities. However, upon triggering the component, there is the possibility that higher procurement thresholds could be applied.

<b>Expenditure Category</b>	<b>Contract Value (Threshold) US\$ Thousands</b>	<b>Procurement Method</b>	<b>Contracts Subject to Prior Review</b>
<i>1. Works</i>			
	>1,500	ICB	All
	150-1500	NCB	First Contract & all >750
	<150	Shopping	First Contract
	Regardless of Value	Direct Contracting	All
<i>2. Goods</i>			
	>150	ICB	All
	50-150	NCB	First Two Contracts
	<50	Shopping	First Contract
	Regardless of Value	Direct Contracting	All
<i>3. Consulting Services</i>			
3.1 Firms	>100	QCBS, QBS, FBS, LCS	All Contracts
	<100	QCBS, QBS, FBS, LCS, CQS	First Contract
	Regardless of Value	Single Source	All
3.2 Individuals	Regardless of Value	Comparison of 3 CVs	ToR

20. In order to expedite the procurement of critical imports, the services related to the preparation and management of civil works contracts, and of contractors responsible for the execution of the emergency sub-projects, the CPD will pre-qualify –on an annual basis- vendors and contractors and the short-lists of consultants to provide the services related to the preparation of the final bidding documents and the supervision of the emergency sub-projects. The notices of Request for Expression of Interest (consultants & contractors) and the short-listing of consultants are included in Appendix VI.
21. The pre-qualification of vendors and contractors and the short-listing of consultants will take place before the beginning of the annual hurricane season and will be redone annually.
22. The information contained within the notices will be informed by the contents of the draft Action Plan of Activities Procurement Plan. The draft Action Plan of Activities Procurement Plan is presented in Appendices II and III <sup>14</sup> and is organized as follows:

<sup>14</sup> The final Action Plan of Activities procurement plan will only be finalized following the occurrence of an event due to the demand and event driven nature of Component 3.

- a. Critical Imports
  - i. Tentative list of goods, materials, and equipment as well as their expected unit costs, anticipated quantity and generic technical specifications;
  - ii. List of identified suppliers/vendors that have sufficient capacity to supply the identified critical imports<sup>15</sup>; and
  - iii. Description of procurement methods and supporting procurement documents that the PCU will use.
  
- b. Emergency Sub-Projects
  - i. Identified potential eligible sub-projects
  - ii. Description of procurement methods, qualifications requirements and a list(s) of firms (national & regional) that have demonstrable track record (technical, financial & operational) implementing similar activities
  - iii. Draft ToR / Bidding documents that will be used to contract: (i) technical services to support the scoping /design & supervision of the subprojects; and (ii) firms to execute the civil works.

23. The CPD has prepared draft bidding documents and contracts for anticipated reconstruction works for river defense and road & building rehabilitation. A list of these documents is found in Appendix IV.

24. While the CPD has endeavored to prepare draft terms of reference, bidding documents and contracts, the event and demand driven nature of the activities to be included under the Action Plan of Activities necessitates that those documents listed in Appendix IV are draft in nature and will be updated to reflect the specific needs identified by the GoSVG's Damage and Needs Assessment Committee.

## Selection of Consultants and Procurement of Civil Works and Goods

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### A. Consultants

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25. *Single-source Selection.* Single-source selection of consulting firms and individuals (paragraphs 3.10 (b) and 5.4, respectively, of the Consultant Guidelines) may be used only if it presents a clear advantage over competition for the required consulting services. Firms that are already working in the country and that have a proven track record in similar assignments may be the most suitable option for the start-up activities. Consultants selected on a single-source basis may be given the right to participate in future assignments under the same project provided that there is no conflict of interest with the tasks performed under the initial contract. However, for future or downstream assignments, any available information must be shared with all participating firms to ensure a level playing field.

26. *Selection of Consulting Firms through Consultants' Qualification Selection (CQS).* CQS is often the appropriate method for small assignments and the selection is carried out in accordance with paragraph 3.7 of the Consultant Guidelines. In exceptional cases, when CQS needs to be followed for contracts estimated to cost more than \$300,000, the RPM reviews and clears each case.

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<sup>15</sup> Will be completed once the pre-qualification process is finished.

27. *Consultant Shortlists.* On an exceptional basis the RPM may clear shortlists of consultants where fewer than six firms have expressed an interest to submit requests for proposals and where a wide geographic spread of shortlisted consultants cannot be achieved.
28. If advertising at an international or national level would impede a rapid selection, advertising for expressions of interest may be forgone or limited to the local/provincial level for assignments with estimated cost of less than \$200,000. The selected firm is then requested to submit simplified technical and financial proposals. For assignments that are estimated to cost less than \$100,000, advertisement is not mandatory as long as a shortlist of at least three qualified firms is established.
29. *Other Streamlined Approaches.* Using a “pool of experts” or a list of “preselected” consulting firms may also be considered as an appropriate method for supporting counterpart agencies at various steps of project execution, including the procurement process and the preparation of TOR, shortlists, RFPs, and bidding documents. Remuneration and fees may be resolved at the time of preselection and prescribed in a framework agreement; this is similar in concept to an Indefinite Delivery Contract.

## *B. Civil Works and Goods*

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30. *Direct Contracting:* Direct contracting for the procurement of civil works and goods (paragraph 3.6 (a) and (e) of the Procurement Guidelines) may be used to extend an existing contract or award new contracts in response to disasters. For such contracting to be justified, the Bank should be satisfied that the price is reasonable and that no advantage could be obtained by further competition. The direct contracting may be from the private sector, UN agencies/programs (for goods), or contractors or NGOs that are already mobilized and working in the emergency areas.
31. *Shopping:* Shopping in accordance with paragraph 3.5 of the Procurement Guidelines may be an appropriate method for procuring readily available off-the-shelf goods of values less than \$500,000, or simple civil works of values less than \$1,000,000<sup>16</sup>. In exceptional cases, when shopping needs to be followed for contracts estimated to cost more than these values, the RPM reviews and clears each case. The Procurement Plan should determine the cost estimate of each contract, and the aggregate total amount. The borrower should solicit at least three price quotations.
32. *NCB vs ICB Procedures:* Simplified NCB procedures and documentation can be used where ICB procedures are considered to be inappropriate or too complex due to implementation capacity issues, and where there is clearly no international market appetite to participate in bidding.
33. *Simplification of Pre and Post Qualification criteria:* The pre and post qualification criteria requirements of the Bank’s SBDs for both large works and small works can be amended in order to optimize the participation of available local or regional contractors. In particular, adapting the qualification requirements to match the qualifications of available and competent local and regional contractors.
34. *Prequalified Suppliers and Contractors:* Using lists of prequalified suppliers and contractors to whom periodic invitations are issued may also help accelerate the procurement process. Such an approach would be consistent with paragraphs 2.9 and 2.10 of the Procurement Guidelines; but instead of being used for large and complex works or goods, it could be used for a large number of similar

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<sup>16</sup><http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20105663~menuPK:93977~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

simple contracts of any size, as well as for procurement of commodities, per paragraph 2.68 of the Procurement Guidelines. Prequalification documents may use a simplified format that is acceptable to the Bank. Suppliers and contractors would be asked to provide quotations for simple unit prices, as for commodities. Contracts should be awarded on a competitive basis, and may be for a duration of up to two years, with a price escalation clause and the possibility of extension upon mutual agreement between the client and the supplier.

### *C. Use of Positive Lists*

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35. An emergency program may include a quick-disbursing component designed to finance a positive list of imported goods already imported or to be imported or locally produced goods that are required for the borrower's emergency recovery program. The Bank and the borrower should reach agreement on the conditions for the release of the financial tranches and the required documentation and certifications, such as customs and tax certificates or invoices. The project document should clearly state a set of quantitative or qualitative indicators for monitoring progress during implementation and evaluating outcomes upon completion. Furthermore, national emergency procedures, if they exist, or established commercial practices of the private sector could be followed to procure a positive list, provided they are found acceptable to the Bank. The acceptable procedures and addressing any associated risks and mitigation measures should be agreed. In such cases, it is recommendable carrying out a technical and financial audit of the component procured under this arrangement. These audits should at minimum cover the following:
- a) the consulting approach
  - b) the appropriateness of prices relative to market prices,
  - c) the adherence to acceptable and agreed commercial practices or emergency procedures, and
  - d) the appropriate use of funds for intended eligible purposes.

### *D. Commodities*

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36. Procurement of commodities, such as grain, fertilizer, and fuel, must be in accordance with paragraph 2.68 of the Procurement Guidelines. If customs duties for emergency commodities are abnormally high, the borrower may be asked to waive or to reduce customs duties to bring them to a reasonable level (10-12 percent). Priority commodities must be determined in response to the basic needs resulting from the emergency situation, in particular the needs of the poorest people.

### *E. Force Account*

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37. In emergencies, FCS or small state situations, when construction firms are unlikely to bid at reasonable prices because of the location of and risks associated with the project or a certain government agency has a sole right in certain type of work (e.g., railway track work, high tension transmission cables), Force Account for repair/reconstruction using the borrower's own personnel and equipment or a government-owned construction unit may be the only practical method (see paragraph 3.8 of the Procurement Guidelines). This would require good managerial capacity and technical and financial controls to report to the Bank on expenditures.
38. *Accelerated Bid Times.* Under ICB and NCB, accelerated bid times might be envisaged, but bidding periods shorter than 21 days for ICB and 10 days for NCB should be cleared with the RPM, taking into consideration the capacity of firms (local and international) to prepare responsive bids in a short period.

39. *Waiving Bid and Performance Security Requirements.* For small contracts for goods or works, the preparation of bids by small and medium-size suppliers or contractors can be accelerated by taking the option, set out in paragraph 2.14 of the Procurement Guidelines, of not requiring a bid security. Similarly, in the case of small contracts for works or supply of goods, the borrower may decide not to require a performance security in accordance with paragraph 2.40 of the Procurement Guidelines. However, in works contracts, retention money may be retained during the liability period; and for goods contracts, manufacture warranties will be requested.
40. *Advance Payment.* Where it is not easy for contractors and suppliers to obtain lines of credit from banks, the borrower may consider increasing the amount of advance payment under works and supply contracts to up to 40 percent of the contract value, provided that the contractor/supplier provides a bank guarantee for the same amount and the World Bank clears this increased value of advance payment.

## **F - Disbursement & Financial Management**

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41. The CPD is responsible for ensuring that the financial management and disbursement policies and procedures governing the RDVRP are fully and successfully applied to the management of the financial resources mobilized through Disbursement Category 2 in support of the identified RAP activities. These policies and procedures are detailed in Section 5 of the GoSVG's RDVRP's Operation Manual.
42. Per the RDVRP FA, Disbursement Category 2 has been allocated 650,000 SDR (approx. \$US 1 million) and can finance goods, works, non-consulting services and consultant services for emergency recovery and reconstruction activities. No withdrawal from Disbursement Category 2 will be made before the fulfillment of the two conditions of effectiveness.
43. The post disaster finalized Action Plan of Activities submitted for approval will be accompanied by a completed Withdrawal Application requesting the World Bank to advance the resources allocated to Disbursement Category 2 to the RDVRP's designated account to finance eligible expenditures as they are incurred and for which supporting documents will be provided at a later date. The CPD will ensure that all amounts from Disbursement Category 2 advanced to the Designated Account are accounted for and their use reported prior to the RDVRP's Disbursement Deadline Date. The CPD will use the financial management reporting processes and procedures as identified in the RDVRP's Operations' Manual.
44. Upon approval of the Action Plan of Activities, the CPD, in consultation with the World Bank, will explore the need to amend the contract with the audit firm responsible for auditing the RDVRP's financial statements.

## **G - Safeguard Compliance**

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45. In accordance with the World Bank safeguards requirements, this RVRP is classified as Category B per OP/BP 4.01 on Environmental Assessments. Since the emergency sub-projects financed under

Component 3 are likely to be related to emergency provision of critical goods, it is expected that those subprojects will fall into Category C and therefore would require no environmental screening or assessment work. However, some Component 3 activities could include demolition, removal, repair or reconstruction of damaged public infrastructure, clearing of debris, or other activities which could have potential negative impacts if not mitigated, and would therefore fall into Category B. It is even possible that there may be exceptional cases where a proposed sub-project would involve work in highly ecologically sensitive areas, potentially affect physical cultural resources, or require acquisition of substantial areas of land either temporarily or permanently for reconstruction work or relocation of a vulnerable population. In order to ensure that Component 3 emergency subproject activities conform to the requirements of the World Bank Safeguard Policies (as outlined in the Financing Agreement, Operations Manual, Environmental Assessment, and Resettlement Policy Framework), the activities identified in the Action Plan of Activities for financing under Component 3 will be subject to a review by safeguards specialists to determine if they are eligible under the safeguard policies and compliance procedures used by the CPD for all activities financed under the RDVRP. The screening and environmental management procedures described in the Operations Manual will then be utilized. This will allow for the exclusion of certain activities if the environmental or social impacts are too great, and to include appropriate mitigation measures for other proposed activities. Having the existing safeguards screening process in place will also allow a certain degree of familiarity and efficiency in processing potential sub-projects or activities.

## **H - Monitoring & Evaluation**

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46. The GoSVG recognizes the particular importance of monitoring and evaluation for Component 3 given that it represents a novel approach to disaster recovery and reconstruction financing and will require particularly strong oversight in order to demonstrate the flexibility of the a contingent financing approach compared to those traditionally available to World Bank clients, such as project restructuring and/or additional finance.
47. Given the large number of post-disaster activities that could be initiated shortly after the approval of the Action Plan of Activities – in addition to those already under implementation –the CPD will hire additional technical consultants to support supervision and procedural compliance efforts, particularly as they pertain to social and environmental safeguards. These consultants will be required to submit monthly reports that detail implementation progress and policy & procedural compliance. These reports will be used by the CPD to inform their RDVRP Activity Reports, as required by the FA.
48. Given that the Action Plan of Activities will be event and demand driven, the RDVRP’s current Results Management Framework (RMF) will include a supplemental section detailing the expected intermediate outcome and impact indicators related to the Action Plan of Activities.
49. Additional details related to the monitoring and evaluation of the Action Plan of Activities is found in Sections 7 and 8 of the GoSVG RDVRP’s Operations Manual.

## Appendix I: Action Plan of Activities - Preparation Schedule & Responsibilities

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Activity	Responsibility	Timeline	Authority
1. Preliminary Damage Assessment	NEMO <sup>17</sup>	0+12hrs	NDRP 2005
2. Declaration of Disaster for the State	HPM <sup>18</sup>	0+24hrs	NEDMA 2006 Sec. 32
3. Implementation of National Disaster Plan	NEMO	0+24hrs	
4. Advise International Agencies and Embassies of Declaration	MoFA/CPD	0+72hrs	
5. Interim Damage Assessment	NEMO	0+72hrs	
6. Detailed Damage Assessment	NEMO	0+1wk	
7. Action Plan of Activities: RDVRP Component 3		0+1wk	
a. Provide proof of declaration of nat'l disaster to WB			HPM/ AG <sup>19</sup> /CPD <sup>20</sup>
b. Finalize and submit Action Provide of Activities to World Bank including details of damage assessment			NEMO/CPD
c. WB No-objection to Action Plan			
8. Procurement of Critical Imports, Consultant Services and Civil Works	RDVRP	0+3wk	CPD
9. Financial & Material Audit	Accountant General	0+RA+6mths	

<sup>17</sup> NEMO – National Emergency Management Office

<sup>18</sup> HPM – Honorable Prime Minister

<sup>19</sup> AG – Attorney General

<sup>20</sup> CPD – Central Planning Division, Ministry of Finance & Economic Planning

## Appendix II: Sample Critical Imports and Possible Suppliers

Step 1		Step 2	Step 3			Step 4		Step 5					Step 6		
A. Item Info		B. Specifications	C. # of Units & Estimated Cost			D: Proposed Procurement Methodology		E: Possible Vendors		F: Vendor Information			G: Misc. Vendor Information		
No.	Product / Material Definition (incl. brief description of intended use)	Describe Performance Characteristics	Units Req.	Unit Cost <sup>21</sup>	Total	Methodology	Justification	No.	Names of Vendors	History of Product Delivery <sup>22</sup>	Turnaround Time to Process & Deliver	References (min 5 over last 3 yrs.)	Previous Contract Awarded Competitively?	Volume & Unit Rate	
1	Fuel	Gasoline	N/A	11.522		Shopping	There are only two vendors in SVG	A	SOL	Y	Immediate	Y	N	11.522/ Gal	
								B	Texaco	Y	Immediate	Y	N	11.522 / Gal	
								C							
		Diesel	N/A	11.047		Shopping	Ibid	A	SOL	Y	Immediate	Y	N	N/A	
								B	Texaco	Y	Immediate	Y	N	N/A	
								C							
2	Lumber <sup>23</sup>	I.e 3/8" plywood	N/A	80		Shopping	Prequalified (TBD)	A	Corea's Hardware	TBD	TBD	TBD	TBD	89.62 / Sheet	
								B	General Hardware	TBD	TBD	TBD	TBD	78.22 / Sheet	
								C	E D Laynes	TBD	TBD	TBD	TBD	86.25 / Sheet	
3	Roof Sheeting and Screws	Galvanized 2.5" screws	N/A	N/A		Shopping	Prequalified (TBD)	A	ECML	TBD	TBD	TBD	TBD	Various	
								B	Corea's Hardware	TBD	TBD	TBD	TBD	Various	
								C	E D Laynes	TBD	TBD	TBD	TBD	Various	
		Galvanized U-Panel	N/A	N/A		Shopping	Prequalified (TBD)	A	ECML	TBD	TBD	TBD	TBD	TBD	Various
								B	Corea's Hardware	TBD	TBD	TBD	TBD	Various	
								C	E D Laynes	TBD	TBD	TBD	TBD	Various	
		Corrugated uncoated roof sheeting (0.45mm)	N/A	N/A		Shopping	Prequalified (TBD)	A	ECML	TBD	TBD	TBD	TBD	TBD	Various
								B	Corea's Hardware	TBD	TBD	TBD	TBD	Various	
								C	E D Laynes	TBD	TBD	TBD	TBD	Various	
4	First Aid	Medical Kit <sup>24</sup>	N/A	180		Shopping	Prequalified	A	Carimedi	TBD	TBD	TBD	TBD	190/kit	

<sup>21</sup> In EC\$ - to be updated annually

<sup>22</sup> To be established following analysis of documents submitted by vendors per the pre-qualification requirement

<sup>23</sup> The list of lumber required may be extensive varying by type of wood, dimensions, treated/untreated, so only plywood is listed & priced.

	Supplies						(TBD)		x					
								B	Shepherd's Trading	TBD	TBD	TBD	TBD	
								C	Scientific Supplies	TBD	TBD	TBD	TBD	No price for kit, only separate items

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<sup>24</sup> Medical Kit must include the following items: Band-aids, face masks, hydrogen peroxide, iodine, rubbing alcohol, scissors, gloves, cotton balls, ice pack, large bandages, gauze, ointment for burns, spray for muscle sprains etc..

**Appendix III: Sample Emergency Subproject & Related Services Procurement Matrix**

Step 1			Step 2	Step 3	Step 4		Step 5				
A: Work Package			B: Specifications	C: Estimate Cost	D: Proposed Procurement Methodology		E: Possible Consultants / Firms		F: Vendor Information		
No.	Brief Description of Needs	Services Required (Technical & Civil)	Draft ToR / Pre-Qualification Docs	Value of Contract	Methodology	Justification	No.	Names of Consultants / Firms	Qualifications (Technical, Operational & Financial)*		
1		i)					A				
							B				
							C				
		ii)							A		
									B		
									C		
		iii)							A		
									B		
									C		
		iv)							A		
									B		
									C		
2		i)					A				
							B				
							C				
		ii)							A		
									B		
									C		
		iii)							A		
									B		
									C		
		iv)							A		
									B		
									C		

\* Per those listed in ToR & Pre-bidding Qualification Docs

## Appendix IV: Draft Supporting Procurement Documents

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### DRAFT BIDDING DOCUMENTS FOR RECONSTRUCTIVE/REHABILITATIVE WORKS

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1. The draft typical bidding documents include bills of quantities (BoQs) for a number of components as shown below. The BoQs will be refined once the nature and extent of the works are more known. Depending on the estimated cost of the damages different formats may be used as allowed. Shopping or national competitive bidding (NCB) may be used depending on the estimated cost of the works. The draft bidding documents for NCB are contained in a separate volume as follows:

3A – Bidding document for typical building works which comprises:

- a. Demolition (roof, door, block walls, windows);
- b. Installation of new windows and doors;
- c. New construction: reinforced concrete/block structure

3B – Bidding document for civil works that comprises:

- a. Class R road and pavings (sub-base, base and surfacing of road and paved areas; curbs, channels and edgings; traffic signs and markings)
- b. Drainage (box drains, cross culverts, outfall drain)
- c. Rubble stone retaining wall with reinforced concrete foundation
- d. Blockwall retaining wall with reinforced concrete foundation
- e. Gabion retaining wall
- f. River defense work using gabion baskets and mattresses

### DRAFT CONTRACTS FOR CONSULTANTS

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2. The draft typical consultant contracts include the terms of references for a number of consultants and are contained in a separate volume as follows:

- 4A – Civil Engineering Contract – Lump sum
- 4B – Quantity Surveyor Contract – Lump sum
- 4C – Structural Engineer Contract – Lump Sum
- 4D – Structural Engineer Contract- Time-based
- 4E – Design and Supervision TORs

## **Appendix V: Proof of Declaration of National Emergency**

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## **Appendix VI: Request for EoI from Consultants and Work Contractors**

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### **Regional Disaster Vulnerability Reduction Project**

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The Government of Saint Vincent and the Grenadines, with the support of the International Bank for Reconstruction and Development (The World Bank), is currently implementing the Regional Disaster Vulnerability Reduction Project. A component of this project is a Contingent National Disaster Response Mechanism, which would enable the Government of Saint Vincent and the Grenadines to finance emergency rehabilitation and reconstruction activities following a disaster event that warrants a national declaration of disaster. Emergency activities would be in the form of construction works and respective consultancy services. Works may include, but are not limited to: a) (re)construction of retaining walls in reinforced concrete or block work, b) (re)construction of cross-culverts, c) reinstatement/(re)construction of roads, streets and bridges, d) public building repairs, e) clearing of landslides, f) cleaning of rivers, g) re-establishment of telecommunication infrastructure, h) construction or reconstruction of homes, schools, clinics, hospitals or work of cultural significance or other communal structures damaged by the disaster event. Consultancy services may include detailed designs and works supervision.

The Central Planning Division (CPD) within the Ministry of Finance and Economic Planning (MoFEP), on behalf of the Government of Saint Vincent and the Grenadines, now invites:

1. Eligible consulting firms (“Consultants”) to express their interests in providing the above referenced consultancy services (in the case they are needed). Interested Consultants should indicate the services in which they are interested in and should provide information demonstrating that they have the required qualifications and experience (description of similar assignments, contracts and contracts amounts, experience in similar conditions, availability of appropriate skills among staff, etc.). The attention of interested Consultants is drawn to paragraph 1.9 of the World Bank’s [Guidelines: Selection and Employment of Consultants by World Bank Borrowers](#), dated May 2004, revised October, 2006 and May 1, 2010;
2. Eligible construction firms (“Contractors”) to express their interest in providing the above referenced construction works (in the case they are needed). Interested Contractors should indicate the works in which they are interested in and provide information demonstrating that they have the required qualifications and experience (description of similar works, contracts and contracts amounts, experience in similar conditions, availability of appropriate equipment and engineering and technical staff, etc.). The attention of interested Contractors is drawn to paragraphs 1.6 and 1.7 of the World Bank’s [Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers](#), dated May 2004, revised October, 2006 and May 1, 2010.

Lists of interested Consultants and Contractors will be prepared annually. The eligible and qualified Consultants and Contractors included in lists may be invited to quote and provide the necessary

services and works at any time during the current year of their listing. The selections of the necessary consultants and contractors will follow the selection and procurement methods and procedures set out in the above mentioned Consultants' and Procurement Guidelines.

This notice may also be viewed on [www.gov.vc](http://www.gov.vc) under the *Web Classified – Request for Expressions of Interest* link. Interested consultants and contractors may obtain further information at the address below during office hours (i.e. 8:00am to 4:00pm EST). Expressions of interest must be delivered to the address below no later than **4:00pm EST, June XX, 20XX**.

The Director of Planning  
Central Planning Division  
Ministry of Finance & Economic Planning  
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Bay Street, Kingstown  
St. Vincent and the Grenadines

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