

Jamaica Social Investment Fund

Operations Manual

March, 2004
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Abbreviations Used

BQ	Bill of Quantities
CBO	Community Based Organisation
CBC	Community Based Contracting
CDO	Community Development Officer
CPMC	Community Project Management Committee
JPRS	JSIF Project Ranking System
JSIF	Jamaica Social Investment Fund
NGO	Non Government Organisation
PCD	Project Concept Development
PDC	Parish Development Committee
PIM	Project Information Meeting
REDD	Research, Evaluation, Documentation and Dissemination
Rfp	Request for Proposals
SDC	Social Development Commission
SDO	Social Development Organisation
SEQ	Self Assessment Questionnaire
SPDC Committee	Screening and Project Concept Development Committee
TOR	Terms of Reference

LIST OF BOXES

- Community Participation
- What are the eligibility criteria for community projects?
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1. Introduction

1.1. The mission statement

The Jamaica Social Investment Fund will empower communities and build national capacity to effectively implement community-based programmes aimed at social development.

1.2. Background

The Jamaica Social Investment Fund (JSIF) is a temporary, autonomous Government sponsored institution primarily designed to channel resources to small-scale community based projects. It was established in 1996 as part of the Government of Jamaica's National Poverty Eradication Programme (NPEP). The Cabinet of the Government of Jamaica gave its approval in December 1995 to JSIF's incorporation as a limited liability company conforming to the definition of a Government Company within the Financial Administration and Audit Act. A loan to fund operations of the JSIF was subsequently negotiated between the Government of Jamaica and the World Bank. Subsequently, further loans were negotiated with other International Funding Agencies.

1.3. Overview of the manual

This Operations Manual is intended to lay out the approach and procedures to be followed by staff of the JSIF in appraising and monitoring community and special projects supported by the Fund. It also provides guidelines for the activities of implementing partners.

The Manual is presented in two parts. Part 1 provides the context for the operations of the JSIF (section 2 Guiding Principles), the Institutional Framework (section 3). Sections 4 through 6 identify the tasks which must be undertaken to facilitate the project progression through the project cycle for demand driven and special projects including those implemented using the community based contracting (CBC) approach. Contracting procedures are covered in sections 7 while section 8 deals with financial procedures Sections 9 through 11 present the policy frameworks for environmental management, land acquisition and resettlement and monitoring and evaluation. Sections 12 and 13 outline administrative procedures and audit and review respectively. Given the particular methodologies being used for implementation of the ICBSF, these procedures are detailed in Appendix B. Other Appendices in this section cover JSIF's Communications Strategy, Specific Procurement Methods and the ISO 14000 certification process. 'Part 2: Annexes' contains formats, checklists and additional information. Whereas Part 1 is not expected to be modified greatly, the Annexes will be regularly improved upon with the benefit of experience and feedback.

In sections 4 through 6 and Appendix B, the project cycle is used as the basis for describing the procedures. At each stage of the project cycle a clear objective is established and performance indicators provided. A series of tasks are indicated at each stage. Managers, will be responsible to ensure that all defined tasks are coordinated and undertaken in an efficient manner.

2. Guiding Principles

The Jamaica Social Investment Fund operates within a number of important guiding principles. These can be summarized as follows: -

- **Building social capital**

JSIF regards the support it gives to communities, as a means to increase social capital and this is JSIF's ultimate goal. Support for the construction and rehabilitation of infrastructure and provision of social services provides a **means** to encourage community collective action, community decision-making and empowerment. The participation of the community at all stages of their project is thus fundamental to all JSIF community based projects.

The procedures developed by JSIF provide opportunities for full community participation at every stage and the JSIF monitoring system tracks the effectiveness of this throughout the project cycle. The partnership with social development organizations, such as the Social Development Commission (SDC) and the provision of capacity building training and support to communities is intended to ensure that communities are equipped to participate fully in their project.

Box 1: Community Participation

The Community

- Identifies its own development priorities through community wide consultative processes.
- Determines the most appropriate channel to resolve the problem, such as ministry, parish council, donor organization, etc
- Makes an application for JSIF support through a Community Based Organisation, which represents the needs of the wider community.
- Develops further its own project concept with technical assistance from design consultants, JSIF and SDC or other Social Development Organization (SDO).
- Directly inputs its requirements in project design and signs off on final project design.
- Mobilises the community to provide a contribution to the project in cash or kind (see Box 5: What is the Community Contribution?).
- Arranges celebratory events in the community at key milestones in the project life (e.g. Contract Signing, Handing Over and Graduation).
- Monitors progress and quality of the project through participation in the Project Information Meeting, monthly Steering Committee Meetings, Final Completion Meeting.
- May manage contracting of services and procurement of goods itself using funds provided by JSIF.
- Signs off on satisfaction with the project and evaluates the performance of the implementing partners.
- Establishes its own maintenance committee and undertakes preventive maintenance programmes.
- Establishes its own management committees or support groups to sustain provision of services to the community.

Transfer of learning

JSIF is a temporary organization and is an autonomous Government company. This confers a degree of flexibility for piloting, developing and experimenting with approaches to community development with a view to replication and uptake by permanent institutions. Transfer and institutionalization of promising practices within Government Ministries, Agencies, Non Government Organizations, public sector and educational institutes is therefore a core value in the JSIF approach.

- **Development focus**

JSIF supports development in poor communities, concentrating on

- Improving their asset base (opportunities)
- Improving access to services (empowerment)
- Helping them to overcome crisis/shock events (coping)

- **Poverty focus**

All funds earmarked for Community projects must reach the poor with minimal leakage to the non-poor. Poverty is defined in terms of the level of stocks of capital: human, social, financial, physical and natural. Low or depleting stocks of capital indicate deprivation.

The poor will be identified using by the use of the PIOJ poverty map and the JSIF/SDC Poverty Assessment Tool (see Annex 51).

- **Value for money**

All funds must be spent prudently. Services and goods are procured on the basis of quality, appropriate technology and least cost. Project designers are encouraged to select least cost approaches to solving problems without compromising on achievement of objectives of the project. JSIF entrusts cost control to external supervisors and monitors this closely. Post project evaluations assess the effectiveness of cost control measures used.

- **Environmental soundness**

Projects funded by JSIF must conform with the Government of Jamaica's Environmental Regulations and have minimum negative impact on the natural and cultural environment. The environmental guidelines are detailed in section 8.

- **Fairness in land acquisition and resettlement**

The Land Acquisition and Resettlement Framework is presented in section 9. The framework outlines procedures to be followed to ensure equity for all persons displaced or from whom land is acquired in the course of project implementation.

- **Promotion of public safety**

JSIF seeks to integrate into project implementation, interventions aimed at promoting public safety and contributing to the reduction of crime, particularly in inner city communities. In this regard, the CPTED (Crime prevention through environmental design) approach is used in designing physical interventions.

- **Technical soundness**

JSIF procedures for selection of technical design and monitoring of quality in implementation require demonstration of high standards of technical soundness. Projects must be designed and implemented with a view to ensuring long-term sustainability of benefits.

- **Maximizing opportunities for employment for poor**

All projects should be designed in such a way as to maximise short term and longer term employment opportunities for the poor. Thus, the use of labour intensive methodologies, use of rotational employment mechanisms in the community, use of community contracting should be emphasised in projects wherever possible.

- **Promoting partnerships for Development**

Since JSIF is a temporary governmental organization, so a key value underpinning the operations is working with national organizations involved in community development in order to promote their sustainability. Initiatives to strengthen them and to foster best practices and capacity building will be given priority. The main government organization responsible for community development, the Social Development Commission (SDC) will be the partner of first choice, but other private and NGO Social Development organizations (SDO) will be utilized and promoted as appropriate.

3. Institutional framework

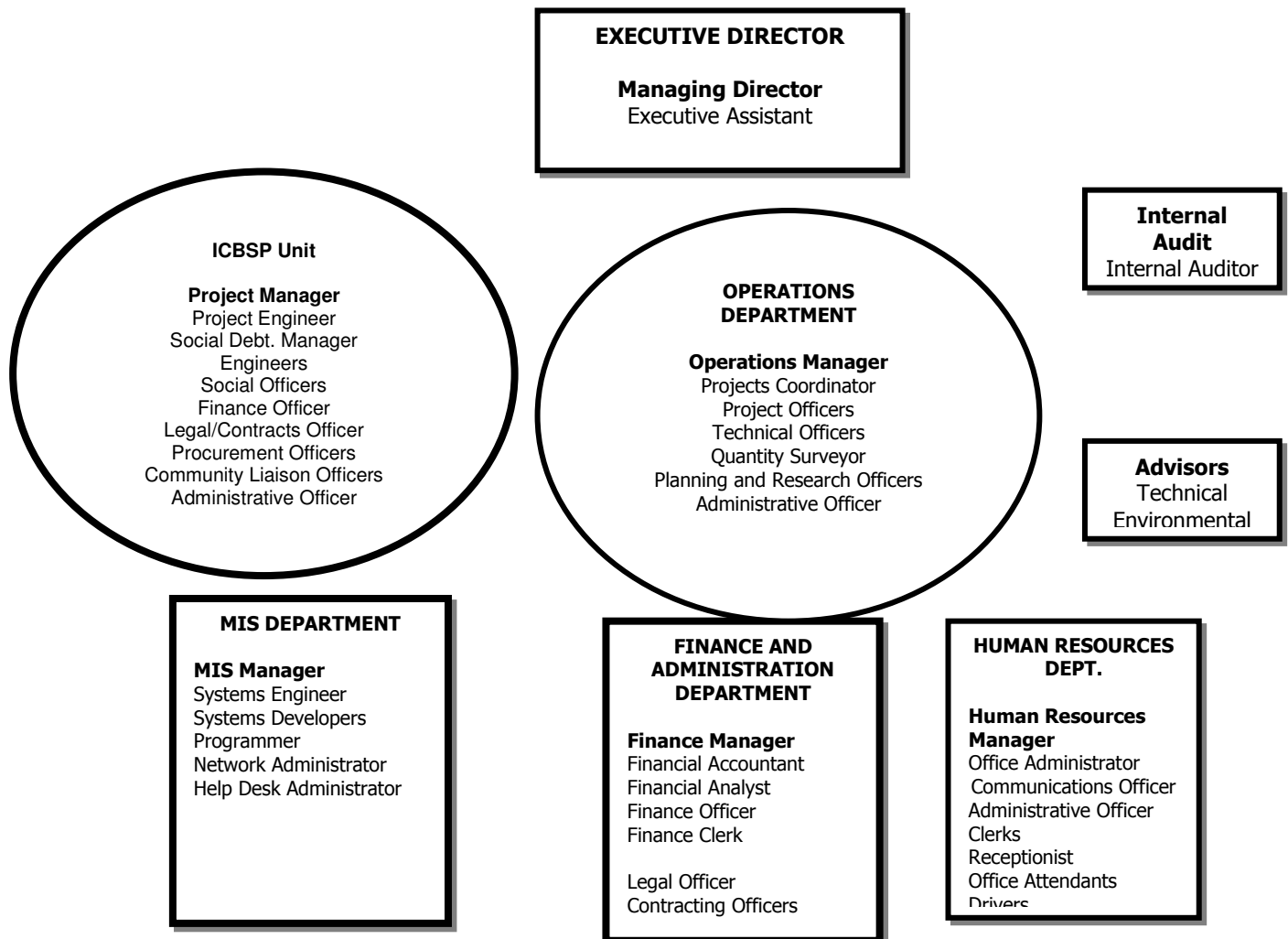
The organisational structure of JSIF has undergone several iterations since inception as a result of experience and enhanced capacity of its partners. In the early pioneering days of JSIF, it was necessary for staff to adopt a *'hands on'* development approach in order to promote the participatory and cutting edge strategies, which made JSIF's methodology unique. Considerable learning has taken place and JSIF's partners have largely adopted participatory methodologies aimed at empowering poor communities. This means that JSIF can now adopt the role originally earmarked for it. The structure presented below reflects the present thrust by JSIF to concentrate on its role as fund manager, implementing multiple large projects simultaneously. It is intended to ensure efficiency and effectiveness. It also promotes the principle that JSIF must continue to innovate and institutionalise good practice through the transfer of new methodologies to its partners.

To deliver large projects such as the Inner City Basic Services Project successfully, JSIF will utilize an integrated Project Cycle Management framework by a dedicated Implementation Unit (IU). This will draw on the services of JSIF's other departments in the same way as the Operations Department has done in the past.

JSIF recruits core staff and short-term specialists depending on the exigent needs.

Diagram 1: Departments and Units within JSIF

These departments/units work under the guidance of the Managing Director and/or the Board.



The Board of Directors has the overall responsibility for guiding the operations of the JSIF. It reports to the shareholders, the Accountant General and Financial Secretary who hold the shares on behalf of the Government of Jamaica. The Ministry of Finance and Planning is the government ministry to which the JSIF reports. The Board comprises between 7 and 11 members drawn from the public, private and non-government sectors. The Managing Director of the Fund is a member of the Board. The tenure of Board members is typically three years however retiring directors may be re-appointed.

The Board conducts its activities in part through sub committees as follows: -

1. Finance and Audit Committee is comprised of Directors of the Board and performs the following: -

- Agrees the TOR, remuneration and appointment of external auditors.
- Agrees the TOR, remuneration, appointment and annual work plan of the Internal Auditor.
- Receives and reviews all internal and external audit reports.
- Reviews monthly financial reports prior to presentation to the full Board.
- Recommends approval of audited financial statements to the full Board.
- Monitors recommended improvements to the system of internal control.

2. Projects Committee is comprised of Directors of the Board. It may co-opt additional resource persons/specialists particularly to assist in the review of project proposals presented for Board approval. The Committee performs the following: -

Detailed review of sub project submissions for all project types to ensure that they have been well designed, are appropriate for JSIF investment and represent value for money.
Summarises and presents the sub projects for the full Board approval.
Review and ratify recommendations for annual strategic direction for special projects

3. Procurement and Contracts Committee comprised of not less than three JSIF Directors and a representative of the Ministry of Finance. This Committee also serves as the NCC Sector Committee for review of procurement of contracts above the threshold established by the NCC. In the capacity as Sector Committee, a representative of the NCC, the Ministry of Finance and a designated JSIF staff member also form part of the Committee. Other persons may also be co-opted as the Committee deems fit.

Its function is to monitor the procurement of goods, services and civil works undertaken by JSIF to ensure compliance with the standards and guidelines of the National Contracts Committee.

The Managing Director in the capacity of the Fund manager, has the responsibility for the day-to-day management of the Fund. The Managing Director has overall responsibility for identification of sources of funds, and accountably for how the funds are used. The Managing Director is supported by department managers who have responsibility for operations, finance and administration, human resources, social development, and management information systems. Internal committees comprising JSIF managers and staff provide oversight to various processes as follows: -

- **Management Review Committee**, chaired by the Managing Director and including the Operations Manager, Finance and Administration Manager, Technical Advisor and Social Development Manager, performs the following: -
 - reviews all project submissions to ensure completeness and quality standards.

- ii. approves small projects up to the ceiling determined by the Board of Directors.
- **Social Review Committee**, chaired by the Social Development Manager and including, Technical Officers and Social Officers, reviews project application validation forms and makes recommendations to reject, register or modify applications (see section 4, Box 10)
- **Technical team** is an ad hoc team convened to review all infrastructure project designs,. It comprises the Operations Manager, Technical Advisor, and Technical Officers and may co-opt expertise from outside JSIF.
- **Bid Evaluation Committee** chaired by the Managing Director and including the Finance and Administration Manager, Operations Manager, Technical Advisor and Social Development Manager is serviced by the Contracts Unit. It performs the following:
 - Reviews procurement of works, goods and services and ensures adherence to procedure and guidelines.
- iii. Recommends negotiation and/or briefing with winning bidders, where applicable.

JSIF is organised in a number of departments and units as shown in the Diagram 1. The following is a brief description of each unit/department:

5. Operations Department

The Operations Manager directs and monitors the activities of the Operations Department to ensure that targets are met, quality standards are maintained, and staff members have the support needed to work efficiently and effectively. The Operations Manager produces monthly reports on the activities and achievements of the Operations Department and contributes to policy formulation based on experiences and learning within the Department.

The Technical Officers in the department are organized into work teams as required to efficiently implement subprojects, ensuring that quality projects are designed with full involvement of the community and are implemented and evaluated according to the procedures laid down in this Operations Manual. An Administrative Officer provides support to the department.

The Operations Department performs the following functions:

- Visit communities which have been recommended for full project development to facilitate a Project Concept Development workshop.
- Prepare TORs, guide, monitor and authorise payment to design consultants.
- Collate and check all the information required for submission of the project for approval by the Management Review Committee and/or the Board of Directors.
- Prepare TORs, guide, monitor and authorise payment to supervision and implementation consultants.
- Facilitate Project Information Meetings and Final Completion Meetings at the start and end of implementation of the project in the community.
- Monitor provision of maintenance training and establishment of community maintenance committees.
- Evaluate the performance of all contracted persons involved in the project.
- Make follow up visits to assess use, maintenance and operations of the facility/service established through the project.

6. Inner City Basic Services Project Unit

The ICBSP Unit directs and monitors the activities of the Project Implementation Unit to ensure that targets are met, quality standards are maintained, and staff members have the support needed to work efficiently and effectively. The Project Manager:

- submits the project Global Operational Plan and Annual Work Programmes and Budgets for Board approval.
- directs the work in accordance with those plans, assigning tasks to project staff to deliver the planned outputs in the most efficient manner.
- accounts for expenditure against the approved budget.
- takes account of M&E reports and other information to notify the Managing Director of critical issues and recommend action to address them.

The ICBSP Unit performs the following tasks:

- Prepares TORs, guide, monitor and authorise payment to supervision and implementation consultants.
- Facilitate mobilization and capacity building of communities.
- Undertake public education campaigns related to the various project components.
- Facilitate Project Information Meetings and Final Completion Meetings at the start and end of implementation of the project in the community.
- Monitor provision of maintenance training and establishment of community maintenance committees.
- Evaluate the performance of all contracted persons involved in the project.
- Make follow up visits to assess use, maintenance and operations of the facility/service established through the project.

The ICBSP Unit performs the following functions:

- Work closely with communities selected for project implementation to establish Community Committees and ensure community buy-in
- Establish formal arrangements with partner agencies involved in project implementation
- Prepare TORs, guide, monitor and authorise payment to supervision and implementation consultants.
- Facilitate Project Information Meetings and Final Completion Meetings at the start and end of implementation of the project in the community.
- Monitor provision of maintenance training and establishment of community maintenance committees.
- Monitor the performance of micro finance entities engaged in the project.
- Evaluate the performance of all contracted persons involved in the project.
- Make follow up visits to assess use, maintenance and operations of the facility/service established through the project.

7. Finance and Administration Department: This department has responsibility for managing the finance and contracting functions.

The finance function is responsible for the overall management of funds, ensuring compliance with relevant terms and conditions of funding agreements

The contracting function is responsible for preparing tenders and procuring contracts for the supply of goods, services or works according to guidelines and standards of the National Contracts Committee and International Funding Agencies. Quantity Surveyors from the Operations Department provide support through the evaluation of bids for works, comparing them with the JSIF Cost Data Base and ensuring that costs are reasonable.

8. Human Resources Department provides support to JSIF through efficient management of administration, communications and human resources.

9. Management Information Systems (MIS) Department: This comprises a manager, software developers and information technology support persons. This department is responsible for the development, installation, operation maintenance and support of information systems such that the organization can utilize and obtain maximum benefit from its information technology resources.

4. Funding and Monitoring Community projects

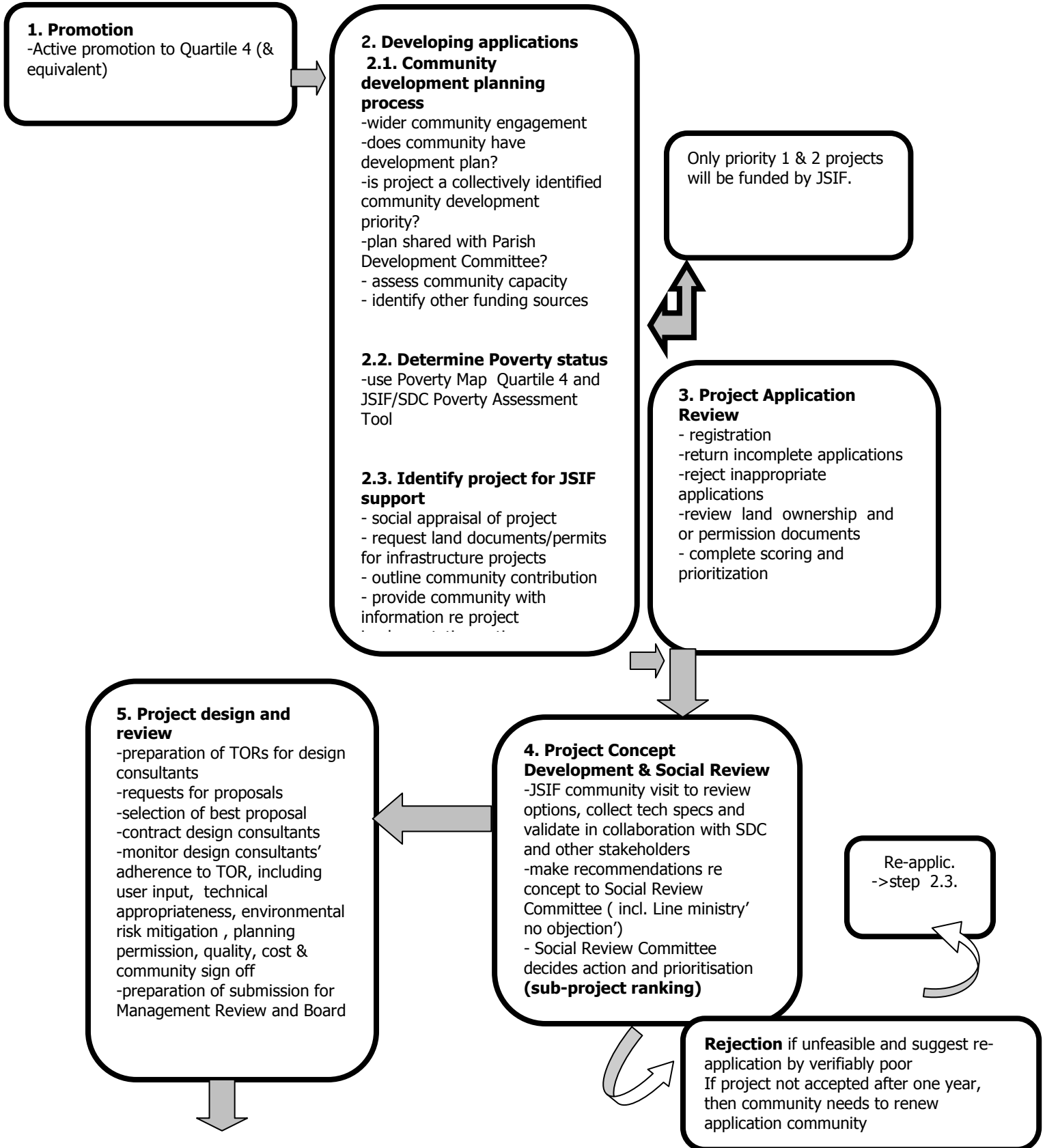
Projects funded by JSIF can be categorized as follows:

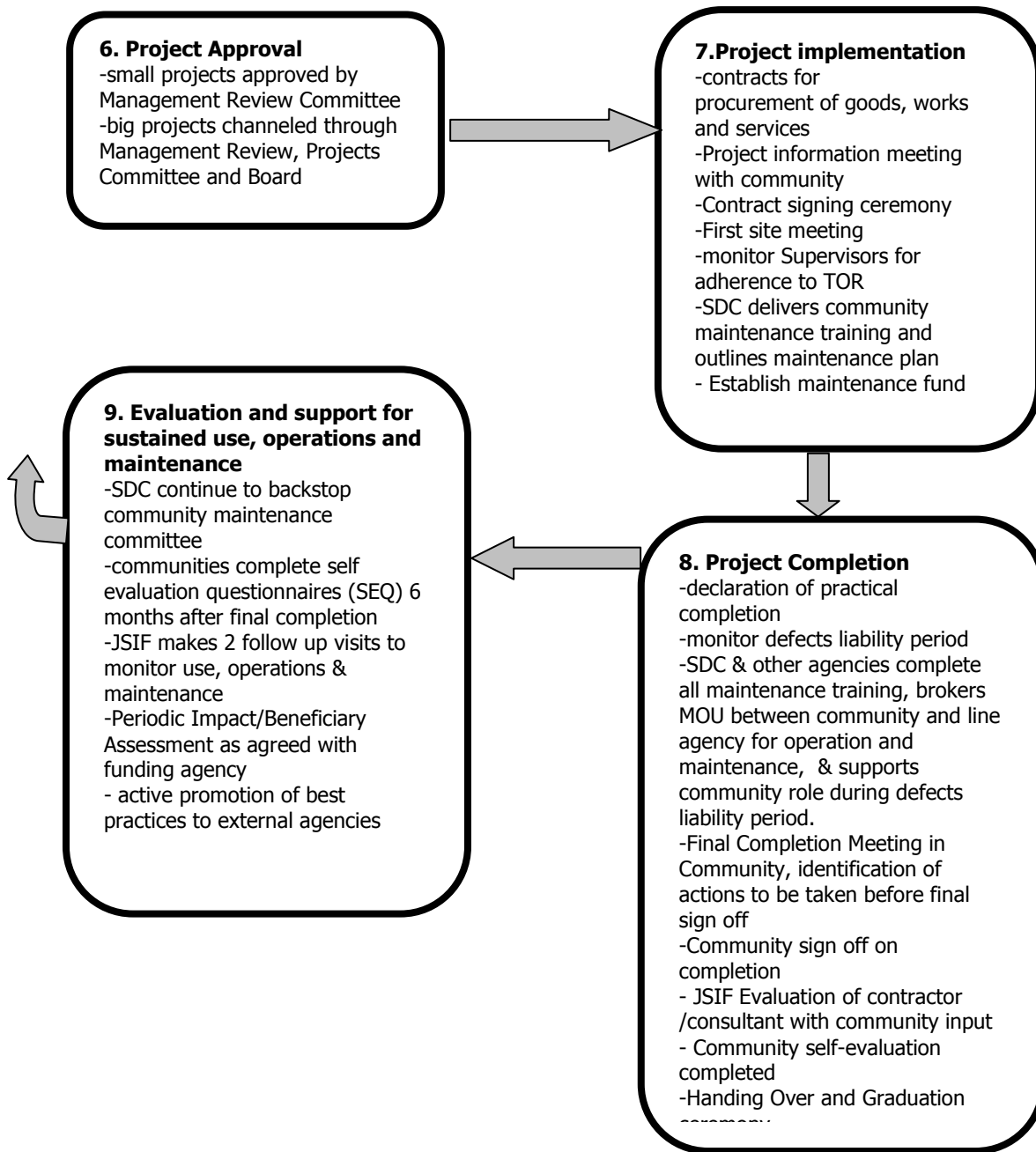
- Community projects implemented by JSIF
- Community projects implemented through Community Based Contracting
- Special projects

Most of JSIF's funds are intended for investment in small-scale community projects. This chapter explains the project cycle and the procedures required to make funding decisions and to monitor the use of the funds for community projects implemented by JSIF. The project cycle and procedures for community based contracting projects and projects for groups other than communities or innovative pilot projects for communities are covered in Chapters 5 and 6 respectively.

Although in the early years of JSIF, the staff adopted a comprehensive development approach to working with communities in order to establish appropriate modus operandi and guide partners into a new way of working, it is now expected that the JSIF will encourage SDC, design and supervision consultants, training consultants, NGOs and other partners to realize fully their role in community empowerment. Therefore, JSIF staff must not undermine or substitute for the work of their partners but rather provide quality assurance through close monitoring.

4.1 The Community Project Cycle





Summary of Community Infrastructure Project Timelines

1. Promotion	Ongoing
2. Developing Applications	Ongoing SDC activity
3. Project Application Review	Min 2 weeks Max 10 weeks (where community plan weak)
4. Project Concept Development & Social Review	Min 4 weeks Max 6 weeks
5. Project Design & Review	Max 15 weeks (allows for contracting design consultants, provision of design and community sign off)
6. Project Approval by Management Review Committee & Board	Min 1 week Max 6 weeks
• Time from registration to approval	Min 22 weeks Max 37 weeks
7. Project Implementation	Min 7 weeks average 22 weeks (4 month construction) max 38 weeks (8 month construction)
Time from registration to practical completion	Min 29 weeks Average 40 weeks Max 75 weeks
8. Project Completion	Defects liability period (generally 6 months) plus 1 month
Time from application to final completion	Min 54 weeks Max 100 weeks
9. Evaluation and Support	Variable up to 2 years post final completion

4.2. Targeted Promotion to communities

Objective:

- Ensure that all communities, which are eligible to receive funding from JSIF have sufficient information about JSIF to make project applications.
- JSIF funds projects in response to community demand. However, the extent and appropriateness of community requests is dependent on the quality of the information available to potential beneficiaries.

This information must be strategically directed to communities with the potential to become beneficiaries (see below ` Box 2: What are the eligibility criteria for community projects?').

Tasks

- JSIF periodically develops promotional material directed to poor communities providing the information noted above (eligibility, types of projects, application procedures)
- JSIF distributes promotional material to Communities and those working with Communities.
- SDC and other SDOs distribute promotional material to potentially eligible communities.

Indicators

Output:

- Promotional material updated annually to provide current information accessible to all potential applicant communities

Process

- SDC has updated list of Q4 communities which have not applied to JSIF & provides evidence of promotion to these communities

Impact

- All potential applicant communities know about the opportunity to access JSIF funds and know how to do this.

Box 2: What are the eligibility criteria for community projects?

- Community must be poor (see 4.4.2 Poverty Status of Applicant Community).
- Project must be on the JSIF menu (see Box 3: Types of Community Projects Considered for Funding).
- Project must respond to a priority development need supported by the majority of the community.
- Project must be proposed by a community-based group, either on its own or in partnership with NGOs, service clubs, private sector or local government entities.
- Willingness of the community to provide a contribution to the total cost of the project in cash or kind and to maintain the facility/services.

Box 3: What types of Community Project does JSIF consider for funding?

Sub-Projects, which will not cost more than the current small projects ceiling to implement fully. These projects can comprise a mix of supporting components from the menu below or other project type as agreed with funding agencies.

A. Infrastructure

Construction, rehabilitation and equipping of:

- Early childhood development centres, primary schools and all age schools
- small roads in agricultural areas, bridge approaches, small bridges, foot bridges, retaining walls, drains
- urban access roads
- gullies
- small scale water schemes
- sanitation
- health centres
- community resource centres
- skills training centres & business incubators
- facilities for tourism product enhancement
- play and recreation areas in inner city
- sports facilities in inner city
- offices/meeting facilities/ income generation facilities for inner city CBOs
- community markets

B. Social Services

- Vocational skills training, market awareness, entrepreneur skills
- Job separation counselling, employment profiling, personal development, job preparation skills
- Literacy
- Personal money management
- Conflict resolution, anger management
- Parenting skills, adolescent/adult life skills
- Trauma and bereavement counselling
- Health and hygiene behaviour change
- Construction site skills
- Substance abuse counselling

C. Capacity building

- Organizational Development
- Planning and Management
- Communication Skills and Basic Conflict Resolution
- Fund Raising and Financial Management
- Governance
- Disaster Preparedness
- Maintenance
- Management of Community Based Resource Centres
- Small grants in conjunction with capacity building training not exceeding J\$ 150,000 for 'Easily Achievable Tasks' to enable new or re-energised CBOs to gain experience in planning, management and implementation of minor community development projects.

Box 4: JSIF cannot fund

- Purchase or lease of land or buildings
- Construction on private land without relevant land documents (see 4.4.1 and Box 6)
- Recurrent costs such as salaries, maintenance, utilities
- Projects sponsored by an individual

4.3. Community Project Application process

Objective:

- i. Ensure that the application process is simple and accessible to poor communities.

Poor communities are not expected to provide detailed project proposals. The application is simply an affirmation of a development need, which has been identified through a consultative process with a wide cross section of the community. The means to address the need will be further defined in the project concept development and design process.

Tasks

- JSIF and SDC/SDOs have Application Packs (comprising **COMMUNITY PROJECT APPLICATION FORM** - Annex 1 and *Guidelines for Completion of the Community Project Application Form* - Guideline 1.) available for communities at all times from the JSIF Head office, CDO offices and SDC Parish Offices.
- Forms are filled in by the community-based organization(s) representing the community making the application.
- Forms are submitted to JSIF Head office through SDC Parish Offices. JSIF will send out acknowledgement of receipt of application to CBO and SDC.

The Application Form and Guidelines alert the Community to a number of key elements, which JSIF would regard as a pre-condition for funding. These are:

- The application must be for a community **development priority**, which has been identified through a **wide consultative process** and is part of an overall **community development plan**.
- The Community must demonstrate that they have a willingness and commitment to **contribute in cash or kind** to their project (see Box 5: What is the Community Contribution?)
- The Community must demonstrate a willingness and commitment to **participate** in decision making and monitoring throughout the project cycle.

- The Community must demonstrate that they have a willingness and commitment to **maintain** their project.

JSIF also requires that the Community demonstrates that it has the capability to manage the project. However, JSIF recognizes that poor communities are often at a disadvantage in terms of organization and so undertakes to address any apparent weaknesses through capacity building training and support in conjunction with the main project. Occasionally, JSIF may recommend that capacity building training be provided **prior** to commencement of the main project.

Box 5: What is the Community Contribution?

One way JSIF encourages community ownership of the project is to 'enforce' a requirement for the community to make a contribution to the project in cash or kind. At least 25% of the total contribution must result from **current collective community** action and can be:

1. Voluntary labour on the project, e.g. preparing the site for construction, mix of paid and voluntary work on site, making fittings and fixtures,
2. Volunteer time for the project e.g. attending training, meetings, ceremonies related to the project, mobilization and outreach, managing local labour arrangements,
3. Provision of services for the project e.g. storage for construction materials, clean venue for training and meetings, refreshments and accommodation, transportation,
4. Fund raising,
5. Volunteer effort on other related community development projects implemented at the same time as the JSIF project.

The other 75% can be generated by:

1. Community mobilization of donations from external organizations and individual philanthropy
2. Past construction work completed by the community on the project

4.4. Project Applications Review

4.4.1. Registration

Objective:

Ensure that:

- All applications information is documented, receipt acknowledged and land documents/permits (where relevant) are reviewed for completeness and appropriateness. Information supplied on application forms is sufficient for JSIF to facilitate ranking and recommendation for further processing.
- Ineligible applications are rejected

Documentation

Physical and electronic documentation of all applications received is essential to efficiently processing applications. The physical and electronic files must be created and maintained with all information related to the request.

Acknowledgement

Within 3 working days of receiving an application, the sponsor and SDC/SDO must be sent notification that the application was received. If the application is incomplete, then the application is rejected and the form returned indicating what additional information is required.

Land documents

JSIF will not put up structures where the ownership of the land is unknown, or where permission has not been received from the landowner. If the land information is not received with the application, then the application is rejected and the sponsor requested to resubmit. If a government agency or the Commissioner of Lands owns the land, their permission to proceed is required. Where land is privately owned, permission must be obtained and the appropriate long-term lease arrangement executed. JSIF will not implement projects in any instance which requires relocation of 10 or more households. (See Box 6)

Prioritisation and rejection of applications

A review and prioritisation process using the JSIF Project Ranking System (JPRS) will be undertaken. Where applications are clearly ineligible, a rejection letter must be sent within 2 weeks to avoid raising expectations. JSIF will ensure that non-standard but innovative project ideas are converted into Special Projects where appropriate rather than being rejected.

Regardless of the quality of information given to communities with respect to the JSIF application process, it is likely that there may be some applications that are clearly not appropriate and can be excluded immediately. These may include:

Applications:

- From an individual rather than community
- From an external agency alone on behalf of the community
- From commercial enterprises
- For projects beyond the scope of JSIF

Tasks

See Guideline 2 – Checklist for Logging and Prioritizing Project Applications Received by JSIF.

- JSIF records/logs all applications.
- JSIF sends acknowledgement of receipt of application to community, with copy to SDC and the Parish Development Committee (where applicable) within one week (Annex 2: **ACKNOWLEDGEMENT OF RECEIPT OF APPLICATION.**)
- JSIF rejects all incomplete applications using **REQUEST FOR RESUBMISSION AS APPLICATION INCOMPLETE**, which is copied to SDC Region Office (Annex 3)
- Clearly ineligible community project applications are rejected, using the **INAPPROPRIATE COMMUNITY PROJECT APPLICATION FORM** (Annex 4.). **REJECTION LETTER Type 1** (Annex 9) is sent to the applicant within 2 weeks of receipt of the application.
- Assignment to Social and Technical Officers for project concept development.

Indicators
Output
<ul style="list-style-type: none">• Less than 10% applications are inappropriate –i.e. from ineligible communities, not on the menu, not submitted by CBOs
Process
<ul style="list-style-type: none">• 80% of applications received have been filled out completely• All applications logged on day of receipt• All applications acknowledged within one week of receipt

Box 6: What information on land ownership is needed?

The landowner must in all cases produce satisfactory documentary proof of ownership or permission to use the land before an application will be processed.

Satisfactory proof of ownership includes the following:

- Duplicate Certificate of Title or Common Law Conveyance in favour of the owner.

If the owner is unable to send either of these documents, JSIF will accept Voluntary Declaration forms (available upon request) completed by the owner and **two (2)** independent persons who have knowledge of the history of the land for at least **thirty (30)** years. Additionally, a survey of the land prepared by a commissioned land surveyor should be obtained, if none exists. A Common Law Conveyance can then be done (with the survey attached) transferring the land to the Commissioner of Lands, or an incorporated community based entity. An application can also be made to the Registrar of Titles to have a registered title issued to the Commissioner of Lands or an incorporated community based entity.

If the owner inherited the land JSIF requires the following:

- Copy Will (where applicable)
- Copy Probate/Letters of Administration
- Registration on Transmission **and**
- Assent to Devise

Please note that JSIF will accept copies of documents but originals must be available upon demand.

If the required documentation is in place, the landowner must then:

- Agree to immediately transfer the land to the Commissioner of Lands (the Commissioner) or an incorporated community based organisation (CBO) **or**
- Enter into a written agreement to transfer the land by way of gift **or**,
- Be prepared to provide either the Commissioner, other relevant government agency or CBO with a lease of at least forty-nine (49) years duration at a nominal rent.

The provisions of the Land Acquisition and Resettlement Framework will be applied in all cases of land acquisition.

4.4.2. Poverty status of applicant community

Objective:

1. Ensure JSIF resources are channelled to the poorest communities

At the outset, JSIF needs to ascertain whether the community is poor. It is a guiding principle that JSIF commits to assist, as allowed by the availability of funding, all applicant communities, which are verifiably poor. The social and technical feasibility of project ideas may preclude JSIF from funding the project idea proposed by the community. However, if the community is verifiably poor, it is anticipated that the SDC along with the CBO and other stakeholders will search jointly for alternative means to support community's development vision.

Effective poverty targeting is dependent on the adequacy of poverty assessment tools. A number of initiatives exist in Jamaica to assess community poverty. However, the effective channelling of funds to most needy communities depends on clear definition of the community and clear definition of poverty.

Box 7: What is a 'community'?

There are many definitions of 'community'. It may be based on political constituencies, geographic, economic or social boundaries. However, in JSIF a community is defined as a collection of households that are near together and share common goals, concerns or activities. Most importantly this neighbourhood has a recognized name and recognized geographic boundaries.

SDC helps communities define their boundaries and community development plans.

Box 8: What constitutes 'poverty'?

Poverty has many definitions but JSIF measures poverty of communities in terms of their assets, ability to access services (assert basic human rights) and ability to withstand crises. Poverty is thus multi-dimensional and will have clearly different manifestations in rural and urban situations.

JSIF conducted action research in 1998 and asked people themselves what characterises poverty. This and subsequent participatory research has led to recognition that there are some key indicators.

JSIF uses two principal means to objectively assess poverty:

- **The Poverty Map**¹ has been recognized to be reliable in categorisation of Quartile 4 (poorest) communities, despite major limitations of its use beyond this. Thus, requesting communities, which are identified as Quartile 4 on the Poverty Map are eligible for JSIF assistance.

¹Developed by PIOJ, 1996 based on 1991 census data, uses four key indicators to rank communities into poverty quartiles. The indicators are % households without piped water into the dwelling, % households without exclusive use of a water closet, % of the labour force aged 15-29 unemployed, % of community aged 14-29 with primary education only. The Poverty Map is currently being updated by the PIOJ.

- **JSIF/SDC Poverty Assessment Tool**, which provides information on the poverty status of communities that are not listed in the Poverty Map or are subsumed under larger community aggregations but appear to be discrete communities constituting 'pockets of poverty' or are urban communities with deprivation indicators other than those used by the Poverty Map.

Tasks:

- Where community is either Poverty Map Quartile 1, 2, or 3, not listed or an inner city community, SDC will assess the community using the Poverty Index and advise JSIF accordingly.
- SDC provides an indicative poverty assessment, prioritisation plan, community contribution schedule maintenance committee membership listing and community development plan. SDC also provides sociological and demographic data with respect to the community project application within one week of receipt of the application.
- SDC assists community to complete JSIF Community Project Application.
- JSIF accepts all applications where the community is verifiably poor. JSIF rejects all community applications where there are clear indications that the community does not meet poverty criteria.
- JSIF records, scores and prioritises project applications using JPRS. JSIF Social Review Committee authorizes all rejections (Annex 14).

JSIF undertakes to field visit at least 50% of all communities for which applications have been submitted to validate the information provided and the process using **COMMUNITY PROJECT APPLICATION VALIDATION FORM** part 2 (Annex 7) and recommends rejection of all applicants that do not qualify for support. Authorisation for field trip is obtained through **REQUEST FOR AUTHORISATION OF FIELD VISIT** (Annex 6).

Indicators	
Output	<ul style="list-style-type: none"> • Poverty ranking applied prior to submission of applications
Process	<ul style="list-style-type: none"> • JSIF completes poverty section of Community Project Application Validation Form within 2 weeks of receiving project application (including 50% field validation)
Impact	<ul style="list-style-type: none"> • All applications recommended for further processing are from verifiably poor communities

4.4.3. Community priority

Objective:

- Ensure that the application for a community project represents a development priority which is part of the community's collective development vision.

As part of the local government reform process, communities are being encouraged to articulate their own vision for development. JSIF requires evidence that this has been done and has

involved a wide cross section of the community. The minimum requirement is documented evidence of a recent², broad based community consultative process resulting in:

- A ranking of development priorities (community problems requiring solution)
- An indication of who will address these priorities (community by themselves, community with help from outside (JSIF, or ministry or combination), primarily outside)
- An indication of the timescale to address the development priorities (immediately, short term (e.g. during current year), long term (within next 1-5 years))

This information will be available on the SDC Community Database and will include an affirmation that the Parish Development Committee has been informed of the community's intention to make an application to JSIF. The SDC also undertakes CBO Assessments as part of the process of developing the community profile and it is expected that they will feed the outcomes of these into the SDC Community Database.

Tasks

- JSIF reviews the information provided by SDC and prepares a report on the findings for submission to and further discussion with SDC at monthly inter-agency meetings.
- JSIF Social Officer completes section 3 of the Community Project Application Validation Form (Annex 7).

4.4.4. Availability of other funding sources

Objective

2. Ensure JSIF resources are utilized only where other sources of funds are not available

JSIF funds are not intended to substitute for existing obligations of the Government of Jamaica. Rather, JSIF funds are intended to be used in projects for which there are no earmarked resources or there is an emergency need.

Tasks

3. JSIF checks with respective Government of Jamaica Ministries and Agencies, International Development Agencies, Non Government Organisations and private sector Foundations and Trusts which provide funding for community projects which are similar to JSIF to obtain current statements of intention to fund, strategic plans, annual plans etc so that community **projects** which are earmarked for response by these bodies are eliminated for JSIF funding.

Indicators	
Output	<ul style="list-style-type: none"> ◆ The status of community planning is clarified in all applications from verifiably poor communities ◆ No. of applications from verifiably poor communities requiring pre-project capacity building assistance from SDC or training consultants
Process	<ul style="list-style-type: none"> ◆ Community planning status communicated to JSIF with submitted application ◆ Community identify other potential sources of funding
Impact	<ul style="list-style-type: none"> ◆ JSIF only funds community projects within the context of community planning process

Indicators	
Output	<ul style="list-style-type: none"> • JSIF verifies whether project is earmarked for funding by another entity.

² Not more than 12 months old

4. JSIF compares this information with applications and where there is an intention to fund by other agencies, JSIF requests confirmation of this from the relevant agency in writing so that a copy of this can be sent with the rejection letter from JSIF. (**REQUEST FOR CONFIRMATION OF INTENTION TO FUND FROM OTHER ORGANISATIONS**, Annex 8)

Box 9: Summary of reasons for rejection of community applications

Type 1: Inappropriate application

- a) Not a community based application e.g. from an individual, commercial enterprise, external agency on behalf of the community
- a) Beyond the scope of JSIF (e.g. not on the menu, too big)

Type 2: No land documents received

Type 3: Community not poor

Type 4: Technically/environmentally not feasible (may not be known until after project concept development stage)

Type 5: Project request will be responded to by another agency

Box 10: What decisions can the JSIF Social Review Committee make on project screening?

The JSIF Social Review Committee comprises management representatives, technical and social advisors, and provides **quality assurance** for the screening of project applications.

All completed Community Project Application Validation Forms are scrutinized by the Social Review Committee and recommendations endorsed or new recommendations made.

Possible actions are:

- Rejection of application (see Box 9)
- Registration of accepted project and continuation into project concept development, together with categorization of the project based on funding availability and assignment of officers to the project.
- Flag projects which require additional community capacity building/support during project implementation
- Recommend to SDC communities that require additional community capacity building/support prior to resubmission of application (see Box 11)
- Conversion of community project application to special project application (see section 5) for explanation of what constitutes a special project)
- Request for JSIF officer to make a field visit to the community because information supplied on the Community Project Application Validation Form is insufficient to enable a decision to be made.
- Request for SDC to provide capacity building assistance and facilitate a community planning process.

Box 11: Why would a community need capacity building support before JSIF will consider supporting its project idea?

The Community Project Application Validation Form indicates that there was:

- Insufficient consultation with the wider community in defining community development priorities.
- Insufficient consensus on development priorities.
- Weaknesses in the sponsoring CBO, suggesting an inability to manage the project.

The Social Review Committee can recommend that:

- SDC facilitate a capacity building and improved community planning process with the community
- Capacity building be undertaken prior to engaging in a larger project

4.5. Community Project Concept Development

Objective:

- i. Ensure that the proposed solution to the problem is the right one and that alternatives have been thoroughly reviewed by a wide cross section of community members.

Project Concept Development is a **participatory** process comprising:

- i. Clarification of the problem that is to be addressed by the project.
- ii. Defining the intended impact /objective of the project.
- iii. Review of the alternative strategies to address the problem (alternatives analysis) and justification for preferred strategy (including technical, social and environmental feasibility).
- iv. Preliminary definition of community capacity building needs to supplement the IS project.
- v. Identification of the community's preferred approach to providing the community contribution.

A Project Concept Development Meeting is arranged in the community at a time and venue convenient to the community and conducive to broad participation. At this meeting, JSIF will encourage the community to keep a special file (Community Project File) of all the project documents and letters. Not all projects will require field visit. Where data previously received from SDC along with the validation information is sufficient to facilitate design, the project will be ranked using criteria outlined in Box 12.

Tasks

- JSIF informs the community and SDC in writing that the application has been recommended for further development and the next step is to organize a Concept Development Community Meeting (**REQUEST FOR ORGANISATION OF PROJECT CONCEPT DEVELOPMENT MEETING** Annex 10 and *Guidelines for the Community for the Project Concept Meeting - Guideline 3*).
- SDC liaises with the CBO to arrange the meeting and confirm details of this with JSIF using **CONFIRMATION OF CONCEPT DEVELOPMENT MEETING** (Annex 11)
- JSIF Technical and Social Officers request authorization for field visit based on submission of Confirmation of Concept Development Meeting Form. (**REQUEST FOR AUTHORISATION OF FIELD VISIT**, Annex 6)
- SDC facilitates the Concept Development Meeting (see *Guidelines for Facilitating Concept Development Meeting – Guideline 4*) involving CBO project sponsors, users of the proposed project, community

Indicators

Output:

- Concept approved by Social Review Committee

Infrastructure projects

- Sufficient information to provide design consultant with a detailed brief describing the problem, proposed strategy, technical and environmental considerations & community preferred contribution strategy

Social service or capacity building projects

- Sufficient information to identify mix of generic project components required

members who are non users and the JSIF Technical Officer and Social Officer. In some projects, it may be advisable to include representatives from the relevant line ministries and government agencies (e.g. NWC, Parish Council) along with other stakeholders. In the case of purely social service and organizational strengthening project applications, a JSIF Technical Officer need not attend the Concept Development Meeting unless specifically assigned.

- At the Concept Development Meeting, the Community presents its project idea and any review of alternatives it may have done. Where alternative solutions have not been adequately reviewed this is facilitated at the Meeting.
- JSIF Officers must ascertain an indicative technical and environmental feasibility of the project idea before going deeper into project concept development. JSIF should facilitate exploration of alternative solutions to the same problem or suggest that the community re-applies to JSIF with a different project idea.
- JSIF fills in section 1 (Details of the Meeting) and Section 2 (outcomes) of the **COMMUNITY PROJECT CONCEPT DEVELOPMENT REPORT** (Annex 12).
- JSIF Technical Officer collects technical and environment specifications required to brief the design consultant and completes section 3 (Technical/Environmental Specifications) of the **COMMUNITY PROJECT CONCEPT DEVELOPMENT REPORT** (Annex 12)
- JSIF Social Officer collects sufficient information about existing community capacity to facilitate the design of the complementary capacity building component of the project and completes section 4 (Capacity Building Specifications) of the **COMMUNITY PROJECT CONCEPT DEVELOPMENT REPORT** (Annex 12)
- JSIF Technical and Social Officers submit the Community Project Concept Development Report with recommendations to the JSIF Social Review Committee.
- JSIF Social Review Committee reviews and recommends course of action using section 5 of the Community Project Concept Development Report (Annex 12) and assigns a priority ranking to accepted projects based on the criteria in Box 12.
- JSIF will reject all applications that have not attained the required eligibility score and where appropriate, redirect the community to alternate funding sources.

Process

- Concept Development Session arranged within 7 days from assignment to Project Officers
- Concept Development Session attended by CBO Executive, users, non users (mix of age/gender) JSIF officers, SDC 's CDO

Impact:

- No investment by JSIF unless project concept is sound and comprehensive.

Box 12: How does JSIF rank eligible subprojects?

Criteria	Indicator	Possible Score
Potential for job-creation	% estimated cost of project for labour > 40% 21-39% < 20%	2 1 0
Potential Social Impact (improved access to social services)	% of the community benefiting from the intervention >10% 4-9% <3%	2 1 0
Maintenance track record/willingness to maintain	High (successfully maintain existing community infrastructure + maintenance committee established) Medium (maintenance committee established) Low (none of the above)	2 1 0
Community contribution potential	>25% 21-25 % 16-20% 11-15% <11%	4 3 2 1 0
Simplicity of design/involve small works	<i>Projected cost of implementation</i> < US\$80,000 US\$81,000 –150,000 > US\$150,000	2 1 0
Implementation Period	Length Of Implementation Period (Post Contract) < 3 months 3-6 months > 6 months	2 1 0
Potential for Community Based Contracting	High (Project is entirely run by the community, except for some external financial and technical assistance) Medium (Community participates in lower level management decision making including some input in project design) Low (Some personnel, financial or material contributions from the community, but not involved in decision making)	2 1 0
Level of Community Participation	Active Dormant Inactive	2 1 0
Total		18

Scores 10-18	Formulate project
Scores 5-9	To be resubmitted if any of the above indicators can be identified for improvement, otherwise reject.
Scores 0-4	Will be rejected or transferred to alternative funding source

Scores of less than 4 will result in the project not being considered for JSIF funding. Those that do not proceed to formulation (those with scores of 5-9) will be reviewed in three months, for formulation. If after three cycles (9 months) they are not prioritised for formulation, they will be rejected.

Box 13: What decisions does the JSIF Social Review Committee make on project concept?

The JSIF Management Review Committee comprises management representatives, technical and social advisors, and provides **quality assurance** for the screening of projects and project concepts.

All Community Project Concept Development Reports are scrutinized by the Management Review Committee and recommendations endorsed or new recommendations made.

Possible actions are:

- Rejection of application because technical/environmental risks are too high.
- Approval of project concept and continuation into design phase, having confirmed or changed the categorized of the project recommended in screening.
- Prioritisation of approved project concept according to the sub-project ranking.
- Conversion from community project to special project.
- Requirement of further conceptual development, possibly requiring another community visit.
- Recommendation for capacity building.

4.6. Community Project Design and Review

Objective:

- Ensure high quality, cost effective design of projects which best meet the requirements of the community within resource limitations prescribed

The community is regarded as the client in the design process and must be afforded the respect and opportunity to influence decision-making.

Tasks

- JSIF informs communities and SDC in writing that their project is now ready for the next stage of project design (**NOTIFICATION OF PROJECT DESIGN PHASE**, Annex 14 and *Guidelines for the Community on User Input in Design – Guideline 5*)
- JSIF Technical Officer prepares TOR for the design consultant by inserting data collated in the Community Project Concept Development Community Report in **GENERIC TORs FOR DESIGN CONSULTANTS (ARCHITECTS/ENGINEERS)** (Annex 15a) and passes to Contracts Unit, indicating the scoring system to be used for the evaluation of proposals, using **INSTRUCTIONS TO CONTRACTING** (Annex 16)

Indicators	
Output:	<ul style="list-style-type: none">• All communities sign off on the design of their projects after Board approval
Process:	<ul style="list-style-type: none">■ Designs produced within the time indicated in the design consultant's contract

- JSIF Social Officer prepares TOR for design of capacity building using **GENERIC TORs FOR DESIGN CONSULTANTS (CAPACITY BUILDING)** (Annex 15b) and passes to Contracts Unit, indicating the scoring system to be used for the evaluation of proposals, using **INSTRUCTIONS TO CONTRACTING** (Annex 16)
- JSIF Contracting Unit prepares requests for expressions of interest and/or *requests for proposals* and sends to design consultants.
- JSIF Technical Review Team evaluates Design Consultants proposals using **EVALUATION OF PROPOSALS** (Annex 17) and submits the results to the Contracts Unit for presentation to the Bid Evaluation Committee. Proposals are evaluated and contract awarded (see section 7 Contracting Procedures).
- Where negotiations are required, the Bid Evaluation Committee assigns the relevant personnel to undertake this exercise. Following negotiations, a **REPORT ON NEGOTIATION WITH BIDDER** (Annex 18) is completed and presented for review to the Bid Evaluation Committee.
- Following award and acceptance of the contract by the Design Consultant, the JSIF Technical or Social Officer meets with the contracted Technical Design Consultant or Capacity Building Design Consultant to review the TOR and methodology with emphasis on the need to adhere to relevant standards and guidelines.
- JSIF Technical Officer monitors fulfilment of the contract by the Design Consultant and only authorises payment on **satisfactory** and **timely** completion of prescribed activities and submission of Design and Costing Reports (using **CHECKLIST OF TECHNICAL DESIGN DELIVERABLES** Annex 19). All Design Consultants are supplied with electronic and hard copy versions of modular design formats where relevant, Costing formats and the current version of the *'User Input in Design Guidelines'*.
- The Technical Review Committee checks all submissions from the Design Consultant to ensure technical appropriateness of the design and compliance with relevant standards. Having checked the Bill of Quantities supplied by the Design Consultant, JSIF Quantity Surveyor generates the final Bill of Quantities for the subsequent tendering process.
- JSIF Social Officer monitors capacity building design and only authorizes payment on **satisfactory** completion of the prescribed deliverables and submission of Design Reports. (using **CHECKLIST OF CAPACITY BUILDING DESIGN DELIVERABLES** Annex 20). All Design Consultants are provided with Design Report Formats and *'Guidelines for Capacity Building Design Process'*.

- In house project design review takes less than 2 weeks.
- All project appraisal reports reviewed by JSIF Management Review Committee and sent to members of Projects Committee three working days before the Projects Committee meeting
- All design consultants evaluations completed within 4 weeks of Board Approval of project.

Impact:

- Comprehensive, technologically and environmentally appropriate and cost effective project designs developed with full user participation

- JSIF Technical and Social Officers complete evaluation of the Design Consultants using **EVALUATION OF THE PERFORMANCE OF CONSULTANTS AND CONTRACTORS** (Annex 21) and submit to the relevant manager for review and approval. The manager submits the approved **EVALUATION OF THE PERFORMANCE OF CONSULTANTS AND CONTRACTORS** form to the Contracts Unit for updating of the JSIF database. Those consultants who have not performed well may be recommended for removal from the list of pre-qualified consultants where appropriate.
- JSIF Social and Technical Officers prepare the project appraisal report for submission to the Management Review Committee and check the completeness of information using the **MANAGEMENT REVIEW SUBMISSION CHECKLIST** (Annex 22).
- JSIF Management Review Committee provides quality assurance by reviewing project appraisal reports and approving or rejecting projects accordingly. Where revisions are requested, these are to be completed prior to submission of the final version of the project appraisal report to the Projects Committee of the Board.

4.7. Community Project Approval

Objective:

- Ensure efficient approval of projects and notification of approval.

JSIF has two levels of community project approval:

- Projects up to a value of J\$ 1.5 million are approved by the JSIF Management Review Committee
- Projects over J\$ 1.5 million are approved by the JSIF Board of Directors

Tasks

- JSIF Management Review Committee meets weekly to review project appraisal reports and rejects or approves projects for submission to the JSIF Board of Directors. This Committee approves small projects up to a value of J\$1.5m which are then submitted to the JSIF Board of Directors for ratification.
- The Projects Committee (PC), comprising members of the Board of Directors and other co-opted persons and supported by JSIF staff, meets monthly to review all submissions for Board approval prior to presentation to the full Board of Directors.
- The Board of Directors meets monthly and approves projects recommended by the PC.
- JSIF notifies in writing the CBO sponsor, SDC, Design Consultant, relevant line ministries, Member of Parliament for community's constituency and Parish Council, of project approval (**NOTIFICATION OF COMMUNITY PROJECT APPROVAL**, Annex 24). The notification also informs the community that they need to arrange for a Project Information Meeting within two weeks of notification of award of contract.

Indicators	
Output	<ul style="list-style-type: none"> • Not less than 16 projects approved each month.
Process	<ul style="list-style-type: none"> • Notification of project approval sent within 5 working days of approval • Transfer of all documents needed by Contracting Unit from Operations within 2 working days of approval

- After project approval the Operations Administrative Officer transfers the project and all relevant documents to the Contracts Unit **USING INSTRUCTIONS TO CONTRACTING** (Annex 16) Information/documents to be transferred include:
 - TORs for the, Supervising Consultant, Training Consultant etc.
 - Final (checked) un-priced Bill of Quantities & Drawings
 - Indication of scoring system to be used for evaluation of proposals and justification for direct contracting, where applicable.
 - Information on anticipated number of person days and duration of the work proposed in the TORs
 - Equipment specifications (if any)
 - Details of what must be included in the Community /JSIF Agreement

4.8. Community Project Implementation

4.8.1. Procurement of Goods, Works and Services

Objective:

- Ensure efficient contracting and complete adherence to contracting procedures, that the procurement process is fair, transparent and results in JSIF obtaining good value for money. See Section 7 and Appendix B for procurement procedures.

Tasks:

- JSIF Contracts Unit procures services of contractors/consultants for the provision of goods, works and services according to current procurement procedures, based on the specifications provided in Instructions to Contracting (Annex 16)
- JSIF Bid Evaluation Committee meets weekly and approves recommendations for award of contracts based on technical and financial review according to current contracting procedures. Where there are concerns about the winning Financial and /or Technical Proposal for service contracts, the Bid Evaluation Committee may request a negotiation with the bidder and assigns JSIF members of staff to conduct this negotiation (Annex 17). Following negotiations, a **REPORT ON NEGOTIATION WITH BIDDER** (Annex 18) is completed. Recommendations are reviewed by JSIF Bid Evaluation Committee and decisions made as to how to proceed.
- Contracts Unit prepares Community/JSIF agreement based on information supplied in Instructions to Contracting (Annex 16) completed by Technical and Social Officers.

Box 14: What is a Community/JSIF Agreement?

Community/JSIF Agreement is entered into for all Community projects and sets out the obligations on both sides.

JSIF agrees to:

- Contract and monitor the work to ensure quality and value for money

- Facilitate maintenance and fund raising and financial management training
- May agree to provide grant funds for procurement of goods and services by the community, where they have demonstrated a capacity to manage this

Community Based Organisation agrees to:

- Provision of community contribution (specified)
- Monitor the progress of the project through day to day observation, participation in all Steering Committee meetings
- Direct concerns etc to the Project Supervisor and not issue instructions directly to contractors (except where they are managing the contract)
- Keep the community informed regarding progress
- Participate in maintenance training, fund raising and financial management training other training (as specified)
- Procure goods and services (if applicable) according to prescribed procedures
- Ensure utility connections are made (if applicable)
- Ensure that project records (contributions log, work sheets, minutes of meetings, records of transaction etc.) are kept
- Ensure that the benefits of the project are sustained by establishing a management/maintenance committee to manage operations and maintenance
- Report defects during the Defects Liability Period, participate in the final completion meeting and indicate acceptance of the final project by signing the final inspection report
- Co-operate with JSIF in evaluation of the project

4.8.2. Mobilising contracts³

Objective:

Ensure rapid start up of contracts by timely provision of mobilization payment where applicable if requested by the contractor/consultant.

Tasks

³ Mobilisation payments are optional.

- JSIF Contracts Unit checks the mobilisation bank guarantee provided by the contractor/consultant to ensure compliance with JSIF's requirements.
- JSIF Technical Officer makes request to Finance Department for release of mobilization payment to contractor/consultant/supplier following the signing of the contract and submission of relevant documents as required by the particular contract.
- Mobilisation payments are recovered during the first half of the contract period and prior to the expiration of the mobilization guarantee.

4.8.3. Project Information Meeting

Objective:

- Ensure common understanding between the Community, Contractor, Supervising Consultant, Training Consultant, SDC/SDO and JSIF on the scope and schedule of the project, as well as confirmation of the roles each will play in the implementation of the project.

The Project Information Meeting (PIM) is a key event since it celebrates the fact that the project has been approved and sets the scene for the implementation of the project. Experience indicates that some community members are reluctant to be involved in a project until this point when there is a guarantee that the project will be actualized.

The PIM is held in the community at a time and venue convenient for the community, which ensures participation of a wide cross section of the community (CBO Executive, potential users of the services/facility, non users, men/women, old/young). A well-publicized PIM should attract representatives from a minimum of one in four households.

The purpose of the PIM is to:

- Confirm the approval and scope of the project
- Explain the contents and spirit of the Community /JSIF Agreement
- Establish who will represent the community on the Steering Committee and their role on the committee
- Introduce the Contractor, the Supervising Engineer⁴ and the Training Consultant (and line ministry/agency representative) to the community
- Explain the role of JSIF and SDC in the project implementation phase
- Establish appropriate norms regarding communication between the community, Steering Committee, Supervising Consultant, Contractor, Government line ministries and agencies, SDC and JSIF
- Explain the role of the community labour liaison co-ordinator, establish norms for local labour arrangements and provide the selected person with a log book to record labour provision.
- Remind the community of their Contribution Plan, confirm the details and provide them with a log book to record their contribution.
- Work out the project schedule and start date. Agree on date of first site meeting.
- Explain what happens at the end of the project and the importance of the Final Completion Meeting in the community.

⁴ Often already known to the community as he/she may have been the Design Consultant.

- Reiterate the community's role in ensuring operation and maintenance of the project after the support from JSIF.
- Discuss Memorandum Of Understanding (MOU) between community and Line Ministry/Agency regarding maintenance of the project.
- Review **COMMUNITY SELF EVALUATION QUESTIONNAIRE** Annex 45.
- Confirm composition of Maintenance Committee.

Box 15: Who participates in the PIM?

The following should participate in the PIM: -

- CBO Executive
- Wide cross section of the community (representatives from all categories of potential users as well as non users of the facility or services)
- SDO CDO
- Supervising Consultant
- Contractor
- Capacity Building consultant
- Representatives from the relevant line agency
- Representatives from the Parish Development Committee
- JSIF Social and Technical Officers

Box 16: What is a Community Project Steering Committee?

The Steering Committee is set up literally to **steer** the implementation phase of the project. The Committee has the responsibility to support the Supervising Consultant and Capacity Building Supervisor in monitoring of the progress and standard of the work. Specifically, the Committee ensures that problems which arise during implementation and which may adversely affect the project are solved in a collaborative and swift manner to enable efficient and expedient project implementation.

The steering committee consists of:

4. Community representatives (**minimum two** selected at the Project Information Meeting; one to be designated Local Employment Liaison)
5. Contractor
6. Capacity Building Consultant
7. Supervising Engineer
8. SDC CDO

The following may be invited to join the Steering Committee:

Representatives from relevant authorities (e.g. Superintendent of Works, representatives from relevant line Ministries/agencies)

A Chairperson is selected at the first meeting. JSIF promotes the principle that a community representative should be the Chairperson. Meetings are held at least monthly.

Tasks

- JSIF Administrative Officer confirms attendance of Contractor, Supervising Consultant, Training Consultant and line agency representative (if appropriate) at the PIM and confirms preferred date with SDC and the Community. **CONFIRMATION OF PIM** (Annex 25).
- JSIF Technical and Social Officers request authorization (Annex 6) for attendance at PIM based on Confirmation of PIM.
- JSIF Technical and Social Officers facilitate PIM using **PIM CHECKLIST** (Annex 27)
- JSIF Technical and Social Officers record information from PIM using **PIM REPORT** (Annex 28)

Indicators

Output:

- Well supported PIM held prior to implementation

Process

- All issues on checklist discussed and clarified in PIM
- Community contribution plan finalized for all projects

Impact:

- Community has clear understanding of the obligations of all parties.

4.8.4. Contract Signing Ceremony

Objective:

- Ensure that the Contract Signing Ceremony is a well-supported celebratory event organized by the community.

The Contract Signing Ceremony is primarily intended to be an opportunity for the community to celebrate the approval and start of their project. The community signs the Community/JSIF Agreement as well as witnesses the signing of contracts between JSIF and the Contractor, Supervising Consultant and Training Consultant where applicable. In some instances, the contracts of the consultant and contractor may have been signed prior to the signing ceremony in the community in which case only the Community/JSIF Agreement will be signed at the ceremony. The community arranges the whole ceremony and invites guests with protocol advice from JSIF⁵.

Tasks

- Provisional dates for the Contract Signing ceremony were provided in the PIM. SDC liaises with the CBO to arrange the Contract Signing Ceremony.
- JSIF confirms attendance of JSIF management representatives, contractor, Supervising Consultant and Training Consultant at the Contract Signing Ceremony
CONFIRMATION OF CONTRACT SIGNING CEREMONY (Annex 29)
- JSIF organises for a site sign board which should indicate the name of the project, funding source, community based organisation, contractor, capacity building consultant and supervising consultant.
- Administrative Officers request authorization (Annex 6) for attendance at Contract Signing Ceremony based on SDC response to **CONFIRMATION OF CONTRACT SIGNING CEREMONY** (Annex 29), this information is sent to the Office Administrator for transportation arrangements to be made.
- JSIF Communication Officer prepares JSIF Management speech for the Ceremony in liaison with the relevant JSIF Technical and Social Officers and liaises with the media and prepares press briefs, if needed
- JSIF Administrative Officer prepares Fact Sheet on project
- JSIF Administrative Officer attends contract signing ceremony and completes **CONTRACT SIGNING CEREMONY REPORT** (Annex 30). The actual community contribution relating to the ceremony is to be recorded in the report.

Indicators	
Output:	<ul style="list-style-type: none">• At Least 60% CBO members in attendance
Process	<ul style="list-style-type: none">➤ Community organises and manages ceremony themselves
Impact:	<ul style="list-style-type: none">• Community empowered by being signatory to contract with JSIF

⁵ The effort and costs involved are computed as part of their community contribution

4.8.5. Community Project Supervision

Objective:

- Ensure funds are used as intended, quality and progress of work is acceptable and problems are solved in a timely and appropriate manner.

JSIF employs external Supervising Engineers for most construction and rehabilitation projects. This means that JSIF does not usually directly supervise projects but rather closely **monitors the contracts** of Supervisors to ensure timely and quality fulfilment.

The community also performs an important role in supervision through their participation in the Project Steering Committee.

Tasks

- Having obtained authorization to attend the first site meeting (Annex 6. Request for Authorization of Field Visit), the JSIF Technical Officer accompanies the Supervising Consultant and Contractor to the first site meeting in order to confirm the project schedule and to brief the Supervising Consultant on JSIF's requirements. CBO representatives must also attend this meeting.
- JSIF Technical Officer monitors the Supervising Consultant. Periodic and random visits to the site are required to monitor the work of the Supervising Consultant and the progress of the project. However, the JSIF Technical Officer is never to undertake, supplant or undermine the job of the Supervising Consultant. Each site monitoring visit must be authorized using Request for Authorization of Field Visit (Annex 6).
- The JSIF Project Technical officer only recommends payment of the Supervising Consultant on **satisfactory** completion of all requirements of the Supervisor's contract and receipt of the prescribed Supervision Reports (using **CHECKLIST OF TECHNICAL SUPERVISION DELIVERABLES**, Annex 31)
- JSIF Social Officer monitors supervision of the capacity building component of the project. The JSIF Social Officer should make a minimum of one visit to training sessions in the community. Authorization for visits is obtained using Request for Field Visit (Annex 6)
- JSIF Social Officer only recommends payment of the Consultant for supervision of the capacity building component on **satisfactory** completion of all requirements and verification of outputs documented in the prescribed Supervision Reports (using **CHECKLIST OF CAPACITY BUILDING SUPERVISION DELIVERABLES**, Annex 32)
- JSIF Social and Technical Officers may be required to make additional field visits in crisis situations where they provide advice on problem solving. Authorization for such visits is

Indicators	
Output:	<ul style="list-style-type: none">• Regular site meetings including all stakeholders held to monitor progress of project• Regular site monitoring visits by JSIF Project Officer
Process	<ul style="list-style-type: none">➤ Monthly Steering Committee meetings include active participation of community reps• Capacity Building training takes place in parallel to IS where applicable• All 'problem projects' are identified and

obtained using Request for authorization of Field Visit (Annex 6). Outcomes of such visits are recorded using **EMERGENCY FIELD VISIT REPORT** (Annex 50)

Box 17: How to identify a problem project?

The Technical and Social Officers in consultation with the Operations manager and/or Social Development Manager may classify a project as a **'problem project'**. Special tracking is automatically instituted for all problem projects until they are no longer so designated.

Such a classification can be made when:-

- 8 Implementation is inordinately delayed
- 9 Likelihood of high cost overruns
- 10 Persistent technical difficulties
- 11 Community dynamics jeopardise success of the project
- 12 External factors have affected the project and threaten its viability

4.8.6 Community-Based Maintenance

Objective

- JSIF ensures that there is an operational Community Based Maintenance Committee and that it has plans and resources for physical maintenance of the community infrastructure in all communities where JSIF has supported the repair, rehabilitation and construction of infrastructure.

JSIF regards maintenance as a major strategy to contribute to poverty reduction. If community assets are cared for and preserved then resources can be used for further development rather than repair and rehabilitation.

Maintenance Training is provided by SDC at some point before completion of the project, preferably before 'practical completion'. There are two phases of training;

- Sensitization of the wider community to the need for community based maintenance
- Capacity building of community members to do maintenance, both routine (or preventive) and operational maintenance
- Intensive training of the maintenance committee in their role to plan, manage and mobilize resources for physical maintenance

CBO Training *Module 6: Community Based Maintenance of Physical Facilities* explains the training fully and provides details of the performance standards expected of Community Maintenance Committee.

Each Community is provided with a maintenance resource pack which includes copies of the *Community Facilities Maintenance Handbook*.

Every community required to set up a maintenance committee and maintenance plan also automatically receives training in Fund Raising and Financial Management from the SDC. The budgeting and fund raising efforts supported during the Fund Raising and Financial Management course may be usefully focused on supporting the maintenance programme.

The Community Maintenance Committee has an important role during the Defects Liability Period and special checklists are provided to help them monitor their new construction.

Box 18: What are the tasks of a Community Maintenance Committee?

Community Maintenance Committees should comprise between three and seven people who are all members of the community, have an active interest in the community, are respected by other members of the community and, importantly represent the different groups of users of the facilities being maintained. Representatives from external agencies (e.g. Parish Council, Ministry of Education etc.) may also be included.

General Continuous Tasks:

- Develop annual maintenance programme and budget
 - Carry out regular maintenance inspections (using checklists in *Community Facilities Maintenance Handbook*)
 - Organise and monitor routine preventative maintenance
 - Organise and monitor minor repair work
 - Organise maintenance awareness campaign
 - Acquire and look after equipment for maintenance
 - Raise funds and mobilise resources for maintenance
 - Keep records of maintenance activities and report to the wider community on maintenance activities
9. Follow up with Line Ministry/Agency regarding agreed activities under the Memorandum of Understanding.

Special 'One off' Tasks:

- Monitor the defects liability period and ensure that defects are recorded and brought to the attention of the Supervising Engineer.
- To develop a Memorandum of Understanding between the community and the Line Ministry/Agency on arrangements for operation and maintenance (Annex 41).
- Develop appropriate mechanisms for follow-up of maintenance and budget issues.

Tasks

- SDC facilitates both phases of Community Maintenance Training with the community and completes both parts of the prescribed **COMMUNITY MAINTENANCE TRAINING REPORTS** (Annex 33)
- SDC facilitates meetings between the community and relevant line agency to develop a Memorandum of Understanding (MOU) which is signed by both parties and defines the arrangements for operations and maintenance (Annex 41 **MOU BETWEEN COMMUNITY & LINE MINISTRY/AGENCY**)
- JSIF monitors SDC delivery of the maintenance training and brokerage of the MOU and authorizes payment to SDC only on **timely** and **satisfactory** completion of both phases of training, submission of Community Maintenance Reports(**CHECKLIST OF COMMUNITY MAINTENANCE TRAINING DELIVERABLES**, Annex 34) and the signed MOU.

Indicators	
Output	
i.	90% of Maintenance Committee members receive training
ii.	MOU between community and line agency in place where necessary
Process	
	90% Maintenance training provided before final completion of the project
Impact	
	A functioning Maintenance committee in 75% of communities where an infrastructure project was provided

- JSIF Social Officer monitors the delivery of CBO Training *Module 3: Fund Raising and Financial Management* and *Module 6: Community Based Maintenance of Physical Facilities* and only authorizes payment on **timely** and **satisfactory** completion of the training and submission of a report on the training. (**CHECKLIST OF CONSULTANT DELIVERABLES - MODULE 3 FUND RAISING & FINANCIAL MANAGEMENT**, Annex 35)

4.8.7 Completion of Community Projects

Objective:

- Ensure that the project is completed to the standard defined in the contract, meets the expectations of the community and can be operated and maintained by the community.

For infrastructure projects completion is divided into two phases;

- practical completion
- final completion

For CBO Capacity Building projects, final completion is achieved when all training and mentoring described in the Training Consultant's TOR has been completed, project evaluation is complete and all payments have been made.

Indicators	
Output:	<ul style="list-style-type: none"> • 80% of projects completed on time
a)	All projects completed by being signed off by community
b)	All projects brought to final completion within 2 months of expiry of Defects Liability period
Process	<ul style="list-style-type: none"> • All defects addressed before expiry of Defects Liability period • Final Completion Meeting attended by at least 10% of CBO/sponsor group
Impact:	<ul style="list-style-type: none"> • Community empowered through acceptance of project and inclusion as

Box 19: What is practical completion?

The Contractor requests 'practical completion' when all the construction/rehabilitation work has been completed. The Certificate of Completion of Works is issued by the Supervising Consultant after the walk-through of the site and the determination by the Supervising Consultant that the work is complete. The Defects Liability Period specified in the Contractor's contract begins after the Certificate of Completion of Works is issued.

What is final completion?

The duration of the Defects Liability Period depends on the size, type and construction period of the project but never exceeds one year. Defects are made good by the Contractor during this period and a Defects Liability Certificate is signed by the community and Supervising Consultant to attest to their satisfaction with the quality of work. Final completion is achieved when this certificate has been signed, a final certificate has been prepared and signed by the Contractor, the Supervising Consultant and JSIF attesting to the completion of all obligations under the contract and all outstanding payments have been made.

Tasks

- i. JSIF informs the community and SDC in writing that the infrastructure project has reached 'practical completion' and that there is now a fixed period⁶ where any defects must be made good by the contractor (Annex 36, **LETTER INFORMING COMMUNITY OF PRACTICAL COMPLETION also Guideline 6**). This period is known as the Defects Liability Period and a fixed percentage of the Contractor's payment, as defined in the contract, is retained to cover any defects which may be identified during this period. Full payment to the Supervising Consultant is not made until satisfactory completion of all final completion activities including certification of the community contribution to the project.
 - ii. SDC reiterates to the community the importance of bringing defects to the attention of the JSIF and the Supervising Consultant well before the completion of the Defects Liability Period and encourages the Maintenance Committee to carry out inspections using *Defects Liability Period Checklists*
 - iii. Towards the end of the Defects Liability Period, JSIF informs the community and SDC in writing that the project is nearly at Final Completion and that a final walk through of the site and a community meeting is to be arranged to ensure that all aspects of the project have been satisfactorily completed (Annex 37, **LETTER INFORMING COMMUNITY OF FINAL COMPLETION**).
 - iv. SDC liaises with the CBO to arrange the Final Completion Meeting at a venue and time convenient to the community.
- JSIF confirms attendance of JSIF Technical and/or Social Officer, Contractor, Supervising Consultant, Training Consultant and relevant line agency representatives, using **CONFIRMATION OF FINAL COMPLETION MEETING** (Annex 38). SDC's response which confirms the Final Completion Meeting enables JSIF Officers to request field visit.
 - JSIF Technical Officer, Social Officer request authorization for attendance at Final Completion Meeting (using Request for Field Visit, Annex 6)
 - JSIF Technical and Social Officers facilitate Final Completion Meeting
 - JSIF Technical and Social Officers record information from Final Completion Meeting using **FINAL COMPLETION MEETING REPORT** (Annex 39)
 - JSIF ensures that any issues outstanding which prohibit final completion are dealt with speedily and satisfactorily and completes **FINAL COMPLETION REPORT** (Annex 40)
 - JSIF ensures that the agreed community contribution has been given by the community and that the Supervising Consultant has adequately certified and reported the contribution.

4.8.8. Community Project Handing Over and Graduation

Objective

- Ensure that the Handing Over and Graduation Ceremony is a well-supported celebratory event organized by the community.

⁶ often six months, but always stipulated in the Contractors Contract and JSIF/Community Agreement

The Handing Over and Graduation Ceremony are primarily intended to provide an opportunity for the community to celebrate the completion of their project. The Community organizes the whole ceremony and invites guests with protocol advice from JSIF⁷. A Commemorative plaque is unveiled and certificates are awarded to those who have participated in Capacity Building training where applicable. 'As Built' drawings and any guarantees/warranties for equipment are handed over to the Community. Full acknowledgement is given for **all** the community contribution. The Community's future plans for addressing subsequent community development priorities are also shared in this ceremony.

Tasks

- JSIF informs the Community and SDC in writing that all outstanding issues highlighted at the Final Completion Meeting have been dealt with (attaches copy of Final Completion Report) and, subject to sign off by the Community, that the Community should now arrange a Handing Over and Graduation Ceremony at a time and venue convenient to the community. As this has already been discussed in the Final Completion Meeting, JSIF also confirms attendance of JSIF management representatives, representatives from relevant line ministries and, if appropriate, representatives from the media. JSIF advises the Community on any protocol considerations. (**LETTER INFORMING COMMUNITY ON READINESS FOR HANDING OVER AND GRADUATION CEREMONY**, Annex 42)
- JSIF organises printing of certificates for participants of the training courses and fabrication of the commemorative plaque.
- SDC liaises with the CBO to arrange the Handing Over and Graduation Ceremony and uses **CONFIRMATION OF HANDING OVER AND GRADUATION CEREMONY** (Annex 43) to confirm details of this with JSIF.
- JSIF Administrative Officers request authorization for attendance at Handing Over and Graduation Ceremony (using Request for Field visit, Annex 6) and supported by the SDC confirmation
- JSIF Communication Officer prepares JSIF Management speech and any news releases for the Ceremony in liaison with the relevant JSIF Technical and Social Officers.
- JSIF Administrative Officer attends the Handing Over and Graduation ceremony and completes **HANDING OVER AND GRADUATION CEREMONY REPORT** (Annex 44)
- Administrative Officers to update SFMS with list of trainees for Capacity Building projects

Indicators	
Output:	➤ Well supported celebratory event in the community attended by at least 5% of households
Process:	➤ Organized by the community themselves
Impact:	➤ Increase in social capital and commitment to continue working for the community.

4.8.9: Evaluation of Consultants and Contractors

Objective:

⁷ The effort and costs involved are computed as part of their community contribution

- i. Ensure a fair evaluation is completed of all contracted personnel involved in the project immediately on completion of the project and feedback provided.
- ii. Ensure that consultants who have not provided satisfactory services are removed from the consultants' database and contractors' performance is noted on file for reference in evaluating future contract awards.

The project cannot be regarded as finally complete until evaluations of the project implementers are complete.

Tasks

- JSIF Technical and Social Officers ensure completion of the **EVALUATION OF THE PERFORMANCE OF CONSULTANTS AND CONTRACTORS** (Annex 21) by the relevant persons and including recommendation for retention or removal of the Consultant from the Consultants' database. Evaluations of contractors are to be taken into account in the consideration of the contractor for any subsequent award of contract.

4.9: Sustained use, operations and maintenance of community projects

Objective

- To measure impact of JSIF funded projects
- To ensure that lessons learned are transferred into improved practice in JSIF
- To highlight best practices and promote these
- To ensure that mechanisms are working to secure the longevity of benefits from Community projects.

Tasks

- SDC facilitates CBO Assessment to establish status of the community following its experience with the project and to gauge its readiness and capacity for further development endeavours. The results of this CBO Assessment are recorded on the SDC Community Database within six months of final completion of the JSIF project.
- JSIF sends all communities with completed projects a **SELF EVALUATION QUESTIONNAIRE** (Annex 45) within six months after completion. **SEQ REPORTS** are generated monthly and shared with JSIF staff and SDC.
- Impact Assessments are carried out periodically by external organisations. These use survey and participatory instruments to assess
 - JSIF's ability to channel funds to the poorest,
 - The quality, access, use and maintenance of infrastructure
 - The community capacity building achievements,
 - The contribution to building social capital
 - The quality of JSIF processes and the extent of transfer of best practices
- JSIF and SDC conduct periodic monitoring visits to assess the adequacy of community based maintenance arrangements

Indicators
Output <ul style="list-style-type: none"> ➤ Clear evidence of JSIF's contribution to poverty alleviation, building social capital and empowering communities ➤ Clear evidence of funds channeled to the poor ➤ Clear evidence of sustained use, operation and maintenance
Process <ul style="list-style-type: none"> ➤ Participatory evaluations
Impact <ul style="list-style-type: none"> ➤ Best practices shared with stakeholders ➤ Modifications made to JSIF approaches/procedures based on lessons learned

5. Community Based Contracting

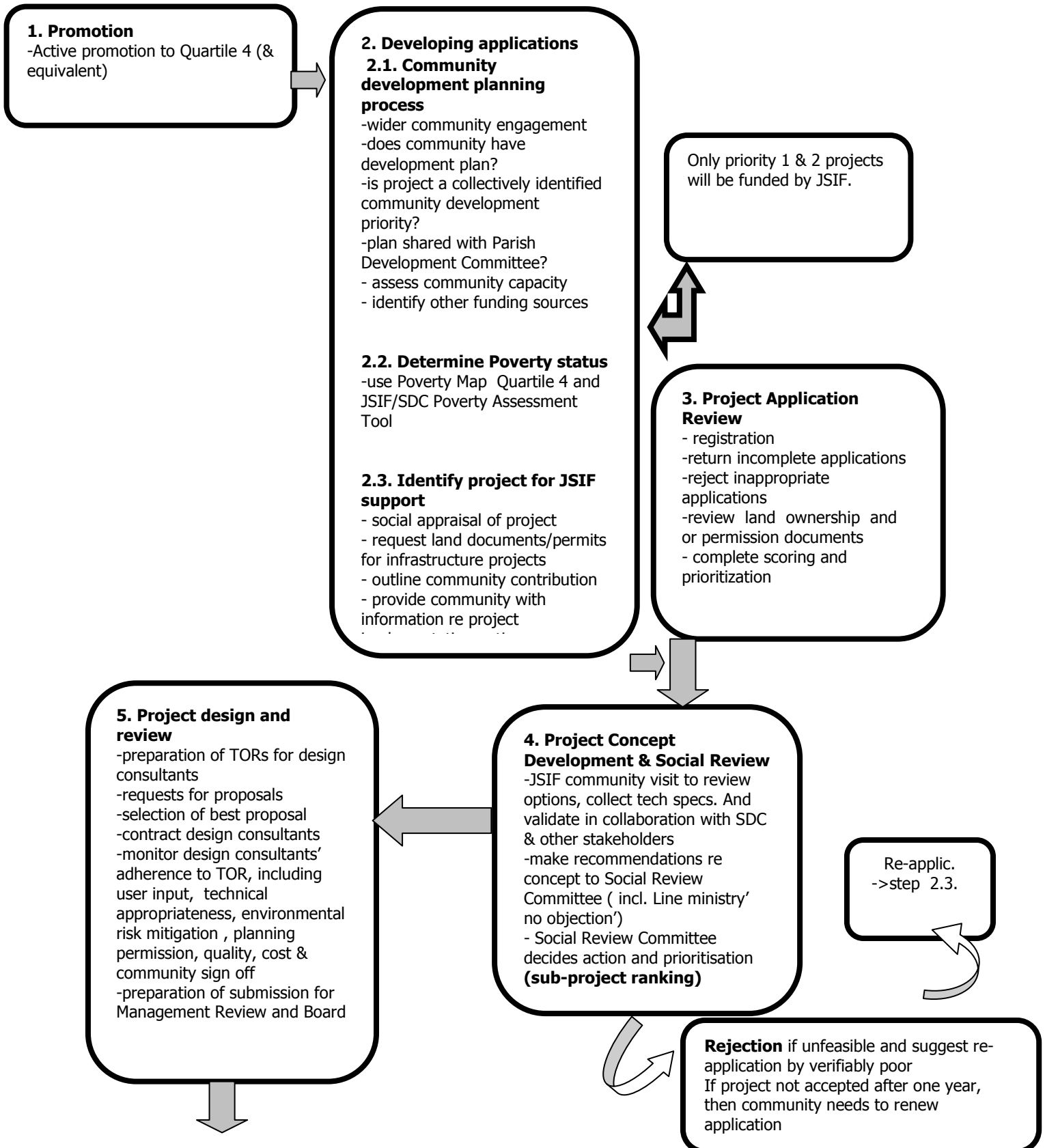
5.1 Background and defining of Community Based Contracting

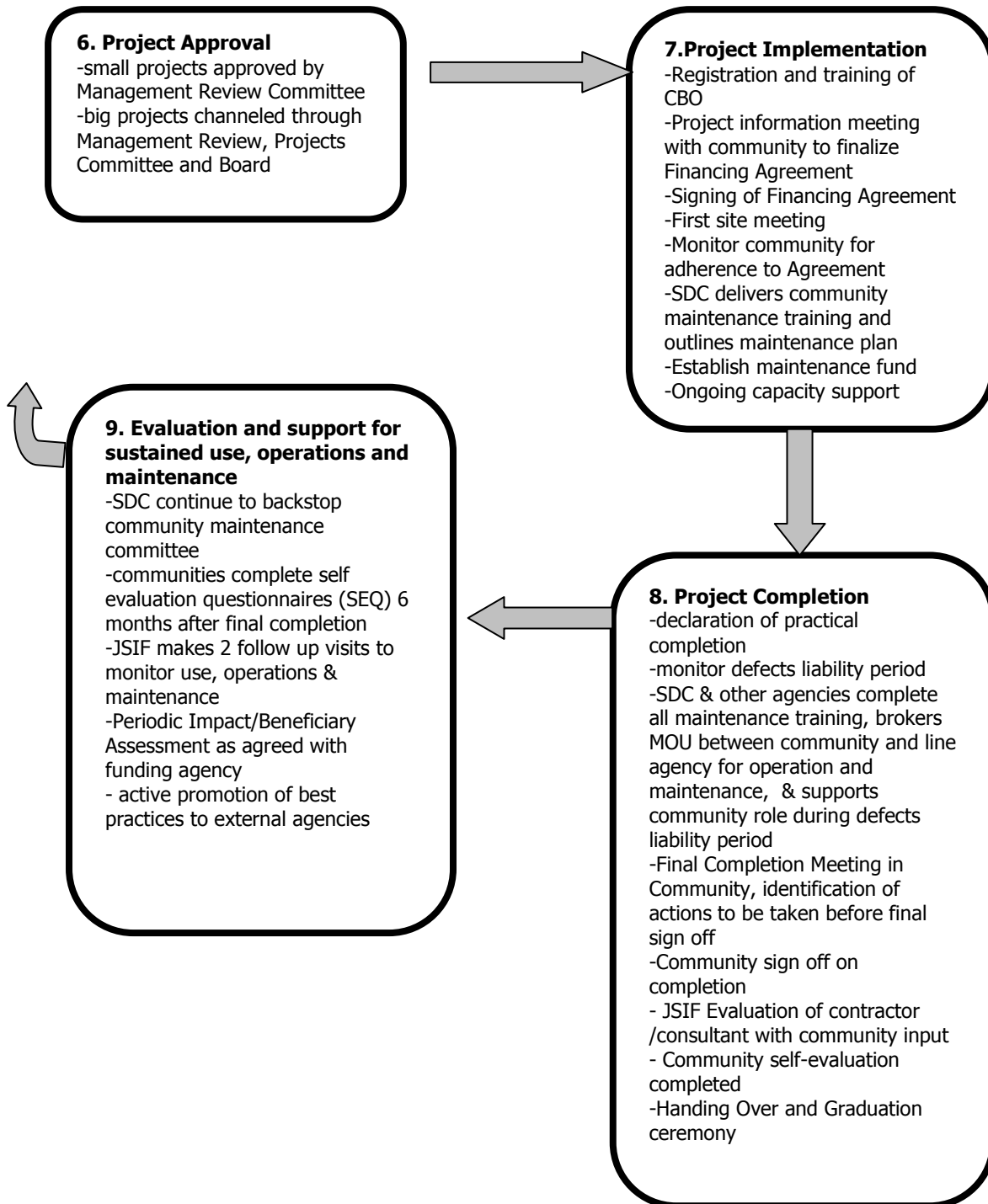
Community based contracting is a mechanism within Community Driven Development, which seeks to give to the community control of decision-making and resources for the community. It seeks to allow communities greater autonomy over their own development by being responsible for the management and execution of the project, that is, acting as the contractors for the project. The community is responsible for procuring goods and services and supervising the execution of the projects related to the provision of social and infrastructure services.

JSIF is seeking to include this method because of the potential for operational efficiencies greater transparency and accountability, improved governance and the benefits to the community members of capacity building and empowerment. The JSIF will monitor the outcomes of the projects as well as the accrued benefits to the community to evaluate the methodology. These procedures and related processes will be subject to ongoing evaluation and will be modified as necessary based on the evaluation of the outcomes.

See Annex 51 Checklist for Community Based Contracting Projects.

5.2 The CBC Project Cycle





5.3 Developing Applications

Objective:

- Ensure that communities, that are eligible to receive funding from JSIF have options in the methods of executing the project

In the development and distribution of promotional material directed to the poor communities providing information on eligibility, types of projects and application procedures, the need for registration of the CBO's will be stressed to ensure that they are eligible to access the community based contracting mode of project funding. The promotion materials will be distributed to the communities directly and via the SDC.

The eligibility criteria for CBC model are the same as for the community cycle, with the addition of:

- Only physical infrastructure projects will be considered:
- Willingness to implement the project under the CBC methodology
- Proof of registration of the CBO or willingness to register the CBO as a legal entity.

Indicators	
Output:	<ul style="list-style-type: none">• Promotional material developed to provide current information on CBC process accessible to all potential applicant communities
Process	<ul style="list-style-type: none">• SDC understands and promotes CBC stream of projects
Impact	<ul style="list-style-type: none">• All qualified applicant communities know about the CBC stream

5.4 CBC Project Application process

This process will be the same as outlined in Section 4.3 for community projects

5.5 Project Applications Review

Objective:

Ensure that only eligible applications which are appropriate for execution as CBC projects are approved as such.

The screening process for the CBC stream is the same as for the community stream (see Section 4.4) with the addition of ensuring that:

- Project request fits CBC project portfolio (small, easily achievable)
- That the CBO is Registered, or has expressed the willingness to commence the process of registration

Tasks

- Applications clearly eligible for CBC projects are recommended for acceptance and processed in the CBC stream
- Communities that are eligible but do not meet all the criteria are recommended for capacity building training if deemed necessary by the Social Officer and supported through provision of OS/SS stand alone training, and referral to SDO for assistance with CBO formation/ registration

5.6 Project Concept Development

Objective:

Ensure that the proposed solution to the problem is the right one and that alternatives have been thoroughly reviewed by a wide cross section of community members.
Alternative approaches for CBC projects are fully explained to community members
Community makes informed choices on the mechanism to be used in executing the project.

Tasks

In addition to the tasks for the community stream, for projects under the CBC approach:

- Investigate in detail the capacity of the CBO
- The conditions for Community Based Contracting are to be fully explained to community members. These conditions include
 - The CBO must be formally registered with the relevant government agency such as the Department of Cooperative and Friendly Societies. A membership of at least 21 persons is required.
 - The Community Based Organization must sign a Financing Agreement with JSIF.
 - The capacity of the community to execute the project according to the CBC implementation/operational procedures must be demonstrated (capacity to organize and negotiate, etc.).
 - The CBO to establish a Community Project Management Committee (CPMC) of at least 9 members who will be assigned to manage the project on behalf of the community and identify a Community Auditor.
- Agree on the model to be used for execution of the project and agree members of the CPMC. SDC to assist in community mobilization and registration process.
- Identify Community Auditor
- JSIF Social Officer, with the community need to agree on the community contribution to the project that can be either in cash or in kind. Time spent by members of the CPMC to undergo training and for meetings for the management of the project as well as time locally contributed for the formulation and supervision of the project can be regarded as community contribution.
- JSIF Technical Officer to assess the capacity of the community to design, contract and supervise the project.
- Based on the assessment, the Social and Technical Officer should design solutions to address the lack in capacity, including assistance by locally available expertise e.g. at the Parish Council level, the branch of the National Water Commission or any other public or private sector agency, or via the provision of training.

Indicators

Output:

- Concept approved by Social Review Committee

Process

- Community Project Management Committee formed and trained

Impact:

- Community has understanding of procedures for implementing CBC

Box 20: Composition of a Community Project Management Committee (CPMC)

The CPMC should consist of not less than 9 members of which at least 4 are women. Members should be recruited from within the community, the local leadership and stakeholders from outside the community (e.g. the Parish Council). Members should be able to serve for the entire duration of project implementation.

Box 21: Issues for consideration for capacity assessment

Apart from the above specific checks the usual checks and tasks during field visit that have been included in detail elsewhere in this manual, have to be carried out. Field visit check should include (but not be limited to):

- Extent of participation in the proposal
- Level of organization (CBO registered or capable of being registered)
- Level of technical capabilities

5. 7 Project Procurement

Box 22: Types of Community Procurement

The Community (CPMC) contracts a "contractor" who procures the materials and labour and who carries all the responsibility for the implementation of the project
The Community (CPMC) contracts groups of labour directly and the CPMC themselves retain the responsibility for the procurement of materials.
The Community (CPMC) retains all responsibility for procurement of labour and materials.

The budgetary ceilings for approvals are given in Box 23

Box 23: Procurement Limits and Approval:

Local shopping using the three quotation method up to an amount of J\$3.90M (USD 65,000). Where allowed in the Financing Agreement, National Competitive Bidding will apply to contracts in excess of J\$4M.

- Direct purchase of materials for values up to J\$60,000 (USD 1000)

Before contracts for works or goods for value in excess of J\$1M are awarded, the approval of JSIF has to be obtained. JSIF approval is also required for all service contracts.

JSIF approval is also required for contract variations (scope of works, cost, terms of contract).

5.8 Project Formulation/Project Design & Review.

Objective

Ensure high quality, cost effective design of projects which best meet the requirements of the community within resource limitations prescribed

Tasks

THE JSIF Technical Officer is to work with the community to ensure that the design and costing of the project is carried out locally by the community, if the capacity exists or by a consultant recruited by JSIF. The project should be simple and standard designs should be used wherever possible. Priced Bills of Quantities are to be prepared in keeping with the CBC model to be used.

Assistance should be requested from the offices of the Parish Council or other relevant agencies where applicable.

JSIF ensures that the community makes the design public for two weeks prior to completion of final design.

5.9 Project Approval

Objective:

- Ensure efficient approval and notification of approval. **See procedures outlined in Section 4.7**

5.10 Community Project Implementation

Objective:

Ensure efficient contracting and complete adherence to contracting procedures.

Tasks

- JSIF Contracting Officer to prepares the Financing Agreement as soon as the project has been approved.

The JSIF Project Officer should prepare :

- an introductory letter to a commercial bank for the opening of a checking account.
- a copy of the Bills of Quantity where the JSIF Cost Data System facilitates the “transfer” of BoQ into a list of materials and labour only components to support the different methods of procurement
- The JSIF will arrange training for the members of the CPMC selected to undergo training (up to 5 full days based on each community’s needs) in the following subjects:
 - Project management
 - Procurement of goods and services
 - Fiduciary management
- JSIF Project Officer will provide monitoring during the implementation of the project including ensuring compliance with procurement procedures. Standard Model Contract Formats will be supplied by JSIF for use by the CPMC where applicable.

- The Project Officer will assist the community in the process of hiring the supervisor , however, the Contractual arrangements have to be agreed between the local Supervisor and the CBO based on the level of supervision and number of inspections required during the implementation of the project.

The project supervisor has to check all receipts related to any payment and/or purchase

for the project. During central audit these project receipts will be checked by the auditor on a sample basis.

Interim payments for project expenditure are made by cheques signed by the CPMC treasurer and secretary. The Chairman of the CPMC should approve all technical progress reports prepared by the supervisor.

SDC plays an ongoing monitoring role.

Indicators	
Output:	<ul style="list-style-type: none">• 80% projects completed on time
Process	<ul style="list-style-type: none">➤ Monthly Steering Committee meetings include active participation of community reps

5.11 Community-Based Maintenance

Objective:

To ensure that adequate provision is made for maintenance of the project. **See procedures outlined in Section 4.8.6**

Box 24: The requirements for preparation of the Financing Agreement include:

- Agreement on the planned community contribution
- Official registration of the CBO
- A letter with the names of selected CPMC/ community members who are willing to undergo training
- Names of signatories to the project bank account (Chairman, Treasurer and 2 members of the CPMC)
- Provision of a work-plan/time frame for the implementation of the project, including procurement methods to be used.

Box 25: Payments into the project account

At the start of the project a first payment of 30 % of the project cost will be made to the project account . The second and third tranches of 50 % and 20 % respectively will be released after receipt of satisfactory technical progress reports and 70% disbursement of the previous tranche.

For the release of the second and third tranches the CBO needs to provide:

A simple bank reconciliation statement of the project account showing inflow and outflow of funds, along with invoices, receipts etc. justifying the amount spent.

Satisfactory technical progress reports approved by the Chairman of the CPMC

5.12 Project Completion and Handing Over.

Objective:

Ensure that the project is completed to the standards specified in the Financing Agreement, meets the expectations of the community and can be operated and maintained by the community.

Completion of infrastructure projects is divided into two phases:

- practical completion
- final completion

A Defects and Liability Period, normally of 6 months duration starts on the date the project is declared to have reached practical completion. Where applicable, 5% of the amount due to the contractor, or any other sums agreed in the contract between the community and the contractor may be retained by the CPMC during this period.

See procedures outlined in Sections 4.8.7 and 4.8.8.

5.13 Post Project Activities.

Objective:

Ensure that any necessary activities are carried out on completion of the project including evaluation and training. **See procedures outlined in Sections 4.8.9 and 4.9.**

The CBO will be allowed to spend any savings made in the expenditure for the project within a period of 6 months after Final Completion on the basis of a list of project proposals approved by JSIF.

Tasks

- The CPMC will submit to JSIF a proposal for the utilization of any savings realized in the execution of the project.
- JSIF will review the proposal and advise the community of the decision.
- Expenditure of funds will be in keeping with provisions of the Financing Agreement.
- JSIF will regularly evaluate the procedures for implementation of CBC projects and improve them. Furthermore, based on continuous monitoring JSIF will continuously review its CBC project portfolio and type of training needs for the implementation of Community Based Contracting.

Indicators	
Output:	<ul style="list-style-type: none">• Post project activities completed in 6 months
Process	<ul style="list-style-type: none">• CBO self-evaluation exercise completed• Savings are spent for an approved activity• Modifications made to JSIF approaches/procedures based on lessons learned

6. Funding and Supporting Special Projects

6.1 Introduction to Special Projects

JSIF provides funding for 'Special projects'. These fall into three categories:-

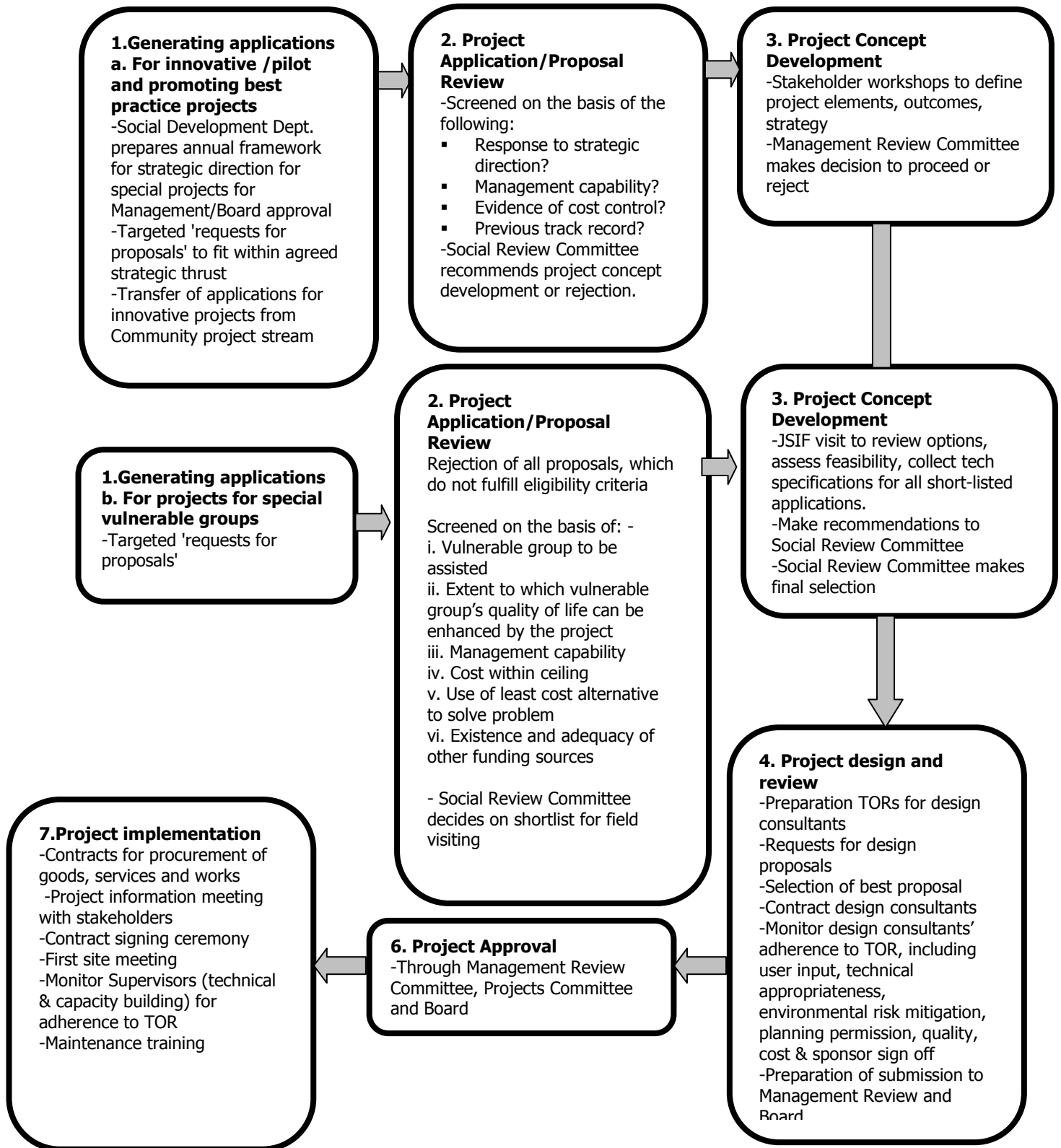
- Projects for special vulnerable groups e.g. homes and shelters, training for persons with disabilities, the elderly, abandoned children, street people etc.
- Projects of a pilot, innovative nature which may yield approaches to poverty alleviation which may be replicable more widely through the standard community project stream.
- Projects which promote promising and best practices through awareness and capacity building.

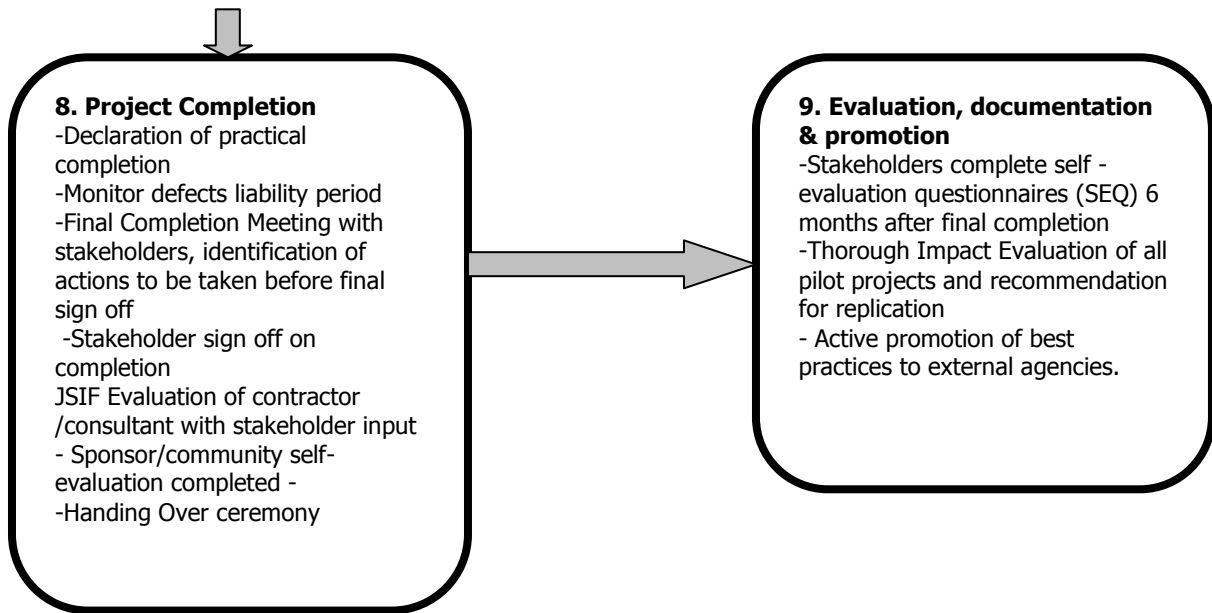
The special nature of these projects requires that they are managed by a separate Special Projects Team comprising JSIF staff and consultants with the particular mix of expertise needed at any particular time.

Categories ii. and iii enable JSIF to continue to support innovation, develop and share new expertise and be on the cutting edge of good development practice.

The project cycle for these special projects is slightly different than the standard community projects, as shown in the following diagram:-

6.2 Special Projects Cycle





6.3. Generating proposals for Special Projects

Objective:

- Ensure that all institutions and organisations, which are eligible to receive funding from JSIF under the special projects provision have sufficient information about JSIF to respond to 'request for proposals'

Unlike the purely demand driven nature of funding provided in the community stream, JSIF is more proactive in defining areas for funding under the special projects stream. Each year the Social Development Department defines an overall strategic thrust and budget based on the current situation and analysis of gaps in research and experience in development and poverty alleviation approaches. The areas for support generally emerge from new/untested demands made by communities, or gaps and weaknesses identified by implementing partners working within the standard community stream.

Box 26: Example of the evolution of a special project (pilot type) to replication within community stream

During the first few years of JSIF, while facilitating planning sessions with poor communities that had identified youth development as a major development priority a recurring causal problem emerged; this was poor parenting. However, JSIF did not have a response to this problem at the time.

It was recognised that this was a common problem and one for which support was sorely needed. A pilot special project in an inner-city community was undertaken to test out the best approach to providing parenting skills advice. The pilot allowed for intensive ongoing review and adaptation as well as the development of a good working relationship with the implementing agency. As a result of this pilot a four-component generic training and complemented by the establishment of parent support groups was recommended for replication in other communities. This was then tested in other communities and proved appropriate.

The parenting skill module is now available for communities requiring this assistance within the standard community stream.

Institutions and organisations must be made aware of: -

- Funding eligibility criteria
- Type of projects which JSIF can consider for funding under the special projects provision
- Application procedures, including requirements of proposals

Tasks

- JSIF Social Development Department prepares annual framework and budget for special projects and submits to Management Review Committee and the Board of Directors for approval.
- Social Development Department in collaboration with the Communications Officer develops promotional material directed to institutions, civil society organisations, including CBOs, providing the information on the current year's strategic direction as

approved by the Board and the related eligibility criteria, types of projects, application procedures.

- JSIF distributes promotional material to Government and Non Government Organisations working with vulnerable groups and organisations working within areas/sectors which are included in the current strategic direction defined by the Projects Committee.
- JSIF periodically publishes 'requests for proposals' for special projects for vulnerable groups in the news media, providing sufficient information to ensure that only eligible organisations will submit proposals.
- JSIF sends out 'requests for proposals' to organisations offering services within the current strategic direction defined by the Projects Committee
- The Social Review Committee transfers potential projects to the special projects stream. Suggestions for promoting best practices are also channelled through this Committee

Indicators
Output: <ul style="list-style-type: none">• Promotional material updated annually to provide current information accessible to all potential applicants
Impact <ul style="list-style-type: none">• RFPs sufficiently targeted so that <5% applications inappropriate

6.4. Screening proposals for Special projects

Objective:

To ensure that proposals and concepts submitted are scrutinised for feasibility prior to further investment in project concept development by JSIF.

Tasks:

- JSIF Social Development Unit acknowledges receipt of all proposals.
- JSIF Social Development Unit reviews the proposals received and returns, for re-submission, any which may be eligible but which have not provided all the information required in the 'request for proposals'.
- JSIF Social Review Committee applies current evaluation criteria in reviewing the proposals and ranks the proposal accordingly. (Annex 47: **EVALUATION CRITERIA FOR SPECIAL PROJECTS FOR VULNERABLE GROUPS**). Using **SPECIAL PROJECTS RECOMMENDATION TO SOCIAL REVIEW COMMITTEE** (Annex 48) makes recommendation for each proposal.
- Social Review Committee meets weekly and reviews all special projects screening recommendations and recommends rejection or acceptance into project concept development.
- JSIF prepares customised letters of rejection.

6.5. Special Project Concept Development

Objective:

- ii. Ensure that the proposed solution to the problem is the right one and that alternatives have been thoroughly reviewed by stakeholders

Project Concept Development is a **participatory** process comprising:-

- vi. Clarification of the problem which is to be addressed by the project.
- vii. Defining the intended impact /objective of the project.
- viii. Review of the alternative strategies to address the problem (alternatives analysis) and justification for preferred strategy (including technical, social and environmental feasibility).
- ix. Preliminary defining of capacity building needs.
- x. Identification of the stakeholders' preferred approach to providing the contribution.

A Project Concept Development Meeting/Workshop is generally required.

Tasks

- JSIF informs the organization/sponsors that their proposal has been recommended for further development and the next step is to organize a Concept Development Meeting/Workshop.
- JSIF Special Projects Officer/Social and Technical Officers request authorization for field visit (**AUTHORISATION OF FIELD VISIT**, Annex 6)
- Either JSIF facilitates or engages a consultant to facilitate the Concept Development Meeting/Workshop with representatives from all stakeholder groups.
- JSIF completes a report of the Concept Development Meeting/Workshop.
- Where infrastructure development is required, JSIF Technical Officer collects technical and environmental specifications required to brief the design consultant
- JSIF Special Projects Officer/Social and Technical Officers prepare Project Concept Report (Annex 12 to be used and adapted for Special Projects)
- The JSIF Social Review Committee reviews Project Concept Report and recommends course of action . The Project Concept Report is submitted to the Management Review Committee for review to ensure fit with the current strategic thrust and appropriateness/substantiveness of the approach.

Indicators

Output:

- Concept approved by Social Review Committee

Projects for vulnerable groups

- Sufficient information to provide technical design consultant with a detailed brief describing the problem, proposed strategy , technical and environmental considerations & stakeholder preferred contribution strategy
- Sufficient information to provide capacity building design consultant with clear brief

Innovative/promotion projects

- Sufficient information from which to prepare Project Concept Report for Social Review Committee

6.6. Special Projects Design and appraisal

Objective

- Ensure high quality, cost effective design of projects

Tasks

- JSIF informs the organizations/sponsors in writing that their project is now ready for the next stage of project design.
- Where there is an infrastructure component, the JSIF Technical Officer prepares TOR for the design consultant by inserting data collected during the Project Concept Development Meeting/Workshop and passes this to the Contracts Unit, indicating the scoring system to be used for the evaluation of proposals, using **INSTRUCTIONS TO CONTRACTING** (Annex 16). Note: The evaluation criteria require adaptation to fit each assignment⁸.
- JSIF Special Projects Officer/Social Officer prepares TOR for capacity building design consultants using information from the Project Concept Development Meeting/Workshop and passes to the Contracts Unit, indicating the scoring system to be used for the evaluation of proposals, using **INSTRUCTIONS TO CONTRACTING** (Annex 16) Note: The evaluation criteria require adaptation to fit each assignment.
- JSIF Contracts Unit prepares requests for expressions of interest and/or '*requests for proposals*' for infrastructure and capacity building design and sends to qualified design consultants. Proposals are evaluated and contract awarded (**see Section 7 Contracting Procedures**)
- JSIF Technical Review Team and/or the Social Development Unit evaluate Design Consultants proposals using **EVALUATION OF PROPOSALS** (Annex 17) and submits the results to the Contracts Unit for presentation to the Bid Evaluation Committee. Proposals are evaluated and contract awarded (see section 7 Contracting Procedures).
- Where negotiations are required, the Bid Evaluation Committee assigns the relevant personnel to undertake this exercise. Following negotiations, a **REPORT ON NEGOTIATION WITH BIDDER** (Annex 18) is completed and presented for review to the Bid Evaluation Committee.
- Following award and acceptance of the contract by the Design Consultant, the JSIF Technical or Special Projects Officer/Social Officer meets with the contracted Technical Design Consultant or Capacity Building Design Consultant to review the TOR and methodology with emphasis on the need to adhere to relevant standards and guidelines.

Indicators
Output: <ul style="list-style-type: none">• Stakeholders sign off on the design of their projects before approval
Process: <ul style="list-style-type: none">➤ Projects designed with full consultation with stakeholders and input by specialists/experts

⁸ e.g. 'demonstrated experience working with poor communities may need to be changed to 'demonstrated experience working with specified vulnerable group'

- JSIF Technical Officer monitors fulfilment of the contract by the Design Consultant and only recommends payment on **satisfactory** and **timely** completion of the Design and Costing Report. It must be ensured that users of the facilities have been consulted in the design and that they sign off indicating their approval of the final design.
- The Technical Review Committee checks all submissions from the Design Consultant to ensure technical appropriateness of the design and compliance with relevant standards. Having checked the Bill of Quantities supplied by the Design Consultant, JSIF Quantity Surveyor generates the final Bill of Quantities for the subsequent tendering process.
- JSIF Special Projects Officer/Social Officer monitors fulfilment of the contract by the Capacity Building Design Consultant and only authorizes payment on **satisfactory** and **timely** completion of the Design Reports.
- JSIF Special Projects Officer/Social Officer completes evaluation of the Design Consultants using **EVALUATION OF THE PERFORMANCE OF CONSULTANTS AND CONTRACTORS** (Annex 21). The formats require slight adaptation e.g. substitution of 'community' with 'stakeholder'. Ensure that those who have not performed well are removed from the list of pre-qualified consultants.
- JSIF Technical Officer and/or Special Projects Officer/Social Officer prepares the project appraisal report for submission to the Management Review Committee and Board of Directors and checks the completeness of information using the **SPECIAL PROJECTS MANAGEMENT REVIEW SUBMISSION CHECKLIST, Annex 49**.
- JSIF Management Review Committee provides quality assurance by reviewing project appraisal reports and approving or rejecting projects accordingly. Where revisions are requested, these are to be completed prior to submission of the final version of the project appraisal report to the Projects Committee of the Board.

6.7. Special Projects Approval

Objective:

- Ensure efficient approval and notification of approval

All special projects are subject to approval by the Board of Directors.

Tasks

- JSIF Management Review Committee meets weekly to review project appraisal reports and rejects or approves projects for submission to the JSIF Board of Directors. This Committee approves small projects up to a value of J\$1.5m which are then submitted to the JSIF Board of Directors for ratification.
- The Projects Committee (PC), comprising members of the Board of Directors, co-opted persons and supported by JSIF staff, meets monthly to review project appraisal reports for Board approval prior to presentation to the full Board of Directors.

Indicators	
Output	<ul style="list-style-type: none"> • Annual allocation for special projects fully utilized
Process	<ul style="list-style-type: none"> • Notification of project approval sent within 5 working days of approval • Transfer of all necessary documents to Contracts Unit from Operations within 2 working days of approval

- The Board of Directors meets monthly and approves projects recommended by the PC.

JSIF notifies in writing the organization/sponsors of Board Approval and indicates that they need to arrange for a Project Information Meeting within one month of notification of approval of the project using **NOTIFICATION OF COMMUNITY PROJECT APPROVAL**, Annex 24, modified as required for special projects.

- After project approval the Operations Administrative Officer transfers the project and all relevant documents to the Contracts Unit **USING INSTRUCTIONS TO CONTRACTING** (Annex 16) Information/documents to be transferred include:
 - TORs for the, Supervising Consultant, Training Consultant etc.
 - Final (checked) un-priced Bill of Quantities & Drawings
 - Indication of scoring system to be used for evaluation of proposals and justification for direct contracting, where applicable.
 - Information on anticipated number of person days and duration of the work proposed in the TORs
 - Equipment specifications (if any)
 - Details of what must be included in the Community /JSIF Agreement

These instructions require customisation for contracting specialist skills e.g. research, videography, and publishing.

6.8. Special Projects Implementation

6.8.1. Procurement of Goods, Works and Services

Objective:

- Ensure efficient contracting and complete adherence to contracting procedures, that the procurement process is fair, transparent and results in JSIF obtaining good value for money. See Section 6 and Appendix B for procurement procedures.

Tasks:

- JSIF Contracts Unit procures services of contractors/consultants for the provision of goods, works and services according to current procurement procedures, based on the specifications provided in **INSTRUCTIONS TO CONTRACTING** (Annex 16)
- JSIF Bid Evaluation Committee meets weekly and approves recommendations for award of contracts based on technical and financial review according to current contracting procedures. Where there are concerns about the winning Financial and /or Technical Proposal for service contracts, the Bid Evaluation Committee may request a negotiation with the bidder and assigns JSIF members of staff to conduct this negotiation. Following negotiations, a **REPORT ON NEGOTIATION WITH BIDDER** (Annex 18) is completed. Recommendations are reviewed by JSIF Bid Evaluation Committee and decisions made as to how to proceed.

- JSIF Contracts Unit prepares Community/JSIF agreement or Sponsor/JSIF agreement based on information supplied in **INSTRUCTIONS TO CONTRACTING** (Annex 16). See Box 14: What is a Community/JSIF Agreement?

6.8.2. Mobilising contracts⁹

Objective:

- Ensure rapid start up of contracts by timely provision of mobilization payment where applicable if the contractor/consultant requests such payment.

Tasks

- JSIF Contracts Unit checks the mobilisation bank guarantee provided by the contractor to ensure compliance with JSIF's requirements.

JSIF Technical Officer makes request to Finance Department for release of mobilization payment to contractor/consultant/supplier following the signing of the contract and submission of relevant documents as required by the particular contract.

- Mobilisation payments are recovered during the first half of the contract period and prior to the expiration of the mobilization guarantee.

6.8.3. Project Information Meeting

Objective:

- Ensure common understanding between the stakeholders on the scope and schedule of the project, as well as confirmation of the roles each will play in the implementation of the project.

The Project Information Meeting (PIM) is a key event since it celebrates the fact that the project has been approved and sets the scene for the implementation of the project.

The PIM for a community-based project is held in the community at a time and venue convenient for the community, which ensures participation of a wide cross section of the community (CBO Executive, potential users of the services/facility, non users, men/women, old/young). A well-publicized PIM should attract representatives from a minimum of one in four households. Refer to Box14: 'Who participates in the PIM?' for details of participation in community based projects.

The PIMs for non-community based projects are held in convenient venues at times which enable a wide cross section of stakeholders to participate.

The purpose of the PIM is to:

- Confirm the approval and scope of the project
- Explain the contents and spirit of the Community/JSIF Agreement or Sponsor/JSIF agreement
- Establish the Steering Committee¹⁰ and members roles

⁹ Mobilisation payments are optional

¹⁰ see Box 16: What is a Community Project Steering Committee? For community based projects. For non-community projects, the Steering Committee comprises representatives from all stakeholder groups.

- Establish appropriate norms regarding communication flow
- Remind stakeholders of their Contribution Plan, confirm the details and provide them with a log book to record their contribution.
- Work out the project schedule and start date. Agree on date of first site meeting for infrastructure projects.
- Explain what happens at the end of the project and the importance of the Final Completion Meeting

Tasks

- JSIF Administrative Officer confirms attendance of stakeholders at the PIM and requests authorization (Annex 6) for attendance at PIM.
- JSIF Special Projects Officer/Social Officer and Technical Officer facilitate the PIM. For community based projects, using the **PIM CHECKLIST** (Annex 27)
- JSIF Special Projects Officer/Social Officer and Technical Officer record information from PIMs for community based projects using **PIM REPORT** (Annex 28) and prepare a customized report for non-community project PIMs.

Indicators
Output: 1. Well supported PIM held for all approved Special Projects

6.8.4. Contract Signing Ceremony

Objective:

- Ensure that the Contract Signing Ceremony is a well-supported celebratory event.

The Contract Signing Ceremony is primarily intended to be an opportunity for the stakeholders to celebrate the approval and start of their project. The community/sponsors sign the Community/JSIF Agreement as well as witnesses the signing of contracts between JSIF and the Contractor, Supervising Consultant and Training Consultant where applicable. In some instances, the contracts of the consultant and contractor may have been signed prior to the signing ceremony in the community in which case only the Community/JSIF Agreement will be signed at the ceremony. In community-based projects, the community arranges the whole ceremony and invites guests with protocol advice from JSIF¹¹.

Tasks

- Provisional dates for the Contract Signing ceremony were provided in the PIM. JSIF confirms attendance of JSIF and stakeholders at the Contract Signing Ceremony.
- For infrastructure projects, JSIF organises for a site sign-board to be made indicating the name of the project, funding source, community based organisation/ implementing organisation, contractor, capacity building consultant and supervising engineer.

Indicators
Outcome: <ul style="list-style-type: none"> • Well supported contracts signing ceremony for all special projects

¹¹ The effort and costs involved are computed as part of their community contribution

- JSIF Administrative Officer requests authorization (Annex 6) for attendance at Contract Signing Ceremony based on stakeholder written confirmation of dates.
- JSIF Administrative Officer prepares Fact Sheet on project
- JSIF Communication Officer prepares JSIF Management speech for the Ceremony in liaison with the relevant JSIF Technical and Social Officers and liaises with the media and prepares press briefs, if needed .
- JSIF Administrative Officer attends contract signing ceremony and completes **CONTRACT SIGNING CEREMONY REPORT** (Annex 30). The actual community contribution relating to the ceremony is to be recorded in the report.

6.8.5. Special Project Supervision

Objective:

- Ensure funds are used as intended and quality and progress of work is acceptable by solving problems urgently and appropriately.

JSIF usually uses external supervisors for supervision of all components of the project. However, the innovative nature of some Special projects requires the JSIF Technical and Social Officers to be more closely involved in the project than purely monitoring the external consultants' contracts as is the case in the standard community projects.

Tasks

- For straight-forward infrastructure projects, the JSIF Technical Officer monitors the Supervising Engineer and the progress of the project through periodic and random visits to the site. The JSIF Technical Officer is never to undertake, supplant or undermine the job of the Supervising Consultant. Each site monitoring visit must be authorized using Request for Field Visit (Annex 6).
- The JSIF Project Technical officer only recommends payment of the Supervising Consultant on **satisfactory** completion of all requirements of the Supervisor's contract and receipt of the prescribed Supervision Reports (using **CHECKLIST OF TECHNICAL SUPERVISION DELIVERABLES**, Annex 31)
- JSIF Special Projects Officer/Social Officer monitors the Capacity Building Supervision Consultants, Research and Documentation Consultants through periodic visits and only recommends payment on **satisfactory** completion of all requirements and verification of outputs documented in the prescribed Supervision Reports (using **CHECKLIST OF CAPACITY BUILDING SUPERVISION DELIVERABLES**, Annex 32). Authorization for visits is obtained using Request for Field Visit (Annex 6)
- JSIF Special Projects Officer/Social Officer and Technical Officer may be required to make additional field visits in crisis situations where they provide advice on problem solving. Authorization for such visits is obtained using Request for Field Visit (Annex 6). Outcomes of such visits are recorded using **EMERGENCY FIELD VISIT REPORT** (Annex 50)

Indicators

NB: The development /innovative nature of many of these projects means that timelines may be extended. Thus, performance is measured in terms of quality of outputs/achievement against objectives and will be unique for each project.

6.8.6. Maintenance (see also section 4.9.7.)

Objective

- Ensure that there is an operational Maintenance Committee for all infrastructure projects and that it has plans and resources for physical maintenance of facility.

Within every infrastructure project there is a requirement to set up a maintenance committee and maintenance plan. See Box 18: **What are the tasks of a Community Maintenance Committee?** Community based projects also automatically receive training in Fund Raising and Financial Management delivered by a Training Consultant.

SDC provides maintenance training for community based projects under the current Inter-institutional Agreement. Additionally, it may be requested to provide training in institutions where infrastructure has been rehabilitated under the Special Projects provision (e.g. Homes, Shelters, Training centres etc). Customised training is required in these situations and a special agreement for this and reporting procedures must be worked out individually with SDC. Alternatively, consultants may be employed to provide this training.

Tasks

- For community based infrastructure projects, SDC facilitates both phases of Community Maintenance Training with the community and completes both parts of the prescribed **COMMUNITY MAINTENANCE TRAINING REPORTS** (Annex 33)
- SDC facilitates meetings between the community and relevant line ministry/agency to develop a Memorandum of Understanding (MOU) which is signed by both parties and defines the arrangements for operations and maintenance (Annex 41, **MOU BETWEEN COMMUNITY & LINE AGENCY**)
- JSIF monitors SDC's delivery of the maintenance training and brokerage of the MOU and authorizes payment only on **timely** and **satisfactory** completion of both phases of training, submission of Community Maintenance Reports (**CHECKLIST OF COMMUNITY MAINTENANCE TRAINING DELIVERABLES**, Annex 34) and the signed MOU.

Indicators	
Output	
iii.	No. of maintenance training sessions provided to special projects
iv.	MOU between community and line agency in place where necessary
Process	
•	All maintenance training provided before final completion of the project
Impact	
i.	A functioning Maintenance committee in every special project with infrastructure component

JSIF monitors the SDC or Training Consultant delivery of CBO Training *Module 3: Fund Raising and Financial Management* where provided and only authorizes payment on **timely** and **satisfactory** completion of the training and submission of a report on the training. (**CHECKLIST OF CONSULTANT DELIVERABLES - 'MODULE 3' (FUND RAISING AND FINANCIAL MANAGEMENT)**, Annex 35)

6.9 Completion of Special Projects

Objective:

- v. Ensure that the special project is completed to standards prescribed in the log frame and/or defined in the contract, meets the expectations of the community/sponsors.

The Technical Officer should refer to section 4.9.8 for details of completion of community-based projects. A similar process is applied to non-community infrastructure projects but stakeholders generally substitute for the community.

For innovative/pilot projects, all the outputs must be quantitatively and qualitatively assured. The Supervisors and the JSIF Social Development Unit are responsible to ensure that this is accomplished. In particular, materials that are intended for use in generic training approaches must be complete, tested and in a replicable form.

Research and evaluation studies must be well documented and in a form which can be widely disseminated.

A **SPECIAL PROJECTS FINAL SUMMARY REPORT** which clearly analyses the achievements of the project and provides recommendations (see *Guidelines for writing Final Summary report for Special Projects, Guideline 7*) is written by the consultant or Special Projects Officer/Social Officer (if an external consultant is not involved in the execution of the project) for each special project of the innovative or promotional type. This report is submitted to the JSIF Management Review Committee, and the Projects Committee.

6.9.1 Special Project Handing Over and Graduation

Objective

- Ensure that the Handing Over and/or Graduation Ceremony is a well-supported celebratory event which maximises opportunities for sharing innovations, best and promising practices.

Not all promotional projects will lend themselves to such ceremonies. Identification of other appropriate events is integral in the design of projects to promote best practices.

A Commemorative plaque is handed over/unveiled where applicable. Certificates are awarded to those who have participated in Capacity Building training. Where applicable, 'As Built' drawings and any guarantees/warranties for equipment are handed over to the management of the facility. Full acknowledgement is given for **all** contributions.

- JSIF Administrative Officer organizes printing of certificates for participants of training courses and fabrication of the commemorative plaque.

JSIF Administrative Officer confirms with stakeholders date and venue for the Handing Over and/or Graduation and requests authorization for attendance at Handing Over and Graduation Ceremony (using Request for Field visit, Annex 6) and supported by the confirmation in writing from the stakeholders.

- JSIF Communication Officer prepares JSIF Management speech and any news releases
JSIF Administrative Officer prepares Fact Sheet on project
- JSIF Communication Officer prepares JSIF Management speech for the Ceremony in liaison with the relevant JSIF Technical and Social Officers and liaises with the media and prepares press briefs, if needed.

Indicators	
Output;	➤ Well supported celebratory event to mark completion in all projects for vulnerable groups and innovative/pilot projects

- JSIF Administrative Officer attends contract signing ceremony and completes **CONTRACT SIGNING CEREMONY REPORT** (Annex 30). The actual community contribution relating to the ceremony is to be recorded in the report.

6.9.2: Evaluation of Consultants and Contractors

Objective:

- iii. Ensure a fair evaluation is completed of all contracted personnel involved in the project immediately on completion of the project and feedback provided.
- iv. Ensure that consultants who have not provided satisfactory services are removed from the consultants' database and contractors' performance is noted on file for reference in evaluating future contract awards.

The project cannot be regarded as finally complete until evaluations of the project implementers are complete.

Tasks

- JSIF Technical Officer and Special Projects Officer/Social Officer ensure completion of the **EVALUATION OF THE PERFORMANCE OF CONSULTANTS AND CONTRACTORS** (Annex 21) by the relevant persons and including recommendation for retention or removal of the Consultant from the Consultants' database. Evaluations of contractors are to be taken into account in the consideration of the Contractor for any subsequent award of contract.

7. Procurement Procedures

(To be read in conjunction with Appendix C)

7.1 General Procedures

All procurement is to be done in keeping with the Government of Jamaica (GOJ) Handbook of Public Sector Procurement Procedures (May 2001 or as amended) and any additional specific provisions as agreed with external funding agencies. The current procurement guidelines are included in the Appendices.

Whenever the World Bank funds are used, the procurement is to be done in keeping with the World Bank Guidelines and the Loan/Project Agreement and the Government of Jamaica (GOJ) Handbook or Public Sector Procurement Procedures (May 2001 or as amended). In case of contradiction between this Operations Manual and the World Bank guidelines, the World Bank guidelines will prevail.

The procedures developed for the procurement of works, goods, and services are intended to ensure that:

- The procurement process is fair and transparent;
- Contractors are judged solely on the basis of competence and capability without regard to gender, religion, age, political affiliation, or race; and
- Tender and contract documents include specifications or terms of reference in appropriate form and in sufficient detail to make clear the required nature of the works, goods or services being procured, including, where appropriate, drawings and/or other illustrative tools, national and/or international standards and procedures for verifying compliance with specifications and required standards for the remedying of any defects or deficiencies therein.
- Due regard is given to the need for economy, efficiency and quality in the procurement of goods, works and services.
- Procurement rules of the Government of Jamaica (GOJ) as well as applicable external funding agency rules are adhered to.
- The procurement process makes provision for the necessary review and approval of all procurement decisions at various stages within the process.

The Contracting Officer has the responsibility for conducting all procurement activities related to the procurement of goods, works and services for JSIF sub-projects and technical assistance.

7.1.2 Procurement Planning

Procurement planning should commence early in the project preparation stage with the preparation of a cost estimate for all contracts to be procured under the project. This plan should contain the various activities to be undertaken during the procurement process and deal with the following issues:

- Agreements should be reached on the contract packages for procuring the identified goods, works, and consulting or non-consulting services and the best methods for procuring them.
- Determination as to whether single or multiple contracts should be used to procure the items required, where there will be individual contracts or groups of similar contracts (packages), and
- Determination of method to be used for procuring each contract i.e. whether international competitive bidding, national competitive bidding, or limited international bidding, etc., should be used.
- The overall procurement timetable, indicating the different procurement activities that need to be carried out and when they shall take place. These activities include: timing for obtaining funding agency no objection to bidding documents and at various stages of the procurement process; the issuance of procurement notices and when this will be done; if there is pre-qualification, the timing for the preparation and issuance of pre-qualification documents; what bidding documents will be used; when these bidding documents will be prepared by JSIF and issued to bidders; when the pre-bid conference will be held if one is required; when and where the public opening and evaluation of bids will take place; internal approval by JSIF's Procurement and Contracts Committee and by the National Contracts Committee and Cabinet, where relevant, etc.
- For projects where a time-bound schedule of procurement and specific contracts cannot be precisely defined, as in demand driven projects and projects implemented at community level, JSIF and the funding agency will agree on the type of system to be set up for administering all the aspects of procurement. This would include the activities set out above and also defining the criteria for consultants and evaluating bids and a system under which the procurement plan will be updated periodically and the procurement process monitored.

Typically, the Procurement Plan will be updated annually or otherwise as agreed with the funding agency.

Procurement Notices

Timely appropriate notification of procurement opportunities for goods, works and consulting services is essential for economic and efficient project execution, as this allows for maximum competition with fair opportunities for all eligible potential bidders.

Where contracts are to be procured using International Competitive bidding, based on the procurement limits indicated in each Loan Agreement, the World Bank requires that these bidding opportunities be advertised in both the printed and online versions of the United Nations Development Business (UNDB), for which there is no charge for Bank financed projects. This is usually done in two stages; firstly the issuing of a General Procurement Notice to give advance information on the procurement opportunities under the particular project/funding arrangement and secondly, a Specific Procurement Notice when each contract is to be procured. The GPN is issued during the appraisal stage of the project and earlier if there are any advance procurement activities.

General Procurement Notice

The General Procurement Notice (GPN) contains advance information on the major procurement packages in a project being considered or approved for financing under a specific funding

arrangement . The information is intended to alert suppliers and contractors of ICB procurement opportunities and also to make available information regarding major consulting services to be procured under the project. In response to the GPN, potential bidders may request that they be put on a mailing list for the forthcoming Specific Procurement Notices inviting pre-qualification, or if there is no pre-qualification, inviting bids.

The information to be included in the GPN includes:

- the name of the Borrower (or prospective Borrower);
- the amount and purpose of the loan or prospective loan;
- the scope of procurement under ICB and consulting assignments (i.e. technical services) estimated to cost US\$ 200,000 equivalent or more;
- the name and address of the Borrower's implementing agency responsible for procurement; and
- if known, the schedule dates for availability of the bidding documents or, as appropriate, the pre-qualification documents.

Prior approval of the World Bank is required before the issuing of the GPN. The GPN should be forward to the Bank for review and insertion in the UNDB, not later than 8 weeks prior to the earliest date of availability to the public of any pre-qualification or bid documents for ICB contracts in projects. The GPN should be updated whenever there are significant changes in the project and at least once a year as long as ICB procurement opportunities still exist.

Although the GPN is required mainly for procurement under ICB, the Bank encourages Borrowers to include in the GPN any consulting services, including technical assistance, to be engaged for the project.

Specific Procurement Notice.

A Specific Procurement Notice (SPN), for each of the major procurement packages in the project should also be issued. SPNs are issued either as a public Invitation for Pre-qualification, or in the absence of pre-qualification, as an Invitation for Bids. It is recommended in practice that the invitation also be incorporated in the front of the pre-qualification or bid documents as appropriate for reference purposes. SPNs should provide adequate notification of specific contract opportunities or Invitation For Bids (IFB) under the project regardless of what procurement method is used.

The SPN should be issued in the following way:

- as an advertisement in at least one local newspaper of general circulation in the country;
- by an announcement in the official gazette (if any) in the country;
- by direct notification of all firms which have expressed an interest in the procurement in response to the GPN; and
- it is also recommended, that it be issued by notification to local representatives of World Bank eligible countries that are potential suppliers of the goods, works and services required.

If there has been pre-qualification, the Invitation for Bid (IFB) and bidding documents are sent only to the pre-qualified potential bidders, with notification of their successful pre-qualification

prequalification. No additional notices or any advertising for bidding are required or should be issued under these circumstances.

The ITB contains information concerning:

- the name of the Borrower;
- the name of the project and the title of the contract;
- the Borrower's agency in charge of procurement;
- items to be procured;
- contact information for obtaining bidding documents;
- cost of the bidding documents;
- place and deadline for bid delivery;
- required bid security amount and form;

- the place, date and time of bid opening;
- whether domestic preference margins will be applied in the evaluation of bids; and
- the minimum qualifications that bidders must meet.

The SPN for a particular contract should be identically worded wherever it appears. SPNs in UNDB should contain reference to the appropriate GPN for the project with the date of publication and the issue number. Whenever Borrowers decide to publish the SPN in UNDB they should ensure that the Bank gets the notice four weeks in advance of the planned publication date.

7.1.3 Procurement Methods

Limited Tender/Shopping

Where the estimated value is less than J\$250,000, participation shall be restricted to domestic concerns only, except where no such qualified concern is registered with the National Contracts Commission (NCC). Three or more appropriately qualified bidders from the register will be invited to participate. Opportunities may also be advertised as indicated below.

Formal bidding documents are not required but the request for quotation must be in writing. In inviting quotations for the supply of goods, the quantity and description of goods and the time and place of delivery must be indicated. In the case of small civil works, the required completion date, sample contract and a detailed description of the works, including basic specifications and any relevant drawings must be provided to bidders.

Quotations must be submitted in writing and may be sent by facsimile. Evaluation of quotations must conform with prudent commercial practices and the terms offered in the accepted quotation must be incorporated into the resulting agreement with the supplier/contractor.

For contracts above J\$250,000 but less than J\$1M, participation opportunities shall be limited to NCC registered domestic contractors only, except where no such qualified contractor is registered with the NCC. Invitations should be advertised as follows:

- At the Parish Council Offices of the Parish or Parishes within which any part of the procurement is to be carried out or delivered;
- At the National Works Agency Parish Offices of the Parish or Parishes within which any part of the procurement is to be carried out or delivered;
- At the Main Parish Post Offices of the Parish or Parishes within which any part of the procurement is to be carried out or delivered;
- At local libraries or works department offices;
- On procuring entity websites

Selective Tender

All contractors must be registered with GOJ, through the National Contracts Commission, and included in the GOJ Register of Approved Contractors. Procurement opportunities offered through selective tender are open to all appropriately registered and qualified contractors.

For contracts valued from J\$1M but less than J\$4M, the procurement opportunity is to be advertised as set out above for limited tendering, unless the nature and/or complexity of the procurement require national advertising/national competitive bidding, i.e. publication in daily newspaper, business periodicals or magazines, etc.

For contracts valued more than J\$4M, the procurement opportunity must be advertised in national daily newspapers or business periodicals or magazines of wide circulation. Standardized bidding documents are used and the opening of tenders done in accordance with established procedures.

Sole Source or Direct Contracting

Sole Source or direct contracting is a form of limited tendering where only one contractor is invited to participate. Use of this method may be justified when:

- Procurement is of a "sensitive" nature,
- When the procuring entity receives an unsolicited proposal that it considers to be meritorious,
- In the case of follow-on procurements as an extension of an existing contract for goods or works where the additional goods or works are similar to those of the existing contract. The additional quantity should be less than 20% of the original amount and it should be clear that there would be no advantage in using a competitive bidding method. Prices on an extension to a contract must be reasonable. If at the outset, an extension is considered likely to occur, suitable provisions to accommodate the eventuality should be incorporated into the original contract.
- When there is unusual and compelling urgency e.g. in response to a natural disaster
- Where there is need for highly specialized expert services,
- Standardization of equipment and spare parts is required to ensure compatibility with existing equipment. Standardization may require purchases from the original supplier if there are no other sources of identical goods. To justify the use of direct contracting, the original equipment should be suitable, the number of new items should generally be small compared with the total in use and the advantage of using another make or source should have been considered and rejected.
- The required equipment or product is proprietary and is available from only one source
- Pursuant to external agency agreement or treaties,
- Where it is otherwise in the public interest.

Procurement effected through the use of sole source or direct contracting methods must contain justification for its use in the record of the procurement.

International Competitive Bidding (ICB) or Open Tender

ICB is similar to national advertising/national competitive bidding except that the advertisement of requirements will be directed at both local and foreign suppliers and will be done in accordance with rules agreed with external funding agencies. ICB will be used for all procurement of goods valued at more than US\$ 150,000. However, packages valued at > \$150,000 are not anticipated.

Selection of Consultants

Quality and cost based selection (QCBS)

Consultants are selected through a competitive process among short-listed firms that takes into account the quality of the proposal and the cost of the services. Relative weights are applied to quality and cost as determined in each case depending on the nature of the assignment. The weighting of cost however should not exceed 20%.

The selection process involves:

- preparation of TOR
- preparation of cost estimate and the budget and determination of minimum qualifying technical score
- advertising/requesting Expressions of Interest
- preparation of shortlist of consultants
- preparation and issuing of RFP
- Receipt of proposals
- evaluation of technical proposals i.e. consideration of quality
- public opening of financial proposals
- evaluation of financial proposals
- final evaluation of quality and cost
- negotiations and award of the contract to the selected firm

The financial proposals of all consultants whose technical proposals receive the minimum qualifying score, or above, shall be opened. The firm that is ranked highest, taking both quality and cost into consideration, should be invited to negotiate a contract to carry out the assignment.

Selection of Consultants

Quality-based selection (QBS)

This method is appropriate where assignments are of a complex or highly specialized nature; where assignments have a high downstream impact e.g. feasibility studies; or where assignments can be carried out in substantially different ways.

QBS follows the same procedures as QCBS except that the technical proposal of all consultants are opened and evaluated. The financial proposal of the highest ranked consultant **only**, shall be opened.

Least-cost selection

This method is only appropriate for selecting consultants for assignments of a standard or routine nature where well established practices and standards exist, e.g. audits, engineering designs of non-complex works and other similar assignments.

Financial proposals of all consultants whose technical proposals receive the minimum qualifying score, or above, shall be opened. The consultant with the lowest price shall then be selected. Where pre-qualified consultants are selected from a shortlist for routine assignments such as project formulation or supervision, detailed technical proposals is not requested and all financial proposals received will be opened.

Selection Based on Consultants' Qualifications (CQS)

This method is used for small assignments for which the need for preparing and evaluating competitive proposals is not justified. The consultant with the most appropriate qualifications and experience is selected from a shortlist and invited to submit a technical and financial proposal and negotiate a contract.

Single Source Selection (SSS)

This method does not provide the benefit of competition and is therefore used only

7.2 BIDDING PROCEDURES FOR GOODS AND WORKS¹²

Upon JSIF approval of a package of goods and works to be financed, authorization will be given to the Contracting Unit of JSIF or the CBO in the case of community based contracting (CBC), to proceed with the process involved with selecting a contractor to execute the works or supply the goods to be procured.

Timely notification of bidding opportunities is essential in competitive bidding. For this reason when bids are to be advertised nationally or using ICB procedures, the JSIF will place an advertisement in a newspaper of wide national circulation, on at least two occasions; or in

¹² These procedures are also applicable to the procurement of non-consultant services. See Section 7.6 below.

different newspapers of wide circulation, on at least one occasion. This advertisement will publicly present the Invitation to Bid notice.

In the case of local advertising, notices should be posted as indicated under the procedures for limited tender.

7.2.1 Pre-qualification of Contractors

In the event that large or complex works are to be carried out or specialized goods procured, firms are pre-qualified by the JSIF, the pre-qualification should be based exclusively on the ability of the potential contractors to carry out the works in a satisfactory manner. The contractor will be evaluated based on:

- (i) Experience and past performance\results on similar jobs;
- (ii) Capabilities with respect to personnel, equipment and construction facilities;
- (iii) Financial soundness;
- (iv) The existence of other obligations or of pending or future obligations or undertakings that may compete with execution of the works involved in the bidding
- (v) Existence of any litigation or arbitration within the last five years.

In the event that JSIF elects to pre-qualify contractors, the two-envelope method will be used. Under the two-envelope system, contractors will pre-qualify at the same time as the tenders are submitted. The tender documents should include the full pre-qualification documents together with a guide as to how the documents are to be assessed.

When tenders are received, the pre-qualification document should be inside of the outer envelope. This envelope should be opened and the pre-qualification exercise carried out before opening the inner envelope that will contain the tenders.

The envelope containing the tender will be returned unopened to all bidders who do not meet the qualification requirements. JSIF will inform contractors that fail to pre-qualify of the reasons for their failure.

7.2.2 Post-qualification of Contractors

Given the relatively small size and lack of complexity of sub-projects funded by JSIF, it will not be the norm for a pre-qualification exercise to be undertaken. The JSIF will accept the results of the NCC's pre-qualification and registration exercise. Post-qualification is the JSIF's preferred method of assessing the technical and financial resources available for fulfilling the contract for goods or works. Post-qualification should be based entirely upon the technical and financial capabilities of prospective bidders to perform the particular contract satisfactorily, taking into account, inter alia, their:

- Experience and past performance on similar contracts;

- Capabilities with respect to personnel, and any essential or specialised equipment and plant;
- Financial position.

The following are examples of the type of essential criteria for qualification of civil works contractors that should be used:

Experience: Having carried out a specified volume of work, comparable to that required for the critical items of the contract (for instance, X million cubic meters of earthmoving plus laying Y thousand tons of hot mix asphalt, for a highway project; laying Z kilometres of steel pipeline of a given minimum diameter, for a pipe-laying project), measured annually, in at least two of the last five years.

Financial Resources: Demonstrating availability of the financial means to fully finance the estimated contract cash flow taking into consideration the size of the contract and the time allowed between the contractor's claim and the settlement by the Employer, including the time needed by the Engineer to issue the interim/monthly certificate.

Personnel Resources: Having a pool of experienced staff capable of performing the key functions required for the project, from which contract personnel will be drawn.

The pre-qualification document should list the essential functions, and the number of years of relevant experience of the personnel to be detailed in the submission. Words such as "qualified" or "licensed", as well as university degrees should be avoided among the list of requirements, unless essential for a specific function. Contractors often employ site personnel with ample practical experience but no formal qualifications.

Equipment Resources: Having available specialised equipment essential for the execution of the contract. The list should be limited to highly specialised or heavy equipment which would be critical to the execution of the contract, and which could not easily be purchased, hired or leased in the market, or readily manufactured for the task. Normal construction equipment (scrapers, bulldozers, loaders, tip trucks, pavers) that can normally be bought, leased or hired "off the shelf" should not be listed, unless there are particular circumstances that would make access to such equipment difficult.

The evaluation should be relevant to the period over which the contract will be executed, thus it is necessary to also take into account known commitments over that period.

All criteria which will be used in the evaluation must be clearly specified in the bidding documents and should not be so rigid as to result in the disqualification of otherwise qualified bidders for trivial reasons. The documents should however clearly indicate that poorly prepared or incomplete submissions may be rejected.

Post-qualification documents required from bidders should:

- Encourage eligible, potentially qualified firms to apply, by making reasonable demands for information and form-filling;
- Not discriminate against any potential bidders;
- Provide a clear, objective means of evaluating the submission.

Requirements which are difficult to fulfil such as certification of satisfactory contract completion

or execution from previous or current clients should be avoided as many authorities refuse to issue such certificates; the works in question may be under construction or at the "maintenance" stage, and the client may be loath to issue such certificate before completion; or it may be onerous and time-consuming to obtain a validation, particularly when the person required to provide the validation, such as a Justice of the Peace (J.P.), himself is required to check the facts before certifying to the truth of the statement. It is, therefore, advisable that bidders are allowed to submit their own statements on contract completion and execution, together with a clear indication of the senior officer responsible for the project in the client's staff, including telephone number and address, so that the JSIF may check the reference it required.

7.2.3 JSIF Pre-bid Cost Estimate

A cost estimate for the works or goods to be procured shall be prepared using the JSIF's Cost Database System. The estimate is used primarily during the contracting phase of the project cycle to compare rates, prices and costs of quotations and bids. More importantly, it is also used as the basis for conducting contract negotiations with either a selected firm under Direct Contracting procedures, or the lowest evaluated bidder, if allowed in the tender documents, in circumstances when the bid exceeds the cost estimates by a substantial margin, and one is trying to obtain a satisfactory contract.

The cost estimate shall remain **confidential** until it is:

- (i) **Formally presented (in house) during the comparison of priced quotations**
- (ii) **Announced publicly during a tender opening**
- (iii) **Disclosed during contract negotiations.**

Under no circumstances should the estimate or elements of it be communicated to any bidder or person within JSIF not officially involved in the contracting process.

The cost estimate is also used during the appraisal phase of the project cycle to assist in evaluating the financial and economic viability of the project.

7.2.4 Preparation and Issue of Bid Documents

Objective:

Ensure that the appropriate procurement method is used, that bid documents are complete and include all technical information, and that queries and clarifications of bid documents are appropriately handled.

Tasks:

- The Operations Manager forwards to the Contracting Officer, technical documents, checked for accuracy and compatibility, together with adequate information to enable the bid documents to be completed and assembled and bids invited in time to meet the required programme.
- Contracting Officer creates contracting file for the sub-project

- Contracting Officer selects procurement method taking into account the nature and value of the contract as well as recommendations from the Operations Manager as indicated on the Project Transfer Form
- Appropriate bidding documents are prepared including all specifications/bills of quantities
- Bidding opportunities are advertised or eligible contractors are notified as is appropriate for the procurement method being used (See Appendix B)
- The JSIF shall issue bidding documents to firms which have expressed an interest in a bidding opportunity and wish to purchase these documents
- Legal Officer receives from prospective bidders written requests for clarification of bid documents and in conjunction with the Operations Manager and Legal Officer, prepares written responses to be issued to all bidders (see Appendix B)
- Under special circumstances, JSIF may make arrangements for site visits to enable prospective bidders to inspect the site and other relevant information and features in conjunction with representatives from the JSIF
- JSIF may issue an addendum modifying bidding documents at any time prior to the deadline for submission of bids.

Start of bid action

The Operations Manager initiates contract action by sending complete technical documentation on the sub-project to the Contracting Officer. The Operations Manager is responsible for forwarding to the Contracting Unit, technical documents, checked for accuracy and compatibility, together with adequate information to enable the bid documents to be completed and assembled and bids invited in time to meet the required programme.

The Contracting Unit will establish a file at the initiation of contractual action. The contract files must show all actions and decisions relating to the contracting process, and documents must be filed in chronological order and numbered.

Contract files are to be maintained in keeping with the relevant statutory requirements for maintenance of such records.

Bid period

The time allowed for bid should be in keeping with established guidelines of the Government of Jamaica or external funding agency or otherwise agreed between the Operations Manager and the Contracting Officer where no specific guidelines exist. A reasonable period should be allowed to give bidders sufficient time to obtain the information necessary to prepare their offers, having regard to the size and nature of the project and type of contract proposed.

The date and time for return of bids should be clearly stated in the bidding documents regardless of the type or method of procurement.

Contract period

The project design consultant, in conjunction with JSIF Technical staff, determines the contract period. In assessing the contract period the aim should be to achieve a minimum time likely to be accepted by the Contractor but sufficiently realistic to serve as a real target for completion. Allowance should be made for weather conditions.

In this context, repetitive operations with a large proportion of elements manufactured off site will naturally tend to require shorter contract periods, whilst difficult sites involving special work below ground will require longer periods. Projects with complicated Mechanical & Electrical services may require longer contract periods as may those in isolated areas; or those where considerable demolition or site clearance is included in the main contract. If completion of a project in sections is required the completion period for each section should be indicated.

Maintenance period

The maintenance period for a building contract is normally six months but a shorter period may be appropriate for minor works. The Technical Officer in conjunction with the Project Supervisor will determine the appropriate maintenance period (s).

Security of information

No information is to be disclosed in bid documents or drawings unless the disclosure is necessary for the preparation of bids.

Description of Works or Goods

A detailed description of the works to be carried out or the goods to be delivered must be included in the bid documents. A detailed Specification and Bill of Quantities or Schedule of Quantities should be provided.

Variation of price

The bidding documents should clearly state whether variation of price for labour and/or materials is allowed.

Examining technical documents for contracts

It is the Technical Officer's responsibility to ensure the soundness and accuracy of the technical documents and that they do not contain requirements which are in conflict. The Operations Manager should sign off on all technical documents ensuring that all requirements are met.

To carry out these duties the Technical Officer needs to examine the following documents when they are to be part of the contract: -

- Specifications for main, and where appropriate, sub-contracts.
- Appendices and Schedules to particular Specification.
- Bills of Quantities
- List of required equipment

The Legal Officer is responsible for ensuring that the soundness of the contract is not put at risk by incompatibility or ambiguity of contract clauses and for ensuring that the requirements of the JSIF's contracting procedures are met. When compiling sets of contract documentation, the Contracting Officer must ensure that all documents are correctly and legibly completed, that the description of the job is the same on all documents and that all inappropriate printed alternatives are deleted.

Reproduction and issue of invitation documents

Complete sets of each bidding document are to be prepared and issued to interested bidders. Where applicable, a small fee may be charged for each set of documents issued.

One set of the "as issued" document is to be placed on the Contract file.

If during the bid period, a bidder requests an extension of time, the Operations Manager is consulted, and if he agrees to or refuses an extension, all bidders are notified the data file is amended and all appropriate staff are notified.

If during the bidding period, it is necessary to clarify a point or to give further information to a bidder in order to ensure parity of bidding, ALL bidders are similarly notified by letter. Any explanation given by or alleged to be given by a JSIF Officer otherwise than in accordance with this procedure will have no contractual validity.

Issuing of Bidding Documents

The JSIF shall issue bidding documents to firms that have expressed an interest in a bidding opportunity and wish to purchase these documents. The purchase price for the bidding documents shall be set at a level that reflects the cost of reproduction and delivery, and in no case should the charge be so high as to discourage competition.

The bidding document may be dispatched depending on the circumstances in one of two ways:

- (i) Posting by registered mail or by courier
- (ii) Delivery by hand

As an alternative to the above means of dispatch, bidders shall be given the option of collecting bidding documents from the JSIF at a date, time and place mentioned in the Invitation to Bid notice.

In all cases where bids are issued, there shall be an appropriate record of the transaction whether by receipt slip or signature in a delivery book specially earmarked for the purpose.

Clarification And Amplification Of Bidding Documents

The JSIF having issued similar bidding documents to all prospective bidders, shall ensure that during the entire bidding exercise, each bidder is given equal opportunity to obtain additional information on a timely basis.

Bidders' Queries

Bidders may consult or request clarification from the JSIF regarding the interpretation of any aspect of the bidding documents.

The JSIF may address bidders' queries by one of two methods mentioned below, the choice of method depending on the particular circumstances:

- (i) by correspondence; or

- (ii) by having a pre-bid meeting;

When using the "correspondence " method, a bidder requiring clarification should submit his queries in writing to the JSIF's Contracting Unit. A written response will be prepared and together with the text of the query, will be issued to all prospective bidders without revealing the identity of the source of the query. In exceptional cases where a query is of a confidential nature and relates to a particular bidder, the reply to that query will be sent to that bidder only, if so requested by the bidder.

For the "meeting method", the JSIF will prepare replies to individual queries in written form prior to the meeting. This text will list the queries and replies anonymously, sorted by subject in the same order as the bidding documents. At the meeting, the text is read aloud and supplementary queries in writing arising from the replies to the original queries are then entertained. Further replies are made.

Following the meeting and within a reasonable time, the JSIF will send all prospective bidders, whether present at the meeting or not, a full set of minutes recording both the original and supplementary queries and replies. In the event that any query could not be answered during the meeting, the written response will accompany the minutes of the meeting.

Site Visits

Where it is considered necessary or beneficial bidders should be advised to visit and examine the site of the works or place of delivery of the goods or services. It should also be made clear that the bidder is assumed to be obtaining for itself and at its own responsibility and risk, all information that may be necessary for preparing the bid and entering into a contract. A note that the costs of visiting the site shall be at the bidder's own expense should be inserted in the bid documents.

Under special circumstances, the JSIF may make arrangements for site visits to enable prospective bidders to inspect the site and other relevant information and features in conjunction with representatives from the JSIF.

The JSIF will appropriately inform all prospective bidders of the details of the site visits e.g. the date and time of the visits as well as whether visits will be arranged individually with each bidder, or collectively. Whatever arrangements are made, they should be done so that equal opportunities are open to all bidders.

Amendment or Modification of Bid Documents

At any time prior to the deadline for submission of bids, the JSIF may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective bidder, modify the bidding documents by issuing addenda.

Any addendum thus issued shall be part of the bidding documents and shall be communicated in writing or by facsimile to all purchasers of the bidding documents. Prospective bidders shall acknowledge receipt of each addendum by letter or facsimile to the JSIF.

To give prospective bidders reasonable time within which to take an addendum into account in preparing their bids, the JSIF shall extend as necessary the deadline for submitting bids. (The JSIF will allow at least 5 working days between the sending of the last addendum and the

7.2.5 Submission and Receipt of Bids

Objective:

Ensure transparency and objectivity in the process of receiving and opening bids

Tasks:

- Contracting Officer ensures that the locked bid box is in place to receive all bids
- JSIF officer with responsibility for receiving bids must mark all bids with the time and date of receipt and ensure that the sealed envelopes are deposited in the locked bid box by the bidder or his representative prior to the deadline for submission. If bids are delivered by courier and arrive before the stated deadline for submission of bids, the JSIF officer notes the time and date of receipt on the outer envelope and deposits the sealed bid into the bid box.
- Contracting Officer removes the locked bid box promptly at the close of bid to the place designated for the bid opening.
- Contracting Officer returns all late bids, unopened, to the respective bidders accompanied by an explanatory letter giving the details of the date and time of receipt.
- Contracting Officer obtains bid box key from Finance & Administration Manager and opens bid box at the designated time for bid opening
- The Contracting Officer opens bids in the presence of bidders who choose to attend the bid opening and calls out and records, the name of the bidder, the bid price, the bid security amount and type, whether or not the bidder has submitted a valid Tax Compliance Certificate (TCC) and is registered with the NCC, the time of opening of the particular bid. The bills of quantities (BQ) are also checked to ensure that they are priced and typed or completed in indelible ink. Bids including un-priced BQs or BQs written in pencil are automatically disqualified.
- Minutes of the bid opening are prepared by the Contracting Officer. The register of attendees is appended to the minutes.
- Bids which qualify for evaluation are passed to the Officer assigned to conduct the evaluation.

Format and Signing of Bid

The bidder shall prepare one original of the documents comprising the bid as described in the Instruction to Bidders, with the Form of Bid and clearly marked "ORIGINAL". In addition, the bidder shall, if required, submit copies of the bid, in the number specified in the Bidding documents, and clearly marked as "COPIES". In the event of any discrepancy between them, the original shall prevail.

The original and all copies of the bid shall be typed or written in indelible ink and shall be signed by person or persons duly authorized to sign on behalf of the bidder. Proof of authorization shall be furnished in the form of a written power-of-attorney, which shall accompany the bid. The person or persons signing the bid shall initial all pages of the bid where entries or amendments have been made.

The bid shall contain no alternations or additions, except those to comply with instructions issued by the JSIF or as necessary to correct errors made by the bidder, in which case the person or persons signing the bid shall initial all such corrections.

Sealing and Marking of Bids

The bidder shall seal the original and all copies of the bid in two separate envelopes, duly marking each envelope as "ORIGINAL" and "COPIES" as appropriate. Both these envelopes will be sealed in an outer envelope and the inner and outer envelopes shall :

- be addressed to the JSIF at the address provided in the bidding documents
- bear the name and identification number of the Contract as defined in the bidding documents;
- provide a warning not to open before the specified time and date for bid opening as defined in the bidding documents.

In addition to the identification required above, the inner envelopes shall indicate the name and address of the bidder to enable the bid to be returned unopened in case it is declared late.

If the outer envelope is not sealed and marked as above, the JSIF will assume no responsibility for the misplacement or premature opening of the bid.

Deadline for Submission of Bids

Bids shall be delivered to the JSIF at an address previously specified, no later than the date and time outlined in the Invitation to Bid letter/notice.

The JSIF may extend the deadline for submission of bids by issuing an amendment to the original bidding document that is sent to all prospective bidders.

In considering the need for extensions that might arise, either as the result of major amendments to the bidding documents or as a direct request from one or more bidders, the following criteria should be applied:

- there is a convincing reason for granting an extension
- the refusal of an extension would reduce the number of bids to be submitted
- an extension would give preferential treatment to those bidders who are unable to meet the original tender submission date
- an extension would create unacceptable delays to the project programme.

Late Bids

Any bid received by the JSIF after the deadline (or extended deadline) for submitting bids, will be returned unopened to the bidder, accompanied by an explanatory letter giving the details of the date and time of receipt.

In exceptional circumstances e.g., where there is positive evidence of a "force majeure" delay, bidders must inform the JSIF accordingly, prior to the appointed time for submission. In this case, the JSIF may defer the bid opening session until the late tender(s) affected by the delay have been received.

Except in special circumstances approved by the Procurement and Contracts Committee late bids will not be considered.

Receipt of Bids

An officer of the JSIF given the responsibility to receive bids must mark all bids with the time and date of receipt and ensure that they are kept secure and unopened until the time and date appointed for the opening. The bids will be stored in a box enclosed on all sides with a lid, which will have a slot through which bids are deposited and a locking arrangement to enable the bids to be retrieved at the time of the opening.

If bids are delivered by hand, the JSIF officer notes the time and date of receipt on the outer envelope and instructs the bearer to deposit the sealed bid into the bid box. If bids are delivered by post and arrive before the stated deadline for submission of bids, the JSIF officer notes the time and date of receipt on the outer envelope and deposits the sealed bid into the bid box, stating the date and time received.

Bid Validity

Bids shall remain valid for a period specified in the bidding documents. The JSIF may request that the bidder extend the period of validity for a specified additional period. The request and the bidders' responses shall be made in writing; a bidder may refuse the request in which case he may withdraw his bid without penalty. A bidder agreeing to the request will not be permitted to otherwise modify the bid.

Bid Security

Bid security, in the form and amount specified in the bidding documents, affording the JSIF reasonable protection against irresponsible bids, may be required, but it shall not be set so high as to discourage bidders. Any bid not accompanied by an acceptable bid security will be rejected by the JSIF.

Bid security shall remain valid for a period of four weeks beyond the validity period for the bids, in order to provide reasonable time for the JSIF to act if the security is to be called.

Bid security shall be released to unsuccessful bidders once it is determined that they will not be awarded a contract.

The bid security of the successful bidders will be discharged when the bidder has signed the contract agreement and furnished the required performance security.

The bid security will be forfeited:

- (i) if the bidder withdraws his bid during the period of bid validity;
- (ii) if the bidder does not accept the correction of his bid price;
- (iii) in the case of a successful bidder, if he fails within the specified time limit to sign the contract agreement or furnish the required performance security.

Modification and Withdrawal of Bids

Bidders may modify or withdraw their bids by giving notice in writing to the JSIF, before the deadline for submitting bids.

Each bidder's modification or withdrawal shall be prepared, sealed, marked and delivered in accordance with the procedure outlined above with the outer and inner envelopes marked "MODIFICATION" or "WITHDRAWAL", as appropriate.

No bid may be modified after the deadline for submitting bids.

Withdrawal of a bid between the deadline for submission of bids and the extension of the original period of bid validity stated in the Form of Bid, may result in the forfeiture of the bid security.

7.2.6 Opening of Bids

Safeguarding of Bids

Bids must be deposited in the bid box by the bidder. The Finance & Administration Manager is responsible for the safe custody of bids from the moment of receipt until they are opened; the keys being retained by the Finance & Administration Manager.

After the opening and summarizing of bids and until the acceptance letter is issued the bid prices and bidding positions are strictly confidential. During this period, the contract file must always be addressed to an officer personally and be transmitted under cover; in general the File must not have a wider circulation than is necessary for deciding the allocation of the contract.

Out of office hours and when an office is unattended, contract files or covers containing bids summaries, etc., prior to acceptance must be locked away.

Discussion with bidders should be confined to technical or contractual details and the greatest care taken not to divulge any information on prices quoted by other tenders.. No information whatsoever is to be given to third parties.

All bids received must be safeguarded until later that day when they are due to be opened by a Bid Opening Committee chaired by the Contracting Officer. It is very important that the integrity of procedures for receiving, opening and handling bids be preserved and the following principles are to be rigidly applied.

Opening Bids

The opening of bids shall be conducted by officers of the JSIF in the presence of those bidders wishing to attend, all having been advised of the date, time and place of the event. In addition, any persons specifically invited by the JSIF may attend, as may representatives of any Government entity required so to do.

Bids are opened as soon as possible after the closing date for bids. An un-priced tender form, even if signed by the firm, which is not supported by documents from which a price (or basis or pricing e.g. percentage additions) may be ascertained or deduced (e.g. covering letter, summary of tender, etc.) is not to be regarded as a bid. The bid form should be returned so endorsed.

Each bid is then numbered in sequence to ensure that other bids cannot be introduced without proper authority and the date of opening is inserted against the number. No other written insertions must be made by officers of the Fund on bids or correspondence relating thereto, as these are original documents which may have to be produced in a Court of Law. The Courts are entitled to reject as evidence any contract document which they do not regard as original, and a document which has endorsements upon it, other than any inserted by the bidder or which have been inserted with his written permission, may well be invalidated.

On the date and time set for the opening, a representative of the JSIF will check and display the sealed condition of each bid prior to its being opened.

As each bid envelop is opened, the JSIF official chairing the proceedings will read aloud: -

- (i) The bidders name
- (ii) The date/time of receipt of the bid
- (iii) The price of each bid
- (iv) The time period and amount of the bid security.

Following this, the Chairperson will also announce the names of any bidders disqualified because of the late receipt of bids.

Where practical, the completeness of each bid shall be checked at the time of opening and any shortages noted.

Summary of Bid Opening

Minutes of the bid opening are recorded on a standard form designed for the purpose and persons attending are requested to sign the form signifying their acknowledgement of the information entered on the form. The names of any firms which have (1) notified their inability to bid, or (2) failed to bid are added to the bid summary with an appropriate comment against each name. The Chairperson of the Bid Opening Meeting then signs the completed summary.

Where in exceptional cases, a "late" tender is admitted, it is also entered on the summary sheet.

Immediately after completion of the summary the set of bids is placed in a folder within the contract file, which is then passed under confidential cover to the Contracting Officer. The Contracting Officer holds the file under lock and key until the evaluation process is complete.

7.2.7 Evaluation of Bids

Objective:

To determine the responsiveness of bids, the qualification of bidders and the lowest evaluated bid.

Tasks:

- Clerical Assistant enters details of bid into the SFMS to determine the arithmetic accuracy of the bid.
- Evaluating Officer checks the responsiveness of bids based on the information entered into the SFMS
- Legal Officer requests outstanding documents which do not affect the substance of the bid e.g. financial statements, Articles of Association, current workload etc.

- Post qualification evaluation of bidders is done – JSIF accounting officer reviews financial information submitted by bidder, Evaluating Officer reviews previous experience, workload, equipment and personnel resources of bidder. Bids that meet the qualification requirements are further evaluated.
- The Evaluating Officer evaluates bid prices making any correction for errors, excluding provisional sums and dayworks, if any, for contingencies in the Bill of Quantities and making appropriate adjustments to reflect discounts or other price modifications offered. For World Bank funded contracts, the Bank's standard for for the evaluation of bids is to be used.
- The Bid Evaluation Committee recommends the lowest evaluated bid for approval.

Evaluation of Submissions (Post-qualification)

Evaluation of the bid and the bidder are to be carried out as separate steps in the evaluation process. Therefore, items normally considered as part of bid evaluation, which reflect on the bid itself, should not be part of the post-qualification criteria.

Post-qualification is the JSIF's preferred method of assessing the technical and financial resources available for fulfilling the contract for goods or works. The qualifications of all bidders will be scrutinized by JSIF's Evaluating Officer using data submitted by the bidder at the time of bidding, as well as information gathered by the JSIF. If this bidder fails to demonstrate the necessary experience and technical and financial capability to carry out the contract, the bid will not be subject to further evaluation. Only the bids of those bidders that satisfy the qualification requirements will be subject to detailed evaluation in arriving at the lowest evaluated bidder.

Bidders are post-qualified if, based on the information submitted by them, they meet all the minimum qualifying criteria stated in the bidding documents

The criteria should be quantifiable and objective; ambiguous requirements, such as "general reputation", or "co-operativeness"; or irrelevant ones, such as "completeness of response" should not be used. Likewise, the criteria should not be unfairly discriminatory, such as demanding that the applicants' equipment already be at or near the site of works, or that the applicants have had experience in the specific country or region.

Particular attention should be paid to the setting of requirements for the presentation of financial information. For example, financial statements may be directed toward minimising taxes and may not reflect on the extent of true resources, which may be severely understated. Also, accounting procedures vary considerably from country to country. For this reason, evaluations of financial strength based exclusively on standard financial ratios are usually meaningless when applied to results accounted for under different rules and methods.

In recognition of this problem, evaluations of financial capability should place the onus of demonstrating adequate means on the applicant, who should be given a certain amount of latitude in respect of the information and documents in hand, a line of credit from a reputable bank, overdraft facilities, other bank loans, suppliers' credit, and any other evidence of complying with the financial criterion for post-qualification.

Post-qualification based on compliance with all minimum essential requirements can be applied to single bids or to procurement on the basis of "package". For the latter, appropriate post-qualification criteria would have to be established at different levels, for packages, groups thereof, and the whole package.

Verification of Information

Verification or supplementation of information provided by bidders for post-qualification should be asked of bidders where doubts exist about accuracy or completeness. The JSIF Contracting Officers should be free to contact references cited in the submission for information required, and authorisation to do so should be provided by the applicants.

Because of time constraints, efforts by the JSIF to obtain verification of post-qualification information should be limited, and judgements should err on the side of accepting the accuracy of information provided by the applicants. In no event, should a contract be awarded to a bidder lacking the financial and technical resources to undertake the work.

Examination of Bids and Determination of Responsiveness

Prior to the detailed evaluation of bids, the JSIF will determine whether each bid is substantially responsive to the requirements of the bidding documents. A substantially responsive bid is one that conforms to all the terms, conditions and specifications of the bidding documents, without material deviation or reservation. A material deviation or reservation is one:

- which affects in any substantial way the scope, quality or performance of the works;
- which limits in any substantial way, inconsistent with the bidding documents, the JSIF's rights or the bidder's obligations under the Contract; or
- whose rectification would affect unfairly the competitive position of other bidders presenting substantially responsive bids.

If a bid is not substantially responsive, it will be rejected by the JSIF, and may not subsequently be made responsive by correction or withdrawal of the non-conforming deviation or reservation.

Bid Clarification

During the first phase of the evaluation, the JSIF may wish to seek clarification of information contained in the bid. The JSIF will not raise queries in such a manner as to elicit supplementary information beyond the minimum required for the clarification and will state that any such further information given will be disregarded. No change in price or substance shall be sought, offered or permitted.

Any qualifications which are unacceptable to the JSIF will be determined as early as is practicable. The particular bidder(s) will then be notified and given the opportunity of withdrawing such qualification(s) in writing. The bidder may only do this provided that he makes no change to the bid price. If no such confirmation is received in writing the bid will be rejected.

In the event of other qualifications, the JSIF may call the appropriate bidder to an individual meeting for discussion. Such qualifications will only be explored in sufficient depth to enable the JSIF to make its assessment of the effects in relation to the evaluation.

The JSIF will then make their final decision in the light of the evaluation. All bidders should be notified of this decision.

Correction of Errors

Bids determined to be substantially responsive will be checked by the JSIF for arithmetical correctness, errors and omissions. Errors will be corrected as follows:

where there is a discrepancy between the amounts in figures and in words, the amount in words will govern;

where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern.

if a bidder refuses to accept the correction, his bid will be rejected.

Assessment and Comparison of Bids

The purpose of bid evaluation is to determine the cost to the JSIF of each bid in a manner that permits a comparison on the basis of their evaluated cost. Subject to post-qualification, the bid with the lowest evaluated cost, but not necessarily the lowest submitted price, shall be selected for award.

Tenders are considered to be under evaluation from the time of the bid opening until the JSIF has appointed the Contractor and has notified bidders accordingly, or until the validity period of the bids expires, whichever is the earlier.

For the purpose of evaluation, adjustments shall be made for any quantifiable nonmaterial deviations or reservations. Also, the price adjustment provisions applying to the period of implementation of the contract will not be taken into account in the evaluation.

The evaluation and comparison of bids shall be on CIF or CIP prices for the supply of imported goods and EXW prices for goods offered from within Jamaica, together with prices for any required installation, training, commissioning and other similar services.

Bidding documents shall also specify the relevant factors in addition to price to be considered in bid evaluation and the manner in which they will be applied for the purpose of determining the lowest evaluated bid. For goods and equipment, other factors which may be taken into consideration include, among others, costs of inland transport and insurance to the specified site, payment schedule, delivery time, operating costs, efficiency and compatibility of the equipment, availability of service and spare parts, and related training, safety and environmental benefits. The factors other than price to be used for determining the lowest evaluated bid shall, to the extent practicable, be expressed in monetary terms, or given a relative weight in the evaluation provisions in the bidding documents.

The JSIF will evaluate and compare only the bids determined to be substantially responsive.

In evaluating the bids, the JSIF will determine for each bid the evaluated bid price by adjusting the bid price as follows:

- making any correction for errors
- excluding provisional sums and dayworks, if any, for contingencies in the Bill of Quantities
- making appropriate adjustments to reflect discounts or other price modifications offered.
- Any apparent high or low pricing of bids will also be taken into account during evaluation.

The JSIF may waive any minor informality or non-conformity which does not constitute a material deviation, provided such waiver does not prejudice or affect the relative standing of any bidder. Variations, deviations, and alternative offers and other factors which are in excess of the requirements of the bidding documents or otherwise result in unsolicited benefits for the JSIF will not be taken into account in bid evaluation.

Confidentiality

After the public opening of bids, information relating to the examination, clarification and evaluation of bids and recommendations concerning awards shall not be disclosed to bidders or other persons not officially concerned with this process until the award of contract is notified to the successful bidder.

7.2.8 Rejection of Bids

JSIF reserves the right to accept or reject any quotation or bid, to cancel the shopping/bidding process, or terminate negotiations at any time **prior to the award of contract**, without thereby incurring any liability to the affected party. The JSIF also does not have any obligation to inform the affected party of the grounds for its action.

- The most likely cases of individual bids being unsatisfactory and therefore being rejected are:
- when they contain certain basic errors or omissions which, because of their nature are not subject to correction e.g. the failure to sign a bid or present a bid security;
- when bids are not substantially responsive i.e. they do not satisfy the terms and conditions of the bidding documents; in these two cases the JSIF will return the bids without their being evaluated;
- when the bids contain unacceptable qualifications which alter the substance of the offer;
- in cases where the particular bid is so much lower than JSIF's estimate that it is reasonable to conclude that the bidder will not be able to complete the job or supply the product within the time specified at the price offered and the bidder is unable to demonstrate how he will be able to complete the contract at the price offered.

The rejection of all bids as a group is justified under the following circumstances:

- when all bids are affected in a manner stated above
- there is evidence of collusion
- there is lack of effective competition (This shall not be determined solely on the basis of the number of bidders)
- when it can be demonstrated that the rates and prices offered are unreasonable
- when the lowest bid **exceeds** the JSIF's cost estimate by an amount sufficient to provide reasonable justification for rejection

If all bids are rejected, JSIF will review the causes justifying the rejection and consider whether it is necessary to make revisions to the conditions of contract, design and specifications, scope of the contract, or a combination of these, before inviting new bids.

Any new bidding document will be updated to incorporate any appropriate information previously issued as amendments to the bid' documents and/or replies to bidders' queries

If rejection of all bids is as a result of lack of competition the JSIF will ensure that there is wider advertisement of the bidding opportunity during the re-bidding exercise.

If the rejection of all bids is as a result of most or all the bids being non-responsive, the bidders shall be given an opportunity to rebid along with other new bidders (if considered appropriate).

7.2.9 Contract Acceptance and Award

Objective:

Ensure that procedures for contract award and signature are properly executed.

Tasks:

- Contracting Officer passes recommended bid through the relevant review and approval process involving the Bid Evaluation Committee, PCC/Sector Committee, NCC, external funding agency and where relevant, Cabinet, in keeping with the relevant rules (See Appendix B)
- An acceptance letter including specific details of the contract is sent to the selected bidder. The bidder must indicate acceptance of the contract award and submit the performance security, in an acceptable form, as well as any other required documents within the specified time. JSIF will inform other bidders that their bids were unsuccessful and return their bid security.
- Contracting Officer prepares the contract documents and arranges the contract signing.

Acceptance of a Bidder's Offer

The acceptance of a bidder's offer makes a contract subject to the bidder presenting the performance security and signing the contract, therefore care must be taken to ensure that the basis of a good contract exists before the acceptance is issued. An acceptance must take the form of a letter and sufficient reference must be made to the documents forming the basis of the contract. **The telephone must not be used to convey an acceptance.**

The important points to bear in mind when issuing an acceptance are:

- The contract will be awarded to the bidder whose bid is determined to be substantially responsive to the bidding documents, who meets the qualification requirements and who has offered the lowest evaluated bid price
- An acceptance must be notified within the bid validity period stated in the bid documents otherwise the it must be confirmed that the bidder is willing to extend the validity of the bid;
- The offer and acceptance must clearly state the sum that the JSIF will pay the contractor in consideration of the execution, completion and maintenance of the Works in keeping with the terms of the contract, and the acceptance must be unqualified;

The following information must also be covered in the acceptance:

- the contract number which is the identification required in all correspondence subsequent to the award of the contract;
- the correct name of the contractor;
- description of the service/name of the contract;
- price (in figures and in words)
- the duration of the contract;
- the amount and form of the performance security to be provided by the contractor and the date by which it is to be provided;

- where applicable, the amount of any mobilization advance payable to the contractor and the date by which this advance is to be recovered;
- any other documents which the contractor is required to submit prior to the signing of the contract;
- the name of the appointed adjudicator, where applicable;
- a statement that the acceptance is to be acknowledged by the contractor.

Acceptance must always be signed by an authorised officer of the firm;

Contract Award

The JSIF shall award a contract:

- (i) after review and approval by the relevant authorising body/bodies
- (ii) within the period or extended period of bid validity.

The award creates in favour of the selected bidder the right to formalise the corresponding contract. However, the successful contractor shall not be required as a condition of award to undertake responsibilities for work not stipulated in the shopping/bidding/negotiating documents or otherwise to modify the offer originally submitted.

Once such an award has taken place the JSIF may no longer make an award to another contractor or declare the shopping/bidding/negotiating process invalid unless in the case of fraud or some other illegality; or JSIF becomes aware of facts not known to it at the time of qualification, bid evaluation or contract negotiation that could materially affect the ability of the successful contractor to perform the contract.

Notification of Award and Signing of Contract

Following the decision to award a Contract, the successful contractor shall be informed by registered or hand-delivered mail about the decision. This letter termed the **Letter of Acceptance** (see Annex 56) will state **the sum that the JSIF will pay the Contractor in consideration of the execution and completion, supply, and maintenance by the Contractor as prescribed by the Contract**; this sum being termed the **Contract Price**.

Where it is not immediately possible to issue a formal Letter of Acceptance, the JSIF may in some circumstances find it useful to issue a **Letter of Intent** to enter into a contract. This instrument is a prelude to entering a formal contract.

The notification of award will constitute the formation of the contract subject to the furnishing of a **performance security instrument, any additional documents required eg proof of insurance of the works and the signing of the Agreement**. Upon the furnishing by the contractor of this performance security, where competitive bidding has occurred, the JSIF will promptly notify other bidders that their bids have been unsuccessful and will return their tender securities.

The signing of a contract between the JSIF and the successful contractor, in keeping with the bidding documents, completes the contracting process. This signature should take place within a short time after the formal award has taken place.

Modification of the Award

If for any reason, the successful Contractor does not sign the contract or furnish the performance security within the period set for that purpose, the JSIF may award the contract to other bidders in the order in which these have been evaluated (NCB). For negotiated contract, the contracting process would have to be restarted.

7.2.10 Complaints or Protests

Should a contractor or bidder have a protest or complaint with any JSIF action during the contracting process such **protest or complaint shall be addressed in writing to the Managing Director**, JSIF and be submitted **no later than 20 calendar days** after the date of notification of award.

The Managing Director shall direct the submission to the Legal Officer and request a written report on the matter. The contractor's written submission together with the report of the Legal Officer, will be tabled at a meeting of the JSIF Procurement and Contracts Committee of the Board of Directors.

Unless JSIF and the complainant have reached agreement on the resolution of the complaint the Managing Director shall, within fourteen (14) days of receipt of the complaint, issue a written decision to the complainant stating the reasons for the decision and indicating that any appeal of said decision shall be lodged with the NCC within fourteen days of the contractor's receipt of the JSIF's decision. Appeals shall be addressed to the NCC and copied to the Managing Director of JSIF. The decision of the JSIF shall be final unless an appeal has been lodged within the fourteen-day period.

A copy of complaints and resolution decisions shall be maintained in the record of the procurement.

7.2.11 Post Bid Period (Works Contracts)

Although the period between the appointment of a contractor and the commencement of work on site does not strictly fall within the scope of the procurement process, action taken within this period is critical to the successful outcome of the contract and care needs to be taken in light of the possible effect on the contract.

Normally the conditions of a contract provide for the works to be completed within a stipulated Contract period commencing on the day possession of site is give to the contractor by notice in writing or on the day stipulated in an order to commence. In every case the Project Supervisor must secure the contractor's acknowledgement of such notice which when undertaken, is forwarded to the Contracting Section for appropriate filing with a copy being sent to the Supervision Section.

Where the Contractor is required to produce a Programme and Progress Chart, possession of site or an order to commence work is not usually given to the Contractor until the chart has been produced and the contract period is then calculated either from the date when the site is handed over or from the date stipulated in the order to commence. This does not debar the Contractor from carrying out preliminary work, such as erection of hoarding, site offices and stores or taking delivery of materials, subject to the approval of the Project Supervisor but the responsibility for safety and watching remains with the Contractor. Exceptionally, however, there are cases where it is advantageous or even necessary to allow the Contractor to start work before he can

reasonably be excepted to produce a Programme and Progress Chart, Where in such cases, the Contractor seeks permission to be allowed to make an early start, the site is handed over or the order to commence work issued at the Project Supervisor's discretion - this arrangement does not however absolve the Contractor from the responsibility for subsequently producing a Programme and Progress Chart.

In most cases, the Contractor arranges a programme providing for the work to be completed either on, or shortly before, the contract completion date, calculated by adding the contract period as defined in the contract document to the date of the order for commencement of the works, or the date of possession of the site, by the Contractor as appropriate. In some cases, however, the Contractor may provide for a programme completion date before the contract completion date, and this can cause problems, particularly where the Contractor claims that the Project Supervisor's acceptance of such a programme constitutes a variation of the contract in so far as the date for completion is concerned.

If the Project Supervisor approves a Contractor's programme containing an earlier completion date than that laid down in the contract and the JSIF or its agents subsequently cause delay to the progress of the Works (e.g. by delay in issuing drawings, or by failures to act promptly when the Contractor reports unexpected difficulties on site), this delay may well prevent the Contractor from adhering to his programmed completion date, and the Contractor could possibly use this as justification for a claim against the Fund for additional costs arising from disruption or prolongation. Therefore, the advantages of earlier completion which might accrue to the Fund if the Contractor offers a programme substantially shorter than the agreed contract period, must be carefully balanced against the chances of a claim arising if the Fund is unable to supply drawings, information etc., in time to meet the programme. If there is no clear balance of advantage to the Fund, the reduced period must be rejected.

Acceptance of a Contractor's programme giving a completion date different from that provided in the Contract must be given in writing in the following form (amended, when necessary, to suit a contract based on phased completion):

"The Project Supervisor's approval of this programme on behalf of the JSIF does not represent a Project Supervisor's instruction, and does not in any way constitute a variation of the date for completion under the contract".

The Project Supervisor must sign and date the approval in these terms, insert the contract number, give two copies of it to the Contractor, one for the Contractor to retain and the other for him to sign and return to the Project Supervisor. The Project Supervisor must send the returned copy to the Contracting Officer (via the Operations Manager) who places it on the contract file, a copy being retained in the Supervision File.

If a Contractor produces a programme showing a completion date later than that date determined by the commencement date and contract period as stated in the contract documents, the Project Supervisor must in every case instruct the Contractor to produce a revised programme with a completion date not later than the contract completion date. There may, however, be cases when the JSIF has to accept that the Contractor is either unable or unwilling to produce a realistic programme providing for completion of the work by the contract completion date. Even when the Fund has to approve a programme running beyond the contract completion date, the terms set out above should still be used; in such cases it is particularly important that no-one should say or write anything to the Contractor which might imply that the JSIF has in any way relieve the Contractor of his obligations under the terms of the Contract nor agreed a revised contractual completion date least the Fund' rights to claim liquidated damages would be prejudiced.

7.3 Procurement of Goods and Works – Shopping

Contracting Officers must take all reasonable steps to ensure that the contracts placed by the JSIF represent the best possible investment. The aim should be to secure satisfactory performance at the lowest reasonable price.

When Shopping Procedures are used, the normal method of obtaining a reasonable price is through competitive bidding by selection from the Fund's database or other appropriate listing of Contractors and Suppliers having regard to capacity and general suitability for the work or service required.

Short-listing of Firms to be Asked to Bid

The main objective is to seek to secure competition from an adequate field without having to resort to a second invitation.

The JSIF recognises the need to treat all contractors fairly while securing the best value for money. The JSIF must be able at any time to demonstrate that in the awarding of contracts no favouritism or undue preference has been extended. In exercising this responsibility, it relies in large measure upon the professionalism of the members of the Contracts Unit and strict adherence to the procurement procedures. In correspondence with firms and in public statements, the Fund's policy should be stated to be that of giving all qualified companies reasonable opportunities to bid, consistent with the principles of selective bidding and the need to secure the best value for money.

Compilation of Invitation Lists

Where bids are sought by invitation of three or more qualified bidders, the compilation of the short list for invitation of bids is the responsibility of the Contracting Officer with reference to the Operations Manager where necessary, drawing on JSIF's experience with these contractors. Reference will be made to the bidding history of each contractor and accordingly, efficient competitive firms will be given more opportunities to bid than the less interested or the less efficient, subject to them not being overloaded with work or taking on work at clearly uneconomic prices. Firms which often fail to bid or bid un-competitively will be selected for inclusion in bid lists less frequently than those that are interested in the Fund's work and are known to bid competitively.

The Contracting Officer is responsible for ensuring that no firm on the Suspended/Ineligible listing is invited. Consideration is to be given to the use of the advance enquiry procedure where only a limited number of bids can be expected (see section 5.5.10 below).

Invitations should normally be sent to three (3) to five (5) bidders to allow for the fact that, despite advance enquiries, a proportion of firms invited may fail to submit bids. If in any competition the response is so limited that doubts exist as to whether the lowest price is fair and reasonable, consideration must be given to the desirability of a fresh competition.

In exceptional cases a lesser number of firms may be invited to bid e.g.:

- For projects of high value at difficult sites;
- For special projects where the number of firms competent and available to do the work is limited;
- For work where the number of firms able and willing to operate is limited;

- Where only basic requirements and/or design principles are indicated by use of a functional specification and drawings thus necessitating some design effort by the bidder.

In such instances, the reason why less than three firms are invited to bid must be clearly documented in the contracting file for the project.

Testing New Firms

The Contracting Officer is responsible also for maintaining a reasonable balance between well-known contractors and those who more recently have shown interest in JSIF. In those cases where JSIF lacks direct experience of a contractor's performance, invitations should be initially restricted to smaller and less complex projects.

Guidance From Database

When selecting firms for bidding lists, officers should note and be guided by the performance information recorded in the Funds database. The Contracting Officer should periodically update the performance record of firms in the database, based on the completed evaluation reports from the Operations Division.

Small Firms

To the extent that it is consistent with the procurement procedures and the over-riding aim of securing the best value for money, bidding lists for smaller value contracts should give small local firms the opportunity to bid. One or two firms whose headquarters are outside the neighbourhood of the proposed works may also be included whenever possible, if they are prepared to undertake work in the area.

Observance of Limits

No firm should be invited to bid for a contract of estimated value above the limit specified for the particular grade in which the contractor is registered.

Review of Eligibility After Lapse of Time

Invitation lists are sometimes agreed well in advance of the date on which documents are dispatched. Similarly there may be a considerable lapse of time between the issue of bids and the receipt of offers and the acceptance of one of them. Appropriate action should be taken at any of these stages when there is reason to believe that a firm may no longer be eligible to receive an invitation or be awarded a contract.

Advance Enquiry

Under certain circumstances firms provisionally selected for invitation are afforded the opportunity of saying in advance whether they are prepared to submit a bid. The firms are given basic details of the proposed contract: site location, size, type of construction, the contract period, nominated sub-contracts if applicable, the approximate starting date, the name of the Contracting Officer and an indication of the date on which bids will be invited. The Contracting Section issues the enquiry by sending a standard form letter unless a special letter is necessary to give more detailed information. Enquiries may be made by telephone in urgent cases or for very small contracts. Firms are informed that a negative response to an advance enquiry does not prejudice their opportunities of being invited to tender in future competitions.

7.4 Procurement of Goods and Works - Sole Source/Direct Contracting

Under certain circumstances, competition may not always be possible or practicable. In these circumstances, prior approval to invite on a single source basis is sought in accordance with current regulations. A full statement of the circumstances supporting such action and the reasons for selecting the particular firm is to be provided.

7.5 PROCUREMENT OF CONSULTANT SERVICES

Objective

Ensure that the appropriate procurement method is used, that Request for Proposals (RFP) –in the case of consultant services, and bidding document are complete and include all technical information, and that queries and clarifications of Request for Proposals are appropriately handled.

Tasks:

- The Operations Manager forwards to the Contracting Officer, complete Terms of Reference (TOR) detailing the service to be procured and the budget.
- Contracting Officer creates contracting file for the sub-project
- Contracting Officer selects procurement method taking into account the nature and value of the contract and in accordance with the Procurement Methods outlined in Section 7.1.3
- Bidding opportunities are advertised or a shortlist of eligible consultants is selected and Expressions of Interest invited as is appropriate for the procurement method being used (See Appendix B)
- Appropriate Request for Proposals (RFP) is prepared including letter of invitation, TOR, information to consultants and the proposed contract.
- The JSIF shall issue Request for Proposals (RFP) to firms/individuals that express an interest in the bidding opportunity.
- Legal Officer receives from consultants, in writing, requests for clarification of information contained in the RFP, and in conjunction with the Operations Manager, prepares written responses to be issued to all consultants within seven days of receipt of the request (see Appendix B)
- JSIF may issue an addendum modifying Request for Proposals (RFP) at any time prior to the deadline for submission of bids.

The services of consultants are expected to be used primarily in the areas of sub-project design, sub-project supervision, training and capacity building of communities and Technical Assistance in relation to JSIF institutional support.

- Individual consultants are normally employed on assignments where:
- Teams of personnel are not required;
- No additional outside professional support is required; and
- The experience and qualifications of the individual are the paramount requirement for a

particular assignment

Where varied expertise is to be employed on a single assignment, coordination, administration and collective responsibility can become difficult and the engagement of a consulting firm may be more desirable. Individual consultants may also associate with each other to complement their respective areas of expertise for a particular assignment. JSIF shall not require consultants to form associations with any specific person, firm or group of firms, but where appropriate, may encourage association with other qualified persons/firms.

From time to time, personnel of a consulting firm may be available as individual consultants. In such cases, although the contractual agreement is normally with the firm to supply the named person, usually the individual himself/herself, and not the firm, is responsible for the quality of the work and, unless specified in the agreement and included as part of the cost, little or no head office professional back-up is expected.

7.5.1 Preparation and Issue of Request for Proposals

Where a number of firms/individuals are to be invited to submit proposals, the selection procedure and evaluation criteria to be adopted should be determined prior to inviting proposals and should be included in the letter of invitation.

The procurement of consulting services is usually done on a **quality basis** where the competence and experience of the firm and the personnel to be assigned, the quality of the proposal, and the client\consultant relationship are the principal factors in choosing a consulting firm. Where the proposed financial terms are also an important consideration in the selection process, a **quality and cost basis** (QCBS) will be used. The **least-cost method** may be appropriate in the selection of consultants for assignments of a standard or routine nature such as audits, engineering design of non-complex works etc. where well established practices and standards exist and the contract amount is small. JSIF maintains a list of pre-qualified consultants whose technical capability to perform such routine assignments would already have been assessed. These consultants are not normally required to submit technical proposals for each assignment.

The principal steps in the selection process are as follows:

- Preparing the assignment terms of reference;
- Preparing the cost estimate-the budget;
- Determining the selection procedure;
- Advertising for expressions of interest (if required based on the contract value)
- Preparing a short list of consultants;
- Preparation and issuance of the Request for Proposals (RFP) to short-listed consultants;
- Letter of Invitation (LOI)
- Information to consultants (ITC)
- Terms of Reference (TOR)
- Proposed contract.
- receiving of proposals;
- evaluation of technical proposals: quality considerations;
- evaluation of financial proposal;
- final evaluation of quality and cost and selecting a firm for contract negotiations;
- Negotiating a contract with the selected firm;
- approving authorities, and award of the contract to the selected firm.

Once the short list of consulting firms/individuals has been prepared, a Request for Proposals (RFP) is sent to each firm/individual. Information included in the RFP must be as complete as possible, not only to allow the consultant to prepare a fully responsive proposal, but also to help make all the proposals submitted comparable. The RFP should also include a clear indication of the selection procedure and evaluation method which the JSIF proposes to use. After proposals have been received, the JSIF should follow procedures consistent with those indicated in the RFP.

Clarification / Modification of the RFP

Consultants or service providers may request clarification of the information contained in the RFP. All such requests shall be submitted in writing. JSIF shall respond to any request for clarification within seven (7) days of receipt of the request. Responses shall be communicated promptly to all consultants to whom JSIF has provided the RFP, without identifying the source of the query or clarification request.

At any time prior to the deadline for submission of proposals, JSIF may for any reason, whether on its own initiative or as a result of a request for clarification, modify the RFP by issuing an addendum. The addendum shall be communicated promptly to all consultants to whom the JSIF has provided the RFP and shall be binding upon them.

If JSIF convenes a meeting of consultants for provision of responses to clarification requests, it shall prepare minutes of the meeting containing the requests submitted and its responses to those requests, without identifying the source of the requests. The minutes shall be provided to participating consultants within five (5) days of the meeting date, so as to enable them to take the minutes into account in preparation of their proposals for submission. Copies of these documents must be maintained in the record of the procurement.

Terms of Reference (TOR)

The TOR are the initial statement to the consultant of the work that is required including the objectives and intended scope of the work and, with eventual modifications, form an integral part of the contract which governs the work that the consulting firm is to perform. The TOR should, therefore, be as clear and precise as the type of assignment will allow.

Normally, the TOR should contain the following:

- a precise statement of the objectives of the assignment;
- the scope of the required services including any relevant background information to facilitate preparation of the consultant's proposal;
- timing of the assignment
- the inputs to be provided by the JSIF; and
- particulars of the output (i.e., reports, drawings, etc.) required of the consulting firm
- JSIF's and consultant's respective responsibilities.

Clear TOR are especially important where the scope and form of the assignment are open to different interpretations and require sharp definition. The definition and depth of the consultant's tasks are largely dictated by the complexity of the project.

Budget (Cost Estimate)

An estimate should be made of the cost of a proposed consulting assignment after the TOR has been prepared. The cost estimate, or budget, will be based on the perception of the assignment requirements in terms of level and type of personnel, period to be spent in the field and in the head office, physical inputs (e.g., vehicles and equipment), and other items required for the services.

While the cost estimate is required for the budgetary purposes of the JSIF, it also serves other purposes. In preparing the cost estimate, alternative methods of undertaking the assignment must be considered.

Where price is not a factor in the selection process, the letter of invitation may include the JSIF's estimate either of man-months or of the budget for the assignment. In the latter case, firms would be expected to include in their proposals, estimates of the man-months required for the assignment within this budget. In cases where price is to be taken into account in the selection of consultants, the letter of invitation should normally include the man-months expected to be required for the assignment, but not the budget. Providing this information gives the firms a good indication of the envisaged scope of the assignment. While the need to limit costs is recognised, the budget amount will as far as is possible, be set so as to allow all invited firms to submit meaningful technical proposals.

The JSIF will not place ceilings on the man-hour rates for consultant staff as this overly restricts the type and mix of personnel a consultant can identify for an assignment. Such a rate ceiling can also discriminate against those consultants who may be the most experienced and capable for the assignment.

Short List of Firms

The short list is normally prepared from longer lists obtained from the JSIF's Directory of Consultants or from responses to requests for expression of interest. JSIF will usually use a short list of firms with a lower limit of three and an upper limit of five including at least one local firm, unless interested qualified local firms are not identifiable.

Where expressions of interest are solicited, consideration should be given only to those firms expressing interest that possess the required qualifications. Selection criteria shall include only those as stated in the notice seeking expressions of interest. Firms that expressed interest, as well as any other firm that specifically so requests, shall be provided the final short list of firms.

Sole-Sourcing of Consultants

Sole-sourcing of consultants does not provide the benefits of competition in regard to quality and price and lacks transparency in selection and should therefore be used only in exceptional cases. The use of this method must be justified in the context of the overall interests of JSIF and the project and may be appropriate only if it presents a clear advantage over competition.

In some circumstances, it may be advantageous to engage or continue with a specific firm which would continue from the feasibility study stage to the preparation stage and from preparation to the execution stage. If a firm has carried out pre-investment studies for an assignment and is technically qualified to undertake the preparation services, the advantages of continuity will be a consistency in basic technical approach and a commitment to the cost estimate on which the investment decision was based.

There may be circumstances where continuing with the same consulting firm may not be in the interest of the assignment. These include cases in which preliminary work is found to be unsuitable or where relations between the JSIF and the consulting firm have deteriorated to such an extent as to have a detrimental effect on the assignment. It is normal, therefore, to enter into separate contracts for preliminary assignments such as pre-investment and preparation work.

Contracts for more than one phase of work should allow for a detailed review or termination of the contract, if necessary, near the end of the initial phase. If a change of firms between phases is unavoidable, and as such a change may have a bearing on the legal liabilities of the original

and the new firm, the firm taking over should be given an opportunity to check and comment on the previous consulting work.

Further circumstances where it might be advantageous to approach a single firm rather than conduct a selection process would be where:

- the firm has a close association with a related/similar JSIF project;
- the firm has expertise not widely available; or
- a rapid selection is essential eg in an emergency operation
- the assignment is very small, taking into consideration the nature and complexity.

7.5.2 Receipt of Proposals

Objective:

Ensure transparency and objectivity in the process of receiving and opening proposals

Tasks:

- Contracting Officer ensures that the locked bid box is in place to receive all proposals
- JSIF officer with responsibility for receiving bids must mark all proposals with the time and date of receipt and ensure that the sealed envelopes are deposited in the locked bid box by the consultant prior to the deadline for submission. If proposals are delivered by courier and arrive before the stated deadline for submission of proposals, the JSIF officer notes the time and date of receipt on the outer envelope and deposits the sealed proposals into the bid box.
- Contracting Officer obtains bid box key from Finance & Administration Manager and opens bid box at the designated time for proposal opening in the presence of consultants who choose to attend the proposal opening.
- Contracting Officer returns all late proposals, unopened, to the respective consultants accompanied by an explanatory letter giving the details of the date and time of receipt.
- Only the technical proposals are opened. The financial proposals remain sealed until the evaluation of the technical proposal is completed.
- Minutes of the proposal opening are prepared by the Contracting Officer.
- Technical proposals are passed to the relevant Evaluation Committee.

Receiving of Proposals

JSIF shall allow sufficient time for consultants to prepare effective proposals, in accordance with the complexity of the engagement. The time allowed shall not be less than four weeks, except where the engagement is considered to be of minimal complexity. In such circumstances, the time allowed may be reduced commensurate with the relative simplicity of the assignment, but in no case less than two weeks **except** in the case of very simple assignments where suitably qualified consultants are being requested to submit a financial proposal only in which case the minimum time allowed shall be one week.

Conversely, the time allowed shall not exceed eight weeks, except where the engagement is considered to be exceptionally complex. In such circumstances, the JSIF may increase the

maximum time allowed to more than eight weeks commensurate with the relative complexity of the assignment, but in no case more than sixteen weeks.

The technical and financial proposals shall be submitted at the same time and no amendments to the technical or financial proposal shall be accepted after the deadline. To safeguard the integrity of the process, the technical and financial proposals shall be submitted in separate sealed envelopes. The technical envelopes shall be opened by the Contracting Officer/evaluation committee as soon as possible after the closing time for submission of proposals.

Consultants submitting proposals may attend the opening of the technical proposals if they so desire. However, the financial proposals shall remain sealed until the evaluation of the technical proposals is complete and the results of the evaluation has been approved by the Bid Evaluation Committee. Any proposal received after the closing time for submission of proposals shall be returned unopened.

7.5.4 Evaluation of Proposals

Objective:

Seeks to select the consultant best qualified for the assignment

Tasks:

- Each member of the Evaluation Committee reviews the technical proposal and assigns a score based on the scoring system detailed in the RFP.
- Contracting Officer presents technical scores to the Bid Evaluation Committee. Based on the selection method being used, the financial proposals are opened
- The selected consultant is invited to negotiate a contract.

Evaluation of Proposals

Where proposals have been invited from several firms/individuals, the evaluation process seeks to select the consultant/firm which, through the quality of its proposal, is deemed to be best qualified for the assignment. A secondary objective is to determine what changes, if any, in the firm's work plan or personnel should be discussed during negotiations.

The evaluation process should begin as soon as possible after receipt of all proposals, with the evaluation being carried out depending on the circumstances, by either an evaluator from the JSIF's Contracting Unit or an evaluation committee. In the case of **quality-based selection**, the technical proposal of all consultants are opened and evaluated. The financial proposal of the highest ranked consultant **only**, shall be opened.

In the case of **quality and cost based selection**, the financial proposals of all consultants whose technical proposals receive the minimum qualifying score, or above, shall be opened. The firm that is ranked highest, taking both quality and cost into consideration, should be invited to negotiate a contract to carry out the assignment.

In the case of **least-cost selection**, financial proposals of all consultants whose technical proposals receive the minimum qualifying score, or above, shall be opened. The consultant with the lowest price shall then be selected.

At the end of the evaluation process, the evaluation committee shall prepare an evaluation report of the quality of the proposals. The report shall substantiate the results of the evaluation,

including the relative strengths and weaknesses of the proposals. All evaluation records shall be retained for the period specified in the Procurement Procedures Handbook.

7.5.5 Contract Negotiation and Award

Objective:

To clarify issues related to the work plan, staffing, the JSIF's inputs and the form of proposed contract, and to negotiate the fees and other financial arrangements.

Tasks:

- The Bid Evaluation Committee appoints an officer or a committee to undertake negotiations with the consultant on behalf of JSIF
- Result of negotiations is presented to Bid Evaluation Committee for approval
- Based on the value of the contract, the award recommendation is sent to the PCC/Sector Committee, NCC, external funding agency keeping with the relevant rules (See Appendix B)
- Contracting Officer prepares the contract documents and arranges the contract signing.

Informing Unsuccessful Firms

After the evaluation of quality is completed, JSIF shall notify those consultants whose proposals did not meet the minimum qualifying mark or were considered to be non-responsive to the RFP and TOR, indicating that their unopened financial proposals should be collected.

Promptly after completion of negotiations with the selected firm the JSIF will notify the other firms who submitted proposals that they were unsuccessful.

Types and Provisions of Contract

There are several basic types of contract used for consulting services. The decision as to which type of contract will be adopted will be made prior to preparation of the RFP, and a draft of this contract should be included with the letter of invitation.

Conflicts of Interest

In many instances, consultancy assignments can involve potential conflicts of interest (e.g. when there are links between consultants and suppliers interested in downstream contracts). Therefore, **firms that provide consulting services** (together with their associates) **will, as far as possible, be excluded from participation in follow-up construction or supply of goods for the same project.** This condition will be outlined in all Letters of Invitation for consulting services. Also, a specific provision will be included in the consultant's contract.

When consultants are employed in assignments that will lead to follow-up services, special care will be taken to ensure that these services are designed to provide unbiased opportunities to all consultants interested in this work. Recommendations resulting from the original assignment will be carefully reviewed with this concern in mind.

7.6 PROCUREMENT OF NON-CONSULTANT SERVICES

These procedures apply to services which are bid and contracted on the basis of performance of a measurable physical output such as drilling, mapping, surveying, provision of micro-finance services and other similar operations. Procedures to be followed are as outlined in Section 7.2 to 7.4 above.

Objective

Ensure that the appropriate procurement method is used, bidding document are complete and include all technical information, and that queries and clarifications of bidding documents are appropriately handled.

Tasks:

- The Operations Manager forwards to the Contracting Officer, complete Terms of Reference (TOR) detailing the service to be procured and the budget.
- Contracting Officer creates contracting file for the sub-project
- Contracting Officer selects procurement method taking into account the nature and value of the contract and in accordance with the Procurement Methods outlined in Section 7.1.3
- Bidding opportunities are advertised or a shortlist of eligible consultants is selected and Expressions of Interest invited as is appropriate for the procurement method being used (See Appendix B)
- Appropriate Request for Proposals (RFP) is prepared including letter of invitation, TOR, information to consultants and the proposed contract.
- The JSIF shall issue Request for Proposals (RFP) to firms/individuals that express an interest in the bidding opportunity.
- Legal Officer receives from consultants, in writing, requests for clarification of information contained in the RFP, and in conjunction with the Operations Manager, prepares written responses to be issued to all consultants within seven days of receipt of the request (see Appendix B)
- JSIF may issue an addendum modifying Request for Proposals (RFP) at any time prior to the deadline for submission of bids.

The services of consultants are expected to be used primarily in the areas of sub-project design, sub-project supervision, training and capacity building of communities and Technical Assistance in relation to JSIF institutional support.

- Individual consultants are normally employed on assignments where:
- Teams of personnel are not required;
- No additional outside professional support is required; and
- The experience and qualifications of the individual are the paramount requirement for a

particular assignment

Where varied expertise is to be employed on a single assignment, coordination, administration and collective responsibility can become difficult and the engagement of a consulting firm may be more desirable. Individual consultants may also associate with each other to complement their respective areas of expertise for a particular assignment. JSIF shall not require consultants to form associations with any specific person, firm or group of firms, but where appropriate, may encourage association with other qualified persons/firms.

From time to time, personnel of a consulting firm may be available as individual consultants. In such cases, although the contractual agreement is normally with the firm to supply the named person, usually the individual himself/herself, and not the firm, is responsible for the quality of the work and, unless specified in the agreement and included as part of the cost, little or no head office professional back-up is expected.

7.5.1 Preparation and Issue of Request for Proposals

Where a number of firms/individuals are to be invited to submit proposals, the selection procedure and evaluation criteria to be adopted should be determined prior to inviting proposals and should be included in the letter of invitation.

The procurement of consulting services is usually done on a **quality basis** where the competence and experience of the firm and the personnel to be assigned, the quality of the proposal, and the client\consultant relationship are the principal factors in choosing a consulting firm. Where the proposed financial terms are also an important consideration in the selection process, a **quality and cost basis** (QCBS) will be used. The **least-cost method** may be appropriate in the selection of consultants for assignments of a standard or routine nature such as audits, engineering design of non-complex works etc. where well established practices and standards exist and the contract amount is small. JSIF maintains a list of pre-qualified consultants whose technical capability to perform such routine assignments would already have been assessed. These consultants are not normally required to submit technical proposals for each assignment.

The principal steps in the selection process are as follows:

- Preparing the assignment terms of reference;
- Preparing the cost estimate-the budget;
- Determining the selection procedure;
- Advertising for expressions of interest (if required based on the contract value)
- Preparing a short list of consultants;
- Preparation and issuance of the Request for Proposals (RFP) to short-listed consultants;
- Letter of Invitation (LOI)
- Information to consultants (ITC)
- Terms of Reference (TOR)
- Proposed contract.
- receiving of proposals;
- evaluation of technical proposals: quality considerations;
- evaluation of financial proposal;
- final evaluation of quality and cost and selecting a firm for contract negotiations;
- Negotiating a contract with the selected firm;
- approving authorities, and award of the contract to the selected firm.

Once the short list of consulting firms/individuals has been prepared, a Request for Proposals (RFP) is sent to each firm/individual. Information included in the RFP must be as complete as possible, not only to allow the consultant to prepare a fully responsive proposal, but also to help make all the proposals submitted comparable. The RFP should also include a clear indication of the selection procedure and evaluation method which the JSIF proposes to use. After proposals have been received, the JSIF should follow procedures consistent with those indicated in the RFP.

Clarification / Modification of the RFP

Consultants or service providers may request clarification of the information contained in the RFP. All such requests shall be submitted in writing. JSIF shall respond to any request for clarification within seven (7) days of receipt of the request. Responses shall be communicated promptly to all consultants to whom JSIF has provided the RFP, without identifying the source of the query or clarification request.

At any time prior to the deadline for submission of proposals, JSIF may for any reason, whether on its own initiative or as a result of a request for clarification, modify the RFP by issuing an addendum. The addendum shall be communicated promptly to all consultants to whom the JSIF has provided the RFP and shall be binding upon them.

If JSIF convenes a meeting of consultants for provision of responses to clarification requests, it shall prepare minutes of the meeting containing the requests submitted and its responses to those requests, without identifying the source of the requests. The minutes shall be provided to participating consultants within five (5) days of the meeting date, so as to enable them to take the minutes into account in preparation of their proposals for submission. Copies of these documents must be maintained in the record of the procurement.

7.7 Mobilization of contracts¹³

Objective:

- Ensure that where applicable, all requirements for the payment of a mobilization advance are fulfilled if the contractor/consultant/supplier requests such payment.

Tasks

- Acceptance Letter to successful bidder details the terms under which a mobilization advance will be paid to the bidder, in keeping with the tender documents.
- Legal Officer checks the mobilisation bank guarantee provided by the contractor to ensure compliance with JSIF's requirements.
- Legal Officer passes the mobilization guarantee to the Finance Officer or other designated Officer, for safekeeping.

¹³ Mobilisation payments are optional

7.8 Procurement for Institutional Support

Objective:

Procurement of goods and services to meet JSIF's day-to-day operating requirements

Tasks:

- Office Administrator using the appropriate procurement method requests quotations/bids for supplies, fixed assets and services, evaluates bids and selects the lowest evaluated bid.
- Based on value, Finance & Administration Manager and/or Managing Director reviews and approves transactions.

Motor vehicles for the use of JSIF must be procured using the appropriate procedure based on the value of the items. Bids are to be invited from firms having service facilities in Jamaica. Such procurement are usually subject to prior review by the funding agency or as specified in the respective agreements.

The procurement method for furniture and equipment will usually be limited tender based on value thresholds.

Procurement of **Technical Assistance and Training** is covered under procurement of consulting services.

Procurement of Managerial and Technical Personnel

In the JSIF, the services of certain agreed managerial and technical personnel are regarded as consultancy services and consequently, must be advertised nationally. Selection will be by interview. An evaluation of each short-listed candidate must be completed at the end of the interview process. Contracts for personnel at the managerial level and internal audit are usually subject to prior review of external funding agencies as well as the Public Sector Salaries Review Board of the Ministry of Finance.

Expenditure not Subjected to Procurement Rules

Some types of expenditure will not be subject to procurement rules e.g. rent, utilities, travel, salaries other than that for managerial and technical staff. Provisions have however been made for these types of expenditure to be subject to an agreed approval process. It is expected that prudent business practice will guide any such procurement decisions.

7.9 Review and Approval of Procurement

7.9.1 NCC Review

All procurements above the J\$4M must be referred to the NCC for approval of award recommendation. The NCC's review of contract award recommendations is facilitated through the operation of the Sector Committee. After approval of the Sector Committee of the award recommendation, this recommendation is transmitted to the NCC for approval. If the contract is for a value of J\$15M or greater, the recommendation must be forwarded for Cabinet approval subsequent to NCC approval.

7.9.2 External Funding Agency Review

Provisions will be made in individual funding agreements for external reviews to be also done. The type of review will be determined by a combination of value and other criteria and will include (a) reviews prior to the start of procurement activities and (b) reviews prior to contract award/signing, depending on the size and nature of the contract. Criteria established in relation to these reviews will be detailed in the funding agreements and procurement rules of the individual agencies.

Typically, the reviews to be done by funding agencies will involve one or more of the following:

- a review of procurement plans
- a partial review prior to contracting
- a full review prior to contracting
- a review at each step of the contracting process.

A full prior review involves the submission for review of all documentation maintained in relation to the procurement of consulting services e.g. approved budget, terms of reference, selection procedures, letter of invitation, evaluation reports, and contracts.

A partial prior review is limited to a review of related tender documents/RFPs prior to invitation of bidders.

External funding arrangements may also include provisions for full prior review and no objection prior to the start of procurement in each expenditure category in the funding agreement. Material modifications including a material extension of time, changes to or waiver of contract conditions or change order(s) which will in aggregate, result in an increase of more than 15% of the original contract sum are also subject to prior review..

A post review is done of all contracts which are not subject to prior review. A post review requires that promptly after signing the contract and before any application of withdrawal of funds related to the contract is made, the following documents are submitted to the funding agency:

- A copy of the contract.
- Analysis of respective bids, where applicable.
- Recommendation for award.
- Such other information as the funding agency may reasonable request.

7.9.3 Contract Documents

In determining the appropriate contract document, the type of supply, applicable procurement rules, delivery lead-time and requirements for deposits or mobilization payments are taken into account. The provisions of the contract selected must conform to prudent, generally accepted commercial practices and facilitate the meeting of the objectives of the JSIF.

The guidelines for determining the type of contract document to use are outlined below. The advice of the Legal Officer/Legal Counsel should be sought whenever standard provisions in formal contracts are to be amended or deleted.

Purchase Order

This will be used for:-

- The procurement of goods below JA\$1,000,000 (approximately US\$20,800) in value, for delivery in less than 90 days, and usually requiring no deposit.
- The procurement of services, other than that for technical assistance e.g. training, cleaning, equipment repairs, required in relation to JSIF's day-to-day operations.
- Motor vehicle and computer equipment for delivery in less than 30 days.

Simplified Sale of Goods Contract

Applicable to the procurement of goods below JA\$1,000,000 (approximately US\$20,800) for which delivery lead-time is more than 90 days and a deposit is required.

Standard Sale of Goods Contract

Applicable to the procurement of goods over JA\$1,000,000 (approximately US\$20,800).

Simplified Contract for Civil Works

For uncomplicated civil works below JA\$4,000,000 (approximately US\$83,300) in value, for completion in less than 120 days.

Standard Contract for Civil Works

For all civil works which cannot be covered under a simplified contract for civil works.

Sub-Contracts with Nominated Sub-Contractors

Under a contract for civil works, the JSIF may identify one or more nominated sub-contractors to carry out specialist work e.g. structural steel works, asphaltting, roofing, and fencing. Upon selection of both main contractor and nominated sub-contractor, both are required to enter into a suitable sub-contract, the terms and conditions of which should not be in violation of those of the main contract; retention periods may however differ. A copy of the signed sub-contract must be provided to the JSIF by the main contractor before the work of the nominated subcontractor commences.

Contracts for Consulting Services

A standard form of contract is to be used whenever the services of a consulting firm or individual consultant is being contracted for a fixed price. Although complex, time-based contracts are not expected to be entered into by JSIF, should a need arise to enter into one, the form of contract issued by the World Bank, with agreed modifications, should be used.

7.9.4 Review and Approval of Contracts

Contract Type	Review and Approval Responsibility
<p>Purchase Orders <i>For motor vehicles</i></p> <p><i>For computer equipment</i></p> <p><i>For sub-project procurement</i></p> <p>For all other procurement</p>	<p>Managing Director and Finance and Administration Manager.</p> <p>Any two of the following:- - Managing Director - Finance and Administration Manager - MIS Manager</p> <p>Any two of the following:- - Managing Director - Operations Manager - Finance and Administration Manager</p> <p>Two persons drawn from the following:- - Managing Director - Finance and Administration Manager -The relevant head of division with responsibility for the relevant budget line item - Other designated Officer</p>
<p>Formal Contracts for Sub-project Procurement</p> <p>Contracts up to J\$1M</p> <p>Contracts between J\$1M and JA\$3.99M</p> <p>Contracts over J\$4M</p>	<p>Reviewed and approved by the Bid Evaluation Committee and signed by the Managing Director</p> <p>Reviewed and approved by the Procurement and Contracts Committee (PCC) and signed by a Board Member</p> <p>Reviewed and approved by the full Board of Directors and the NCC and signed by a Board Member</p>

Formal Contracts Related to Institutional Support	
Procurement of fixed assets and technical assistance under J\$4M	Reviewed by the PCC and signed by Managing Director
Procurement of fixed assets and technical assistance over J\$4M	Reviewed by the PCC and the NCC and signed by the Managing Director
Employment of management personnel	Reviewed by the Board of Directors or Managing Director and signed by Managing Director or other Board Member
Employment of non-management personnel	Reviewed and signed by the Managing Director or Finance & Administration Manager

7.9.5 Special Review and Approval Requirements

Special reviews and approval are required in the situations outlined below.

a) Material contracts

Contracts entered into by the JSIF, which remain in force for a period in excess of 12 months, and create or may create a material liability, must be outlined in the Managing Director's report for the month in which the transaction was done, or the existence of a contingent liability became evident.

b) Material modifications to contract

Change orders which alone or in aggregate result in an increase in the contract sum of a formal contract by 10% or more, must be reviewed and approved by the PCC or the full Board where such contract was originally subject to PCC/Board approval. Material extensions of time or changes or waivers of contract conditions must be reviewed and approved by the PCC or the full Board.

d) Sub-projects for emergency rehabilitation

These should be approved by a Board committee or the full Board. Discretion may be exercised by the Managing Director after taking into account meeting dates and the urgency of the situation.

7.9.6 Negotiation of Bid Price

All bids shall not be rejected and new bids invited on the same bidding documents solely for the purpose of obtaining lower prices. If the lowest evaluated responsive bid exceeds the JSIF's pre-bid cost estimates by a substantial margin, the JSIF shall investigate causes for the excessive cost before requesting new bids.

Alternatively, the JSIF may negotiate with the lowest evaluated bidder to try to obtain a satisfactory contract through a reduction in the scope and/or reallocation of risk and responsibility which can be reflected in a reduction of the contract price. (However, substantial reduction in the scope or modification to the bidding documents will require re-bidding)

Only when these negotiations fail should negotiations proceed with the next most favourably placed bid, and so on in an endeavour to obtain a satisfactory contract.

The basis of negotiations and any agreements made shall be fully documented by the JSIF.

In conducting such negotiations, JSIF's guiding principle must be to ensure that the confidentiality and fairness of bidding is preserved and that no bidder is given an unfair advantage over others.

7.9.7 Directory of Contractors and Suppliers

The JSIF will refer to the NCC register of contractors for all procurement of goods and works for sub-projects. The register will indicate the area of activity in which the contractor is registered to work and the value of contracts that may be undertaken by him. Invitations to tender will clearly state the category and grade in which contractors must be registered.

JSIF will also maintain a directory of all Contractors/Suppliers previously used including evaluation scores for these Contractors/Suppliers for previous jobs done for JSIF.

7.9.8 Directory of Consultants

Consultants interested in the activities of the JSIF are encouraged to indicate their expressions of interest in working with the JSIF by providing pertinent information on JSIF forms including information relating to their technical competence, experience, and staff (if applicable).

This information will eventually be incorporated into the JSIF's Directory of Consultants which will be used:

- within JSIF to identify a consultant for an assignment or to prepare a short list of firms to be invited to submit proposals;
- to assist Project Sponsors in selecting consultants.

JSIF will evaluate and record the performance of consultants who are listed on its directory and are/have been engaged in JSIF funded contracts for provision of professional services.

7.9.9 Record Keeping

In addition to overall data on numbers, types, values and dates of contracts awarded and names of awardees, procuring organizations should maintain for all contracts, a record which includes, inter alia:

- Public notices of bidding opportunities
- Bidding documents and addenda
- Bid opening information and all subsequent correspondence between bidders and JSIF

- Bid evaluation report
- Formal appeals by bidders and outcomes
- Signed contract documents and addenda and amendments
- Records on claims and dispute resolutions
- Records of time taken to complete key steps in the process
- Comprehensive disbursements data (as required by the country's financial management system).

8. Financial Management and Audit Procedures

8.1 General Procedures

JSIF is the executing agency for various loan and grant agreements between the Government of Jamaica (GOJ) and external agencies. Through a mix of GOJ counterpart funding and financing from these multi-lateral and bi-lateral agencies, JSIF will be capitalized to the agreed amount.

Operating Expenses

All salaries and wages as well as the cost of vehicles, equipment and other overheads form part of JSIF's operating expenses. Operating Expenses will normally be funded by the GOJ or as otherwise agreed with each funding agency and in keeping with the allocations in the loan/project agreements.

Project Expenses

This comprises all costs directly related to the implementation of JSIF sub-projects in keeping with the allocations in the loan/project agreements.

The Finance & Administration division is responsible for managing all the financial functions of JSIF

8.2 Finance and Administration Division

8.2.1 Functions of the Finance and Administration Division

The Finance and Administration Division has overall responsibility for managing the finance function for JSIF operations and all projects implemented by JSIF, including overall management of funds, ensuring compliance with relevant terms and conditions of funding agreements.

The primary objective of the Finance and Administration Division is to ensure that all resources are used effectively and efficiently in achieving JSIF mandate. Its primary responsibilities are to:

- establish and maintain procedures for the management of JSIF and the projects it implements;
- maintain the established Financial Management procedures;
- maintain the established financial management systems;
- prepare annual budgets, financial statements (monthly, quarterly and annually) and analyses and annual reports;
- carry out the payroll function;
- monitor expenditure;
- seek the relevant approval of budget revisions when necessary;
- secure assets and other financial resources;
- ensure that financial policies and procedures are adhered to;
- assist in the financial management evaluation, capacity building and supervision of community based organizations;
- periodically review insurance coverage of the assets and ensure adequate coverage of all risks is in effect;
- assist in the development and maintenance of appropriate working procedures for various functions of the accounts section.

The Finance and Administration Division assists other divisions by:

- providing management information to assist with decision making;
- carrying out financial feasibility studies into proposed in-house projects;
- carrying out cost/benefit analyses to guide decisions when selecting the best alternative;
- acting as a trigger when corrective action is needed in the areas of financial management;
- monitoring and safeguarding assets and other resources; and
- being innovative and proactive when making recommendations.

The Accounting Department is limited by its powers as delegated by the Managing Director in keeping with the JSIF Articles and Memorandum of Association.

8.2.2 Conduct of the Finance and Administration Division

1. The Finance and Administration Manager should segregate duties so that no one person has complete control over all aspects of a financial transaction in order to minimize risks, fraud, errors and omissions.
2. The Finance and Administration Manager should take steps to preserve the integrity of the Division by virtue of the conduct of staff.
3. The custody of JSIF funds remains the responsibility of the Finance and Administration Manager.
4. All reconciliations must be signed by the Finance and Administration Manager to indicate approval.
5. Adequate back up facilities should be in place to secure data from:
 - disasters, both natural and man made, and
 - corruption.

8.3 Accounting Principles and Practices, and System

8.3.1 Accounting Principles and Practices

JSIF conducts and performs all business transactions and reporting to conform to international standards unless otherwise dictated by policy. Its financial records contain and summarize data that is useful for information and reporting purposes.

Vouchers are used to:

- Transfer funds and make payments;
- Claim reimbursements;
- Process sales to employees;
- Make corrections and adjustments to accounting entries; and
- Approve invoices for payment.

Project Accounting – A project is an accounting entity with a self-balancing set of accounts for recording assets, liabilities, fund balances, and changes in fund balances. Separate accounts are maintained for each project.

Basis of Accounting – In keeping with the method used by the Government of Jamaica, JSIF uses the cash basis of accounting. Revenue is recognized when both of the following conditions are met: a. Revenue is earned; b. Revenue is realized. Revenue is earned when products are

delivered or services are provided. Realized means cash is received.. Expense is recognized in the period in which it is paid.

Substance Over Form – transactions should reflect the reality of the situation by disclosing who bears the significant risks and rewards of ownership. This ensures that the financial statements show a true and fair view of JSIF’s state of affairs.

Financial Statements – JSIF produces reports on a monthly, quarterly and annual basis to inform key stakeholders of the financial health of its operations. The list of reports to be prepared is presented in section 8.7.1 below.

Additional Reports – Ad hoc reports may be prepared to provide valuable information and assistance to the user at the request of the Managing Director or the Board.

Currency is the Jamaican dollar unless otherwise stated.

8.3.2 Accounting System

The accounting system is designed in order to account for and report on projects being implemented by JSIF indicating the source of funding for each project.

The chart of accounts allows for such reporting. The account number is divided into three segments. Six digits for segment 1, two digits for segment 2 and two (2) digits for segment 3. The first three digits of Segment 1 are used to identify the type of expenditure, eg road rehabilitation. The second three digits of Segment 1 identify a particular sub-project or sub category of expenditure. Segment 2 is used to identify the funding agency. Segment 3 is used for identifying the relevant JSIF department or cost centre.

XXXXXX - XX - XX
Seg 1 - Seg 2 - Seg 3

For eg. 917001-02-74,

The first three digits in segment one represent the sub-project type “Education - equipment”. The second three digits in segment one identifies the specific sub-project as the first sub-project under the NCDP.

The second segment “02” identifies that the project expenditure is funded by GOJ counterpart funds and third segment “74” identifies the expenditure as relating to projects in Supervision under the Operations Department.

8.3 Budget

8.3.1 Annual budget

The Annual Consolidated Revenue and Expenditure Budget for JSIF is a monetary quantification of its intentions for the specified period. When approved by the Board, the Revenue and Expenditure Budget is JSIF’s authority, and consequently, the authority to Unit Heads to transact business in a manner that is consistent with its approved plans.

The Revenue and Expenditure Budget is a consolidation of each project budget and the budget of the JSIF operational overheads. It is revised to best represent the priorities of the institution as a whole.

JSIF prepares management accounts on a monthly and quarterly basis as a means of exercising control; and to inform the various Unit Heads of their level of efficiency in the use of the resources that have been allocated to them. By employing the necessary analytical tools such as, variance analysis and trend analysis, the Finance and Administration Division is able to monitor cost efficiency and its consequent effect on the human resource element, to recommend ways for improvement and take swift remedial action where adverse deviations occur.

The following documents are collated in the budgetary process:

- Revenue and Expenditure Forecasts for each project implemented by JSIF
- Revenue and Expenditure Forecast for JSIF's operations which are not directly project related based on the approved Work Plan for the particular period and its administrative expenditure.

8.3.2 Budget process

1. A Consolidated Revenue and Expenditure Budget will be prepared on an annual basis for submission to the Board for the next twelve (12) month period beginning April 1. It presents separately for JSIF's operational activities and each project and in a consolidated manner the revenues and expenditures forecasts.
2. Each Unit Head at JSIF shall prepare an estimate of expenditure for the year by mid September. The estimate of expenditure should be a prudent approximation of expenditure that is based on the level of activity and/or project requirements, with supporting evidence, as envisaged for that department.
3. Each Project Manager shall prepare an estimate of expenditure for the ensuing year by mid September. The estimate of expenditure should be a prudent approximation of expenditure that is based on the level of activity, the absorptive capacity of the implementing entities, and/or project requirements, with supporting evidence.
4. The Finance and Administration Manager should make inquiries into those projections to test their reliability.
5. The Finance and Administration Manager should prepare a draft annual budget for revenue and expenditure by 31st October each year.
6. The Draft Consolidated Revenue and Expenditure Budget:
 - i. should be prepared with last year's comparatives.
 - ii. shall be presented in the format specified in Annex 53.
7. The Draft Consolidated Revenue and Expenditure Budget should include a contingency allowance to absorb unavoidable price increases such as for inflation as guided by the Ministry of Finance.
8. The Draft Consolidated Revenue and Expenditure Budget shall be submitted to the Managing Director by mid November for review.

9. The revised Draft Consolidated Revenue and Expenditure Budget shall be presented to the Board of Directors for deliberation and adoption by the date of the December Board Meeting.

8.3.3 Availability and use of budgetary resources

1. The distribution of budgetary resources must not compromise the liquidity of JSIF and should be done in an equitable and systematic manner.
2. Budget appropriations should be used only for the intended purpose.
3. The use of budgetary resources should be closely monitored by all Unit Heads and should be properly accounted for.
4. Budget overruns should be reported immediately to the Managing Director, and proper documentation should be submitted to the Board for consideration when requesting additional resources.

8.3.4 Budget revisions

For the purposes of budget review and control, the Finance and Administration Division must balance between the need to work within the limits approved and the need for management flexibility in dealing with changes as they occur. Budget revisions are not allowed from or between restricted project accounts.

Re-allocation among expenditure categories as detailed in loan or grant agreements are subject to approval of the funding agency.

1. Budget provisions may be reallocated among line items. However, a distinction will be made between capital and recurrent expenditure.
2. The Managing Director may approve the reallocation of funds among capital expenditure line items where:
 - the amount to be reallocated does not exceed fifty percent percent of the initial provision for the item being reduced or,
3. The Board may approve a budget revision request for capital expenditure where:
 - the amount to be reallocated exceeds fifty percent of the initial provision for the item being reduced or,
4. The Managing Director may approve the reallocation of funds among recurrent expenditure line items where:
 - the amount being reallocated does not exceed fifty percent of the initial provision for the item being reduced or,
5. The Board may approve a budget revision request for recurrent expenditure where:
 - the amount being reallocated exceeds fifty percent of the initial provision for the item being reduced or,
6. There shall be no reallocation of funds between capital and operating items.
7. For the purposes of re-allocation among line items, salary expenses shall not be considered as part of operating expenses.

8. All proposed salary adjustments must be consistent with what obtains in the Salary Administration Programme approved by the Board.

9. Any proposed addition to capital or operating expenditure that will affect the total expenditure beyond the contingency allowed, will require that a budget revision request be prepared for the approval of the Board.

10. All approved budget revisions shall be reflected in the financial statements produced thereafter.

11. All approved budget revision requests shall be kept on file with the original budget as approved by the Board, and will form a part of that budget for the official record.

8.4 Cash Management

8.4.1 Operation of Bank Accounts

The JSIF typically maintains two types of bank accounts:

Special Accounts - in US Dollars, opened with the approval of the Ministry of Finance as agreed in the respective loan/grant agreements and used to receive the advance disbursement from each lending/donor agency, for use exclusively to finance that agency's portion of eligible expenditures.

Project Accounts – used to 1) receive GOJ funds to finance their portion of eligible project expenditure and 2) facilitate payment in local currency of eligible expenditure to be funded from the Special Account

The operation of the GOJ Project account is subject to the Financial Administration and Audit Act and will be replenished under the warrant system of the GOJ. All amounts received by JSIF in respect of proceeds of sale of fixed assets or any other receipts which are not project-related, will be deposited in the Project Account and be remitted to the Consolidated Fund at the end of each month.

Project Trust Account - used solely for the receipt and disbursement of funds from sub-project sponsors, beneficiaries or other donors. Receipts are held in trust pending use of the funds on a specific sub-project, or in some other manner agreed. Disbursements from this account should be limited to reimbursements of the Project Account or refunds to donors, where appropriate.

The GOJ should be informed of all accounts opened. The GOJ should also be informed of all movement of funds.

Establishment of Accounts

JSIF is responsible for the selection of a depository bank, typically a commercial bank, in which it will maintain accounts. Accounts will be opened in keeping with the requirements of the loan/grant agreements and the Ministry of Finance guidelines.

Authorized signatures

Each account usually has six authorized signing officers - three from the JSIF and three from the Ministry of Finance. Any two of these officers may authorize withdrawal from the account unless varied by specific instructions to the relevant commercial bank.

The persons from the JSIF who are authorized to sign on the accounts are:

- Chairman
- Managing Director
- Finance & Administration Manager or Project Manager

The persons authorized to sign on behalf of the Ministry of Finance are:

- Financial Secretary
- Deputy Financial Secretary
- Director

The specific signatories will be named at the time of establishment of each account. The Managing Director of the JSIF should provide the Ministry of Finance with a list of the names of the signing officers and copies of their authentic specimen signatures. This list should be updated promptly whenever changes are necessary.

8.4.2 Operation of Special Accounts

Drawdown of Special Account Authorized Allocation

Objective:

Ensure that available funding advance approved in loan/grant agreements is received by JSIF.

Tasks:

On completion of the relevant conditions precedent to the initial drawdown of funds the Special Account is to be opened by JSIF and the funding agency advised accordingly.

The Finance & Administration Manager prepares a request to the funding agency for a first deposit of the agreed advance or portion thereof in the required format. Supporting documents required for this and further draw-downs up to the limit of the authorized allocation will be as indicated in the relevant provision in the Loan Agreement and disbursement guidelines of the funding agency.

Application forms should be numbered sequentially, the first application being assigned number "one".

The application should be approved by the Managing Director and two copies submitted to the Ministry of Finance for approval by the authorised signatory from the Ministry.

The Finance and Administration Manager should follow-up on the application sent to the Ministry of Finance, and recover the signed documents.

One copy of the application is to be forwarded to the funding agency by courier, registered mail or diplomatic pouch. The other copy is to be placed on the JSIF application file for the relevant funding agency.

The date of submission of the application should be noted on the file copy.

The funding agency will approve the application and transfer the funds electronically to the Special Account

Receipt and Accounting for Authorized Allocation

JSIF must ensure that funds received from funding agencies match amounts requested and are properly recorded.

The Financial Analyst will reconcile amounts received with the application amount and query any differences.

The Finance Officer makes the appropriate entry to record funds received and any related bank charges in the General Ledger

The funds must be reflected in the financial statements for the period in which they are received.

Replenishment of Special Account

Objective:

To ensure that funds are requested on a timely basis to facilitate disbursements as required.

Tasks:

- Replenishment application should be submitted at monthly intervals, or whenever the amount to be replenished exceeds 20% of the Special Account balance, whichever occurs first.
- The Finance Officer will compile all the relevant documentation and complete a funding agency application form for the replenishment amount and assign the next sequential number
- The Finance and Administration Manager will check the application and supporting documents.
- Replenishment applications must include a copy of bank statements for the Special Account, a Special Account bank reconciliation statement, as well as other appropriate supporting documents as required by the funding agency.
- The Finance Officer should complete the Funding agency Special Account reconciliation form for submission with the application. This is to reconcile the authorized allocation by the Funding agency to the balance on the Special Account bank statement.
- Summary Sheets and /or Statements of Expenditure (SOEs) detailing each item of expenditure paid from the Special Account are typically required to be submitted along with replenishment applications. Other supporting documents may include copies of contracts, invoices and cancelled cheques or other evidence of payment.

- Where the funding agency does not require the submission of supporting documents along with the SOEs, these should be readily available to facilitate audit by the funding agency's representatives

Box 28: Preparation and Approval of Withdrawal Application

Procedure	Responsibility
Prepare application and support documents	Finance Officer/Financial Accountant
Check application & support documents in detail	Finance & Administration Manager
Approve Application and support documents	Managing Director
Copy of Application placed on file	Finance Officer/Financial Accountant
Submit application and support documents to Ministry of Finance	Finance & Administration Manager
Approve Application and support documents	Ministry of Finance
Retrieve signed Application	Finance Officer/Financial Accountant
Dispatch Application to Funding Agency	Financial Controller

Withdrawal of Funds From Bank Accounts

Objective:

- Ensure that funds are utilized from the correct funding agency account to cover eligible expenditures.
- Ensure that all withdrawals from bank accounts are approved by two authorized signing officers.
- The Ministry of Finance is advised on a monthly basis of withdrawals made from special accounts.

Tasks:

- Operations and Administration submit contractor/consultant payment certificates and invoices to the Finance Dept. for payment
- Finance Dept. checks certificates and invoices to ensure proper approval.
- Finance Dept. checks certificates and invoices against contracts or purchase orders to ensure validity and accuracy of payment request.

- Finance Dept. enters the transaction into the accounting system and prepares cheque.
- Cheques and support documents are presented to two authorized signatories for signature.

Box 29: Approved Withdrawals from Special Account

Payments to local suppliers in local currency

Payments to local suppliers in foreign currency for goods supplied from outside the country

Payments to overseas suppliers in foreign currency

Withdrawal from Special Account for foreign payment by draft

Objective:

- Ensure promptness and accuracy of payments to be made by draft

Tasks:

- The Finance and Administration Manager should prepare a letter instructing the bank to prepare a US dollar draft to cover the payment and to debit the Special Account with the amount. Such letter shall be signed by any two of authorized signatories.
Information included in the letter:
 - Special Account number to be debited
 - Payee of draft
 - US dollar amount to be paid
 - Date of letter
- On receipt of the draft the Finance Officer, enters it into the cheque register.
- The Finance Officer enters details of the transaction in the accounts payable system using the J\$ equivalent of the foreign currency amount paid converted at the rate of exchange on the date of payment.
- The draft is sent by registered mail or courier to overseas supplier, accompanied by a letter addressed to the contractor/ supplier, making reference to the draft and giving details of payment including invoice numbers if applicable. It should also request that the supplier/contractor confirm receipt in due course.
- The air waybill or registered mail slip along with a copy of the draft and cover letter is filed on the supplier /contractor file.

or

- The draft is passed to the cashier if it is to be collected. The payee or authorized person collecting the draft must show proper identification, such as passport, driver's license, or government I.D. The cashier will note the date and time collected in her book and request that the person sign to confirm receipt. The draft should not be released to any person other than the payee unless the payee gives instruction in writing.

Withdrawal from Special Account for foreign bank transfer

Objective:

- Ensure promptness and accuracy of payment to be made by bank transfer

Tasks:

- The Finance and Administration Manager prepares a letter instructing the bank to transfer the US dollar amount to the relevant overseas account and debit the relevant Special Account.

Information included in the letter:

- i) Special Account number to be debited
 - ii) Payee of draft
 - iii) US dollar amount to be paid
 - iv) Date of letter
 - v) Name, address & ABA No/Sort Code of foreign bank
 - vi) Payee's bank account number
 - vii) Special instructions, if any
- The original letter is delivered to the bank and followed up by the Finance Officer.
 - Confirmation of transfer should be obtained from the bank in writing by the Finance Officer and put on the supplier/ contractor file.
 - The Finance Officer enters details of the transaction in the accounts payable system using the J\$ equivalent of the foreign currency amount paid converted at the rate of exchange on the date of payment

Withdrawal from Special Account for local payment

Objective:

- Ensure that funds are transferred from Special Account to Project Account on a timely manner to meet local payments.

Tasks:

- The Finance and Administration Manager prepares a letter instructing the bank to transfer JA\$ amount to the project account of the relevant funding agency and debit Special Account with the US dollar equivalent of payments to be made
- Letter is signed by any two of the authorized signatories.

Information included in the letter.

- i) Special Account number to be debited
- ii) Project Account to be credited
- iii) J\$ amount to be paid
- iv) US\$ amount and exchange rate
- v) Date of letter

or

- The Finance and Administration Manager prepares a letter instructing the bank to prepare a US\$ draft for the equivalent of the J\$ amount if the funds are being sold to another financial institution other than the one in which the Special Account is held.
- The Finance Officer arranges to collect a managers cheque for the J\$ amount from the institution to which the US\$ are being sold and deliver the US\$ draft in exchange.
- The Finance Officer lodges the J\$ cheque to the Project Account immediately.
- The Finance Officer files a copy of the letter along with a copy of the Accounts Payable edit list detailing the items to be paid.

Box 30: Accounting for withdrawal for local payment

Local payments are made by cheque through a project account

Invoice details and expense account to be debited entered in Accounts Payable system and edit list printed

Financial Officer checks edit list for accuracy and completeness

Information is posted in Accounts Payable system

Accounts Payable stamp is affixed to Invoice, voucher and account numbers entered and initialed by preparer and Financial Officer who checks that:

Cheque is printed

Cheque is signed by two signatories

Copy of signed cheque and supporting documents filed in vendor file

8.4.3 Operations of GOJ Project Account

Replenishment of GOJ Project Account

Objective:

- Ensure that funds are requested from GOJ on a timely basis to meet GOJ funding commitment.

Tasks:

- Finance & Administration Manager submits quarterly cash flow to Ministry of Finance (MOF) and requests disbursement from approved budget
- MOF approves request and prepares cheque
- Finance Officer collects cheque and prepares receipt in relevant pre-numbered receipt book immediately
- Finance Officer lodges the cheque promptly to the JSIF Project Account – not later than the next working day
- Finance Officer makes the necessary entries to record the funds received in the GL. All funds received must be reflected in the financial statements for the relevant period.

Box 31: Replenishment of advances for lender/donor agencies

Where funds are advanced by the Ministry of Finance specifically to cover expenditure to be paid by other lender/donor agencies, these funds should be reimbursed to the Consolidated Fund as soon as JSIF is reimbursed by the lender/donor agency.

Payment should be effected by cheque payable to the Accountant General. A cover letter should accompany the cheque giving clear explanation of the nature and composition of the amount and a request that the amount be credited to the Consolidated Fund.

Replenishment of GOJ Project Account - Warrant System

- Ministry of Finance makes annual "Budget Call"
- Finance & Administration Manager prepares budget for next financial year. The budget should indicate all expected sub-project and institutional support expenditure and the relevant sources of all funding.
- The budget is to be reviewed and approved by the Managing Director and subsequently presented to the Finance & Audit Committee of the JSIF Board of Directors for further review and final approval.
- Once approved by the Board, the budget is submitted to the Ministry of Finance for discussion.
- A representative from the JSIF will participate in discussions and negotiation of the budget with the Ministry of Finance to determine a final budget for the JSIF for inclusion in the Annual Estimates of Expenditure for presentation to Parliament at the start of each financial year.
- The Finance and Administration Manager prepares an implementation plan and projected cash-flow statement at the start of each quarter covering the needs of the JSIF for the period

- Plan and cash-flow is submitted to the Ministry of Finance for approval
- The Ministry of Finance will issue quarterly warrants indicating the amounts and timing of disbursements to be made to the JSIF out of the Consolidated Fund by the Accountant General.
- The amounts on each warrant will comprise the GOJ's contribution to the JSIF and where relevant, an advance of the Jamaican dollar equivalent of funding expected from international lending/ donor agencies.
- As the amount on each warrant becomes due, the Finance and Administration Manager should follow-up with the Ministry of Finance for receipt of the cheque for the amount approved.

8.4 Operation of petty cash float

Objective:

- Operate two petty cash funds of five thousand Jamaican dollars (J\$5,000) each on the imprest system
- Expedite acquisition of low value/frequently purchased items which are vital for the smooth and efficient functioning of daily activities, e.g. gas, stationery, commodities, etc.
- Permit a commitment to expenditure from the Project Account at the lower level of authorization, excepting that of the Finance and Administration Manager.
- Funds are adequately safeguarded and accounted for.

Tasks:

- Custodian receives cash to maintain float.
- Officers will make requests to Custodian for cash to pay for transactions up to a limit of J\$1,000.
- Petty cash voucher is prepared and submitted for approval
- Requests for reimbursement should be made to the Finance and Administration Manager on a periodic basis in order to maintain the float. This request shall be accompanied by a reconciliation statement and supporting documents showing the utilization of the previous JA\$5,000.

Box 32: Petty Cash Controls

Cash must be kept in a locked cash pan and the key secured by the Custodian

Duplicate key is kept by Finance & Administration Manager

Pre-printed petty cash vouchers and pads are used

Safe-guarding of the fund, rests solely with the Custodian, who will be required to reimburse the appropriate account for any shortages which may occur

Overages, if material, are to be investigated and funds lodged to the project account

Approval of petty cash vouchers must be evidenced by appropriate signature

Person receiving cash must sign voucher

Invoice and/or receipt must be attached to voucher

Voucher must be dated

Reconciliation statement must be prepared for submission with each request for replenishment

Box 33: Petty Cash Rules

Limit of \$1,000 per expenditure.

Purchase order requirements must be satisfied and submitted by the custodian in the same way as if a direct cheque disbursement was to be processed. Funds for field trips will usually be disbursed to drivers on an advance basis and must be accounted for on the following working day.

Where necessary, evidence of bids/price checks/quotations, etc. must be submitted by the custodian before cash is disbursed - in the same way as if a direct cheque disbursement was to be processed.

Written approval must be given on all petty cash vouchers, before the custodian is authorized to release the cash for payment, by one of the following:

- i) Managing Director
Finance and Administration Manager
Operations Manager
HR Manager
Office Administrator
Financial Accountant/Finance Officer

e) All petty cash vouchers must be accompanied by any or all of the following supporting documentation:

- i) Purchase order if applicable
- ii) Evidence of bids/quotations/price check if applicable
- iii) Pro-forma invoice, if available
- iv) Supplier's cash sales invoice or duly authorized receipt for cash
- v) Any other documentation as per guideline, now required for cheque disbursement under the disbursement rules
- vi) Purpose for which the expenditure is required
- vii) Written evidence of approval
- viii) Petty cash voucher signed by recipient

After the purchase is completed - the relevant petty cash voucher and all supporting documentation should be effectively canceled - i.e. stamped paid and dated.

8.4.5 Cheques issued

- All cheques issued must have two signatures.
- All cheques must have as one signatory the Managing Director or the Chairman of the Board or the Ministry of Finance Representative.
- Cheques being delivered or mailed must be recorded in the "Cheque Disbursement Book" before dispatch.
- The Cheque Disbursement Book will serve as the first piece of audit trail when evidence of due diligence is being sought for unrepresented cheques.
- Requisitions for new cheque books from the banks or for the printing of new cheque leaves should be made by the designated signatories to the account to allow sufficient time for the replenishment.
- A log of cheque sequencing must be maintained.
- All payments must be processed through the accounting software.
- Unused cheques and partially used cheque books must be locked in a safe at the end of the work day.
- Where a cheque book or blank cheque leaf is lost, the bank must be notified immediately.
- Where a cheque is reported lost or stolen before clearing the bank, the bank must be called immediately and then instructed, in writing, to stop the cheque.
- The debt should be re-instated in the accounting records and the supplier should be notified of JSIF intended action.
- The Finance and Administration Manager should authorize the preparation of a replacement cheque to the supplier.
- The affected invoice (s) should be altered to indicate that the cheque recorded on its face has been stopped, and the date and number of the replacement cheque should be added.
- The counterfoil of the stopped cheque should be amended to record 'STOPPED' and the date on which this occurred.
- The replacement cheque should be sent to the supplier with the necessary supporting documentation.
- Counterfoils of cheque books must be preserved for reference for the statutory period and exhausted cheque books must be kept in safe storage.
- When a cheque is spoiled it must be amended to record 'CANCELLED', affixed to the counterfoil and retained in the cheque book.

8.4.6 Unpresented cheques

- Cheques that have not cleared JSIF bank accounts after six months of being issued will be deemed stale dated, and will not be honoured by JSIF's bank.
- Consequently, such cheques will be made void in the accounting records and will no longer appear on the list of unpresented cheques or payables listing.
- Bank drafts that have not cleared the bank will be honoured whenever presented accordingly, JSIF should follow up with the payee of any outstanding draft with a view to having it presented at an early date.

8.4.7 Procedures for unpresented cheques

- As part of the management accounting process, a report should be generated on a monthly basis, listing pertinent details of cheques voided and supplier accounts unsettled as a result. The Finance and Administration Manager should review this report to

ascertain its accuracy, especially in terms of indebtedness, as netting off may have occurred.

- Once the Finance and Administration Manager has established the accuracy of the report in (1) above, she/he then proceeds to write to the creditor to verify that the information held in JSIF database on the subject is accurate. This letter should request that the creditor certify that the cheque or bank draft was not received, for payments that are material.
- Should the letter in (2) above be certified by the creditor, the Finance and Administration Manager then gives approval for the cheque or draft to be re- issued.
- Should the letter in (2) be returned bearing the postmark "Return To Sender", the Accountant must keep this envelope as evidence of carrying out the due diligence process.
- The Accountant should make a second attempt at locating the creditor by registering the letter. This registration will serve as further evidence of carrying out the due diligence process, which is pivotal in preventing interest from accruing, should the creditor decide to sue JSIF.
- For an overseas creditor, the Accountant should take a further precautionary measure of attaching an "Advice of Receipt/Delivery/Payment/Entry Card" to the registered letter. This precaution will serve as further evidence of carrying out the due diligence process, which is pivotal in preventing interest from accruing, should the creditor decide to sue JSIF.

8.4.8 Cheques cashed

- The Finance and Administration Manager is ultimately responsible for the security and disbursement of all cheques cashed for the business of JSIF (i.e for petty cash, purchase of stamps or other payments where service providers require cash payments). Further, the Finance and Administration Manager is responsible for establishing that such cheques cashed have been used for their intended purpose. Cheques cashed should be properly recorded in accordance with applicable policies and procedures.

8.5 Bank Reconciliation

Objective:

- To ensure that all transactions on the bank accounts are properly accounted for and are bona fide, fully supported and cleared on a timely basis.

Task:

- Within 10 working days of the end of each calendar month, the Finance Officer should obtain the bank statement for each bank account covering the previous month and reconcile it to the books of the JSIF.
- This includes tracing all expenditures on the bank statement to the JSIF cashbook, accounting for interest income and charges included on bank statement but not in cashbook, and investigating and rectifying any discrepancy between the bank statement and the JSIF records.

- After each account has been reconciled a reconciliation statement along with a listing of outstanding cheques and deposits should be passed to the Finance and Administration Manager or designate for approval.
- The Finance and Administration Manager or designate should check the reconciliation statement and if satisfied with it, should approve the statement and return it to the Finance Officer for filing.
- The Finance Officer should file the reconciliation statement by date order. The bank statements and cancelled cheques should also be filed in date order.

8.6 Payroll administration

Objective:

- Ensure that all relevant information for new employees is entered into the payroll system.
- Salaries are processed accurately and timely
- Ensure that salaries reach to the employees' bank account by the 25th of each month or earlier if the 25th is not a working day
- Payroll transactions are accurately recorded in the General Ledger

Tasks:

- The Human Resource Officer assigns an employee number to each new employee and sends salary and other payroll related information to the Finance Officer
- The Finance Officer enters information into the payroll computer system along with information regarding personal deductions that may be supplied by the employee
- The Finance Officer will run the payroll each month and print the payroll register
- The Finance and Administration Manager checks and approves the payroll register
- The Finance Officer prepares a letter to the bank requesting transfer of funds to employees' accounts. The letter is checked by the Finance & Administration Manager and signed by two signatories to the bank account
- The Finance Officer will print pay slips for each employee and distributes them.
- The Finance Officer makes the appropriate journal entries to record the payroll transactions in the General Ledger each month
- Whenever an employee leaves JSIF his/her payroll account is made inactive and kept on the system until the end of the year

Box 34: STATUTORY RETURNS**Monthly Returns**

Finance Officer prepares all the relevant monthly statutory returns by the end of the month

Finance and Administration Manager approves returns

Finance Officer prepares cheques for each statutory return and

Finance Officer sends returns to the relevant revenue agencies no later than the 7th of the subsequent month or other date as specified by the agencies.

Annual Returns

Finance Officer prepares JSIF annual statutory returns for all relevant government bodies and reconciles them to the monthly returns made during the year.

Returns are checked and approved by the Finance & Administration Manager

Returns are filed with the relevant agency.

8.7 Financial reporting

Objective:

- To maintain a constant flow of information to assist in monitoring JSIF's operations
- Provide accurate and timely information to the Board and Management of JSIF and to external agencies

Generally, data will be presented for the following:

- The current period
- Comparatives for the previous corresponding period
- Cumulative from inception of Project
- Budgeted amount, where applicable

8.7.1 Types of reports

The following reports are to be prepared by the Finance & Administration Department:

Monthly Financial Reports

- Balance sheet and income and expenditure against budget.
- Sources and application of funds for current year to date and cumulative for projects
- Rolling 6 months cashflow projection.
- Details of undisbursed sub-project commitments
- Status of drawdown/reimbursement of funds from external funding agencies & GOJ

Quarterly Reports

- Financial Management Report (FMR) for World Bank
- Quarterly Status Report – GOJ and other funding agencies

Annual Reports

- Balance sheet and income and expenditure against budget.
- Sources and application of funds for current year to date and cumulative for projects
- Status of drawdown/reimbursement of funds committed by external lending/donor agencies to JSIF, including GOJ.
- Performance indicators/ targets vs. budget.

Tasks:

- The Finance and Administration Manager is responsible for the timely preparation of the financial statements
- The audited reports shall be submitted to the Managing Director no later than 90 days after the financial year has ended, thereafter, to the Board.
- The financial statements shall be prepared in accordance with International Accounting Standards.
- The Finance Officer prepares monthly financial statements
- The Financial Accountant prepares rolling 6 months cash flow projection
- The Finance and Administration Manager checks reports
- The preparation of all required financial reports and financial statements on a timely basis for presentation to JSIF Managing Director for review and approval prior to submission to the Board of Directors, the GOJ, Ministry of Finance, funding agencies and all other users of JSIF financial reports, including the Auditor, will be the responsibility of the Finance and Administration Manager.
- JSIF financial statements shall be submitted by the 14th day of each month to the MOF.

Other reports as required by funding agencies and specified in the relevant loan/grant agreements will also be required within the duration specified for each. These reports are generally produced on a quarterly basis. The format of these reports is presented in Annex 53.

8.7.2 Financial Year End Adjustments

At the end of the financial year, it becomes necessary to make certain adjustments to the general ledger **before** extracting the trial balance for the financial year under review. These adjustments are necessary for the financial statements to reflect a true and fair view of the state of affairs of JSIF.

The following procedures ensure the accuracy of the general ledger for the purpose of preparing the annual financial statements:

- An aged payables report should be printed, and reconciled to the payable control accounts in the general ledger.
- All income accounts should be analysed and reconciled with disbursement statements from funding agencies.
- All expense accounts should be analysed to ensure that expenses recorded include all expenses incurred on or before March 31st. Such will be disclosed on the face of the balance sheet as accruals.
- All cash accounts should be reconciled to ensure that the cash book does not include any funds that have been committed or charges incurred on or before March 31st but includes all receipts that have been lodged or other income earned on or before March 31st
- An independent audit of the Petty Cash Imprest and all other cash floats must be conducted to ascertain balances as at March 31st.

8.8 Auditing of JSIF

8.8.1 Audit objectives

Through a process of reviews and audit, the operations of JSIF will be assessed, especially in relation to: -

- Use of suitable systems of internal controls on a day-to-day basis.
- Consistent compliance with established rules and guidelines related to all operational areas.
- Reliability that may reasonably be placed on reports used by external parties for drawdowns of financing, assessment of overall performance, etc.
- Examine compliance with policies and established procedures in any specific area of operation that is regarded as critical to the achievement of JSIF's objectives.

8.8.2 Internal audit and review

Role of the Internal Audit and Evaluation Unit

Objectives

- To ensure compliance with existing policies and internal controls

Tasks

- The Internal Audit and Evaluation Unit reports to the BOD via the Audit Committee, for maximum autonomy and independence in the performance of its functions.
- Prepare an annual work plan to be agreed with the Audit Committee
- Design and conduct special investigations into any area of operations.
- Conduct technical, impact and other evaluations and investigations and monitor performance in keeping with the work plan agreed with the Audit Committee
- Facilitate external audit exercises as appropriate
- To review all documents and data of JSIF, including data maintained on the MIS as appropriate
- Prepare TORs or scope of work to contract the services of external specialists where necessary.
- From time to time, review the Fraud Policy for approval by the BOD.

8.8.3 External audit and review

Objective:

- To ensure that the external audit of JISF is in keeping with the requirements of:
 - Companies Act
 - Financial Administration and Audit Act
 - The terms of agreements entered into with international lending/donor agencies.

- The external audit is the responsibility of the Finance & Administration Manager however the Internal Auditor will liaise with the external auditors/reviewers to co-ordinate the nature and scope of audit testing as far as possible.

Tasks:

- Ensure procurement of qualified audit firm
- Prepare TOR and emoluments of the independent external auditors to be approved by the Audit Committee of the Board of Directors and in keeping with the requirements of external funding agencies.
- Ensure appointment of the auditors for the next financial year by the BoD
- Finance department to close the accounting records at the end of the financial year and prepare all financial statements and all supporting records, schedules for audit
- Internal Auditor should liaise with the Finance and Admin Manager to agree the date for start of audit, not later than two months after the end of the accounting period
- Facilitate process of external audit, and issuance of the audited financial statements with supplementary information, related management letters and special reports within four months of the end of the accounting period or other time frame as may be required.
- Facilitate review and approval of the audited financial statements by the Audit Committee
- Ensure that the approved financial statements are signed by two directors (Usually the Chairman of the Audit Committee and the Managing Director)
- Ensure that the signed financial statements are circulated to Ministry of Finance (MoF), external funding agencies and any other relevant agencies within the time specified by the MoF and each agency.

Box 35: THE AUDITOR GENERAL'S AUDIT

As long as JSIF remains a government company within the meaning of the FAA, audits may also be performed by the Auditor General in keeping with the provisions of that Act.

The Auditor General will review and approve the findings of the Statutory Auditors on behalf of the GOJ/MOF and perform such other reviews, audits or investigation as deemed necessary.

In keeping with the provisions of the FAA, the Auditor General will be allowed unrestricted access to documents and data of JSIF.

8.8.4 Other external audits and reviews

Other external audit reviews may be carried out as required under various loan and grant agreements. These may include:

Management Audit to focus primarily on the assessment of the capability of the JSIF Management Team, including reviews of internal and external performance targets and indicators.

Technical audit, directed at the sub-project portfolio, the object being to assess the technical quality of sub-projects and matters related to their implementation.

Impact Evaluation to examine the portfolio of completed sub-projects to assess the effectiveness and efficiency with which the objectives of JSIF are being met.

Annual GoJ/Funding agency Review, To assess and revise performance targets to reflect financial impact of these in annual budgeting activities.

8. 19 Fixed Assets and Other Non Current Financial Resources

The assets of JSIF are described as resources that it controls as a result of past events and from which future economic benefits are expected to flow to JSIF. Assets are classified as:

8.13.1 Policies

- JSIF retains title for property procured for the economic benefit of JSIF
- Procurement of assets should be as specified in Section 7.8.
- The assets of JSIF are treated as project and as such are not disclosed on the face of the audited balance sheet. For internal management purposes, fixed assets are treated as capital items and shown on the internal financial statements prepared on a monthly basis.
- Computer software may be capitalized if it is the operating system for hardware or an integral part of a computer system. These criteria must be satisfied for capitalization:
 - Technological feasibility, probable future benefits, intent and ability to use or sell the software have to be ascertained;
 - Resources have to be committed to the completion of the software; and
 - The cost of producing the software cost must be capable of being measured reliably.
- All movable assets and resources should be clearly marked/tagged "Property of JSIF".
- A log should be maintained to record the movement of valuable movable property between units.
- JSIF property and resources shall be used strictly for the business of JSIF. No one, despite office held, should use JSIF property and resources for any personal purpose without receiving prior approval from the competent authority.
- JSIF retains title for property procured for the specific use of an employee, due to the nature of his/her work, even when s/he vacates the post.
- Conflict of interest will be perceived where an employee procures property with the intention of personal use.
- The Managing Director is responsible for safeguarding JSIF assets and other resources.
- The Finance and Administration should conduct regular audit checks on JSIF property and resources to:
 - Ensure that employees comply with established policies and procedures;
 - Verify existence;
 - Test for impairment; and
 - Take swift remedial action where necessary to safeguard such property and resources.
- All assets should be insured, and coverage should be adequate to cover loss, damage, or in transit movement where necessary. Comprehensive all risks coverage should be procured, based on replacement cost of the assets.

- All assets should be properly stored and secured to avoid loss, pilferage, deterioration and damage. Documents of title to assets should be kept in a fire proof vault by the Finance and Administration Manager.
- The valuation of assets shall be in accordance with International Standards of Accounting.
- Lost or stolen asset will be valued at replacement cost where an employee is found liable due to negligence.
- When assets are lost or stolen, not due to employee negligence, JSIF will first consider:
 - whether the asset needs to be replaced; and
 - if asset needs to be replaced, with what urgency.
 - These factors will guide the selection of a source of finance for replacing such assets.
- An asset or resource should be disposed of by the most efficient means, and may be done by trading in, selling, scrapping, dumping, donating or other forms of disposal.
- The Finance and Administration Manager should conduct an inquiry into the possibility of an asset or resource being put to other productive use, before recommending its disposal.
- Where it is deemed appropriate to transfer property to another department instead of disposal, the necessary approvals must be sought and the movement of property must be properly documented in the "Movement of Property Log"
- Disposal may occur where an asset or resource has exhausted its useful life; or where significant damage has occurred and disposal is more cost efficient than restoration.
- Except for trade ins, the disposal value of an asset is the net book value of the asset and all direct cost associated with the disposal of this assets.
- Proceeds for the sale of an asset shall be treated as other income /revenue and its treatment shall be consistent with the requirements of the FAA and other directives as may be issued from time-to-time by the Ministry of Finance.
- The Board shall approve disposal of assets and resources valued at J\$1M and above.
- The Managing Director or his designate may approve disposal of assets and resources valued at less than J\$1M.
- Employees should report damage or loss at once. A report should be submitted to the Unit Head, and copied to the Finance and Administration Manager for assessment. The Finance and Administration Manager should advise the Managing Director of an appropriate course of action.

8.13.1 Fixed Asset Register and Procedures

1. Maintain a Fixed Assets Register to disclose the following:
 - item category
 - item description to include any identification numbers so inscribed
 - cost of the asset at the start of the period
 - cost of addition

- cost of disposals
- cost of the asset at the end of the period
- depreciation rates
- accumulated depreciation at the start of the period
- accumulated depreciation at the end of the period
- depreciation charge for the period
- amounts written back of disposal
- net book value at the start of the period
- net book value at the end of the period

2. Reconcile Fixed Assets Register to general ledger accounts on a quarterly basis.

3. Maintain a log to record the movement of assets that discloses the following:

- signature of person authorizing removal
- description of asset taken
- date taken
- name and signature of person taking asset
- location of person taking asset
- length of absence from JSIF registered office
- date returned to JSIF registered office
- signature of person receiving asset as evidence that asset was returned in proper condition
- name and signature of person returning asset

4. The Finance and Administration Manager shall supervise the physical count of assets annually, and reconcile Fixed Assets Register and general ledger accounts.

REFERENCES

JSIF Articles of Association
JSIF Memoranda of Association
Project Agreement (all lenders)
Loan Agreement (all lenders)
Finance, Accounting and Audit Act 1995

9. Environmental Management Framework

9.1 Introduction

The Jamaica Social Investment Fund (JSIF) finances and implements a variety of small-scale community level projects in rural, peri-urban and urban areas. These projects are expected to have generally positive environmental impacts, albeit some could result in minor adverse environmental impacts that would be mostly local and reversible. Occasionally, there may be a need for involuntary land acquisition under eminent domain to meet the requirements of land for a project. JSIF has developed this Environmental Management Framework (EMF) to manage these potential adverse impacts and also to ensure compliance with the requirements of Jamaican environmental laws and regulations and the relevant policies of its major funding agencies like Caribbean Development Bank, European Union, Inter-American Development Bank, World Bank and other development partners.

One of the guiding operational principles (principle # 9) of JSIF is that projects funded by JSIF must conform to the Government of Jamaica's environmental regulations and have minimum impacts on the natural and cultural environment. Thus the EMF becomes an integral part of JSIF's Operations Manual (OM) and is applicable to all investments financed by JSIF, regardless of its funding source or implementing agency.

The main objectives of this EMF are to:

- establish procedures for screening all proposed projects for their potential adverse environmental impacts and land requirements/acquisition;
- specify measures for managing, mitigating and monitoring environmental impacts during project implementation and operation; and
- outline the training and capacity-building arrangements needed to successfully implement the provisions of the EMF.

9.2 Projects financed by JSIF

Types of Projects Eligible for JSIF Financing

JSIF finances only small-scale projects which are aimed to improve the livelihood of small communities, their access to basic services and support income generating activities through micro credit funding etc. These projects can be classified into three broad groups: (a) Infrastructure; (b) Social Services; and (c) Capacity Building. Social Services¹⁴ and Capacity Building¹⁵ projects are normally environmentally benign and provisions of this EMF will not be applicable. However, some of the infrastructure projects funded by JSIF are likely to have localised minor adverse impacts, mainly during construction, and therefore provisions of this EMF will be applicable to them (see Table 1 for a complete list of infrastructure project categories).

Types of Projects Ineligible for JSIF Financing

¹⁴ Typical activities financed under social services category include: vocational skills training, market awareness, entrepreneur skills, job separation counselling, employment profiling, personal development, job preparation skills, literacy; personal money management, conflict resolution, anger management; parenting skills, adolescent/adult life skills; trauma and bereavement counselling; health and hygiene behaviour change and construction skills.

¹⁵ Typical activities financed under capacity building category include: organizational development, planning and management, communication skills and conflict resolution, fund raising and financial management, governance, disaster preparedness, maintenance, and management of community based resource centres.

Because of their size/magnitude and significant potential environmental and social impacts, the following types of projects are ineligible for JSIF financing¹⁶:

- Construction of any new roads;
- Major upgrading or realignment of roads ("major" means changing the road category, such as from seasonal to all-weather or secondary to primary; or adding new lanes);
- Improvement and rehabilitation of any existing roads within 5 kilometres of any protected areas or any other areas of natural forest;
- Dam construction, reconstruction, rehabilitation or strengthening;
- Irrigation works with incremental command areas exceeding 200 hectares;
- Flood protection, sewage treatment¹⁷, agricultural drainage, or other works which could adversely affect wetlands or natural waterways, either through pollution or hydrological changes;
- Use of pesticides on the World Health Organization's Hazardous Pesticides List which are not recommended;
- Aquaculture using non-native species in natural water bodies;
- Works which would adversely affect cultural property, including archaeological and historical sites;
- Any activities that require the conversion of natural habitats;
- Activities that negatively affect natural protected areas recognized by national or local governments (or buffer zones thereof);
- Land reclamation such as drainage of wetlands or filling of water bodies to create land;
- Purchase or lease of land which has unclear titles;
- Land clearance and levelling (when affecting critical natural habitats and natural land contours, natural habitats for this purpose being those water or land areas where most of the original plant and animal species are still present); and
- Hazardous waste management and disposal as well as manufacture, transport and use of hazardous, and/or toxic materials (except small amounts of solvents, degreasing materials, paints, fuels, and the like used during construction).

Project Target Areas

JSIF investments target existing smaller communities in rural, peri-urban and urban areas. They mostly involve repair, rehabilitation and or upgrading of existing infrastructure. Investments for creation of new infrastructure are restricted to only those which are essential for improving or sustaining the existing service levels (e.g., connection to an existing trunk sewer). Therefore, no adverse potential impacts on natural habitats (wetlands and protected forests) are anticipated. Also, as discussed above, projects that may have major adverse environmental or social impacts are ineligible for JSIF funding.

9.3 Screening procedures

National Regulatory Requirements

Jamaican national environmental regulatory requirements are prescribed by the environmental Permit & License System (P&L), which came in to effect in January 1997 and is administered by the National Environment and Planning Agency (NEPA)¹⁸. It is a mechanism to ensure that all Jamaican facilities and development projects meet the relevant standards and

¹⁶ see Operations Manual Section 4.2 on eligibility criteria for community projects.

¹⁷ except for small-scale package-type sewage treatment plants, such as bio-digester.

¹⁸ This EMF only deals with the environmental permits needed from NEPA. Planning permits for various buildings and developments required from Parish Councils and from NEPA are outside the scope of this EMF.

procedures to minimize adverse environmental impacts during construction and operation of a facility. See Figure 1 at the back of this document for a flow diagram of NEPA's environmental permit and licence system.

JSIF approached NEPA, in November 2005, to obtain advice with respect to the national regulatory requirements (environmental permit to construct and licence to discharge) for the various categories of infrastructure projects funded by JSIF. NEPA, in its responses (dated December 6, 2005) confirmed that some of the projects would require an environmental permit. JSIF is required to submit an application to NEPA, together with a detailed Project Information Form (PIF). NEPA, after review of the application, will grant an environmental permit, sometimes with terms & conditions, or may require the preparation of a full Environmental Impact Assessment (EIA) prior to granting the environmental permit.

Projects and facilities that discharge a substance to the atmosphere, to the ground or into surface waters may require a licence to discharge. This licence is also issued by NEPA after review of an application which is submitted together with the application for an environmental permit to construct. Among the projects eligible for JSIF financing, only small (package) sewage treatment facilities would fall into the category requiring a licence to discharge.

Other Requirements

As part of the harmonization initiative by the international development partners and as part of its recent initiative to pilot the use of country systems, the World Bank has prepared a report on "Safeguards Diagnostic Review For Piloting the Use of Jamaican Systems to Address Environmental and Social Safeguard Issues in the Proposed Bank-Assisted Jamaica: Inner City Basic Services Project for the Poor" (2006). This report has found that the main difference between Jamaican national environmental requirements for the types of infrastructure projects financed by JSIF and those of the World Bank and other international development partners is the preparation and use of an Environmental Management Plan (EMP). An EMP sets out project specific mitigation measures and corresponding monitoring requirements. The use of generic EMPs for small-scale infrastructure projects with minor adverse environmental impacts (as in this case) has become internationally accepted good practice, and EMPs are often adapted as Standard Operating Procedures (SOP).

Table 1 below provides a generic list of infrastructure categories and project types financed by JSIF. It also shows requirements for an environmental permit from NEPA and / or a license to discharge depending on project type. The need for preparation and use of a project specific EMP based on project categories and types is also indicated in Table 1.

Screening Criteria

Some site-specific issues may present serious environmental risks and / or impacts. For example, proximity to a protected forest area could have potential impacts on a unique natural habitat (endemic species of fauna or flora) or a high water table area would have potential effect on the design and operation of sanitation systems such as soakaway pits or tile fields. In such cases there should be a consideration of alternatives or the project application will be rejected due to the unsuitable site conditions. Therefore, a site screening mechanism is needed to identify sites that are potentially unsuitable due to site-specific environmental conditions.

In addition, the land on which a project is to be located must comply with the zoning requirements of NEPA and relevant local planning legislation. In this context, the local Parish Council has an important role to play, not only by reviewing applications and issuing a local

planning permit, as required, but also in the review of the details of any proposed development facilities. This is important since the Parish Council is also expected to assist with the operation and maintenance of community facilities and infrastructure.

Screening Process

Each project must be screened by the respective JSIF project officer, early in the project cycle, for potential environmental impacts and land requirements. Table 1 above must be used only as a reference to make a preliminary decision whether NEPA permit to construct and or license to operate and or an EMP is required. This decision must be confirmed by the JSIF Environmental and Resettlement Officer (ERO) after reviewing additional site specific information as detailed in the attached Form "Checklist for Screening Site Specific Issues".

Figure 2 further below shows how the screening and implementation of mitigation measures are integrated with the JSIF project cycle.

Table 1: Infrastructure Project Categories and Regulatory and Other Environmental Requirements

PROJECT CATEGORIES	PROJECT TYPES	NEPA Permit¹⁹ Yes/No (Y/N)	EMP²⁰ Yes/No (Y/N)	NOTES
SCHOOLS	• Basic Schools (2-4 classrooms) and associated amenities, such as sanitation	N (see Notes)	Y	1. NEPA permit is required if a bio-digester system is installed. 2. If septic tank/tile field is installed, a project brief should be sent to NEPA and comments from WRA and EU must be obtained. 3. If connection to public sewer system NWC permission must be obtained.
	• Primary/All-Age Schools – Rehab or Expansion (1-4 classrooms) and associated amenities (sanitation)	N (see Notes)	Y	
HEALTH CENTRES	• Type 1 and Type 2 ²¹	N	Y	
RECREATION FACILITIES	• Sports fields & related facilities	N	N	Includes playing fields, fencing and changing rooms.
	• Playground & recreation areas	N	N	
COMMUNITY FACILITIES	• Community (Resource) Centres	N	Y	
	• Skills Training Centres & Business Incubators	N	Y	
	• Offices/Income-generating facilities	N	Y	
	• Small community markets	N	Y	
	• Homes for Children, the Elderly or the Disabled	N	Y	

¹⁹ This means an environmental permit.

²⁰ Environmental Management Plans (EMPs)

²¹ Type 1 and 2 Health Centres provide services but do not admit patients, persons with illnesses requiring admission are sent to regional hospitals. The services are as follows:

Type 1 - Serves an area with a population of 2,000 - 4,000 people and provides: 1. Maternal and child health services (antenatal, postnatal, child health, immunization, nutrition monitoring and support) 2. Health promotion/education and community participation.

Type 2 - As in Type 1 plus additional services as follows: 1. Health promotion and illness prevention (veterinary public health and food, hygiene/food handlers clinics, water quality, solid liquid and excreta disposal)

2. Surveillance and Disease Control (specific communicable diseases e.g. TB and Hansen's, malaria and childhood diarrhoeal disease, STDs, other communicable diseases, rheumatic fever prophylaxis). 3. Curative Services (common medical conditions, STDs, acute and chronic diseases). 4. Dental services (visiting)

SMALL ROADS	<ul style="list-style-type: none"> • Small roads in agricultural areas, including small, single-lane bridges and approaches, foot bridges, retaining walls, fordings and associated drainage structures • Upgrading, rehabilitation and repair of urban local access roads 	To be Determined N	Y Y	Small rural roads means Jamaican Category C (minor roads) less than 5km in length and an average width of 5m.
WATER SUPPLY	<ul style="list-style-type: none"> • Rural, small-scale community-based water supply system for less than 2,000 people • Urban water supply rehabilitation or repairs (pipe diameter less than 10cm) 	Y (also see notes) N	Y Y	<ol style="list-style-type: none"> 1. EHU approval must be obtained for rural systems. 2. If groundwater well is used WRA permission must also be obtained. 3. If connection to public system, NWC permission is required.
SANITATION	<ul style="list-style-type: none"> • Upgrading of existing pit latrines • Septic tank with soakaway or tile field for max. number of 4 units • Upgrading and repair of local urban sewer system in community 	N (see notes) N Y (see Note 3)	Y	<ol style="list-style-type: none"> 1. No soakaways nor pit latrines are permitted on the Liguanea Plains. 2. Emptying of septic tank must be registered cesspool contractor. 3. If sewer pipes are 15cm in diameter or larger, NEPA permit is required. 4. See also notes on sanitation above for Schools.
URBAN DRAINAGE	<ul style="list-style-type: none"> • Open or covered storm drains 	Y	Y	NWA and local Parish Council also should be consulted.
STREET-LIGHTING	<ul style="list-style-type: none"> • Street-lighting in urban communities 	N	N	
FENCING	<ul style="list-style-type: none"> • Fencing along property lines in urban communities 	N	N	
AGRO-PROCESSING FACILITIES	<ul style="list-style-type: none"> • Small-scale, community-level processing factories or plants 	Y	Y	NEPA permit is required for citrus, coffee, cocoa, coconut & sugarcane

Note: NEPA requirements are based on Letters of Query submitted by JSIF to NEPA on November 7 & 10, 2005 and NEPA's response in letters dated December 6, 2005.

Checklist for Screening for Site Specific Issues

This Form is to be prepared for all JSIF projects by the Project Officer in consultation with community liaison officers and community representatives.

Note: A "Yes" or "Do Not Know" response to any of the questions below warrants an investigation by the Environmental Officer (EO). One copy of this Form must be sent to the EO, prior to project application review and another copy must be attached to the project application.

Project Title: _____ Project Number: _____
 Technical Officer: _____ Project Type: _____
 Appraisal Officer: _____ Date: _____

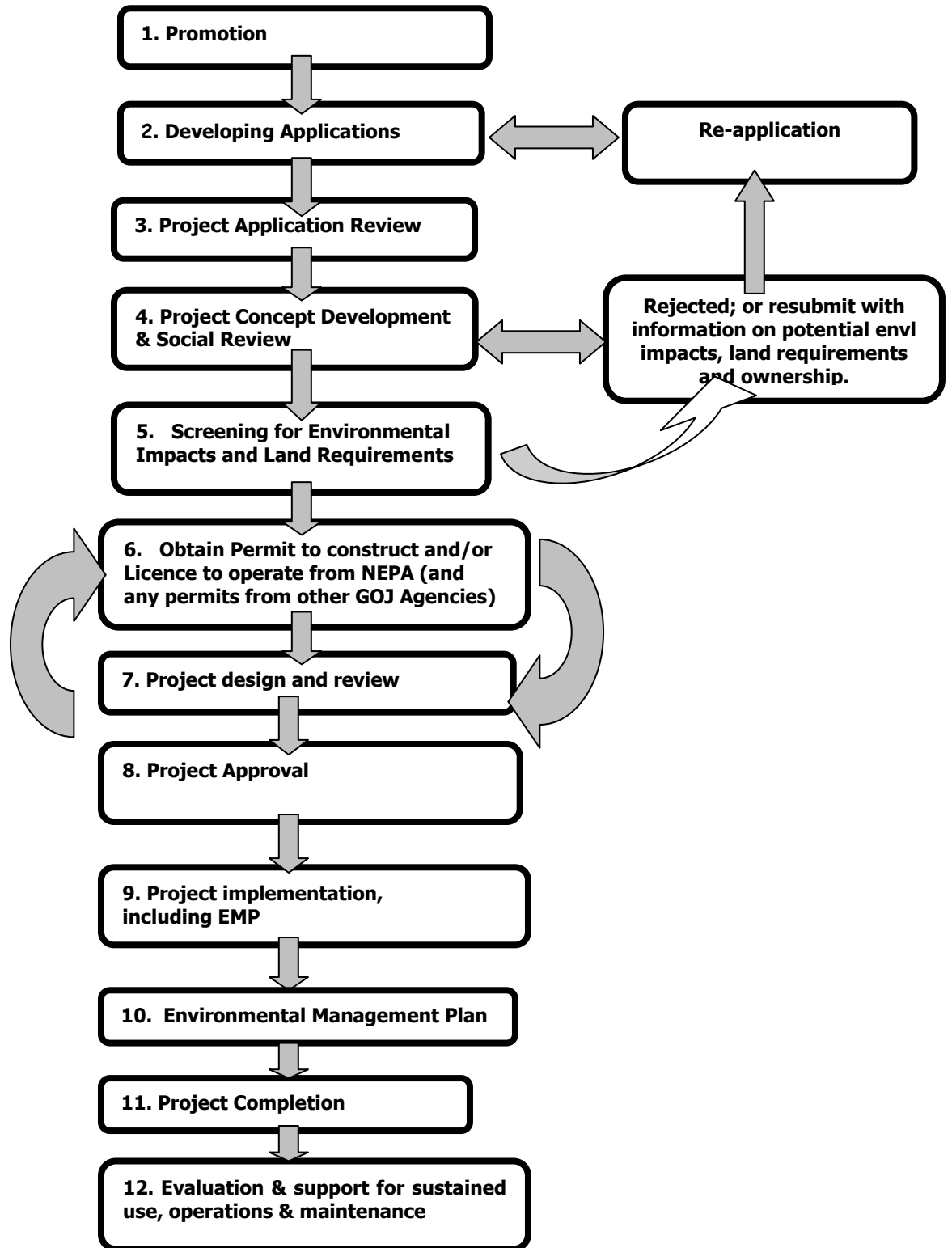
#	ISSUES	Yes	No	Do Not Know
1	Is the project area zoned for the intended land use?			
2	Will the project involve any involuntary land acquisition?			
3	Will there be any private land donation?			
4	Will the project use any vacant public land?			
5	Is the project located in an area with cultural properties such as archaeological, historical sites/monuments, religious structures, sacred groves and or cemeteries?			
6	Is the project located in an area with endangered or conservation-worthy ecosystems, or an area with endemic fauna or flora?			
7	Is the project located within or in an area close to a national park, a protected area, wilderness area, wetlands and or critical habitats?			
8	Is the project located close to a springs, groundwater sources, surface water bodies, water courses or wetlands?			
9	Is the groundwater table close to the surface, i.e. 0.5m or less?			
10	Is the project in a polluted or contaminated area and or close to a waste dump?			
11	Is the project located in an area of steep slope and or susceptible to landslides or erosion?			
12	Is the project located on prime agricultural land?			
13	Is the project located in an area of tourist importance?			
14	Is the project area prone to flooding?			

Signed by Project Officer:
 Name: _____
 Date: _____

Signed by Community Representative:
 Name: _____
 Date: _____

Approved by ERO: NEPA Environmental Permit Required YES NO
 Name: _____
 Date: _____

Figure 2: Integration of Screening With JSIF Project Cycle



9.4 Implementation arrangements

Implementing NEPA Requirements

Based on the results of the screening, JSIF staff (Project Officer in consultation with Environment and Resettlement Officer) will prepare the necessary application to NEAP for a permit (and licence to discharge, where applicable). The application requires the submission of a detailed Project Information Form (PIF). NEPA reviews the application and determines whether (i) a full Environmental Impact Assessment must be prepared before a permit is issued, or (ii) a permit is issued by NEPA with or without Terms & Conditions. See Figure 2 for the detailed flow diagram of NEPA's environmental permit application process. If needed, JSIF proceeds with the preparation of a full EIA.

Once NEPA has issued a permit to construct, JSIF makes sure that all terms and conditions, and any requirements resulting from a full EIA, where applicable, are fully integrated into the design and the contract documents of the specific project. Depending on the nature of NEPA requirements, this may be done through an alternative design, special design features or modifications, an EMP, special contract clauses.

NEPA may also require special monitoring and reporting actions, and normally will carry out periodic monitoring of the implementation of the project to make sure the NEPA requirements are being met.

Implementing EMP Requirements

Infrastructure projects generally financed by JSIF are grouped into six broad groups as follows:

- Construction of New and/or Rehabilitation of Existing Buildings (schools, health centres, recreation facilities, community centres and facilities, including the provision of on-site water supply and sanitation services)
- Construction of New and/or Rehabilitation of Existing Water Supply Schemes
- Construction of New and/or Rehabilitation of Existing Roads
- Construction of New and/or Rehabilitation of Existing Sanitation Facilities (sewer networks, small wastewater treatment plants, such as bio-digesters, and on-site sanitation)
- Construction of New and/or Rehabilitation Existing Drainage Systems (within the existing communities)
- Construction of New and/or Rehabilitation Existing Agro-Processing Facilities.

A standard generic EMP has been prepared for each of the groups listed above, based on the expected likely environmental impacts during the construction phase (see Table 3 at the back of this document for the generic EMPs by infrastructure category). Further to the results of the project screening, the applicable EMP(s) must be incorporated into the bidding and contract documents. Some projects may have additional requirements for mitigation and monitoring in response to issues identified during site screening, which shall also be specified in the contract documents. Annex 1 contains additional guidance for detailed steps in good environmental management, specifically for the design and operational (O&M) phase.

Managing Other Potential Impacts

In addition to the above, projects that require conversion of any natural habitats should be evaluated to ensure compliance with the World Bank Operational Policy on Natural Habitats. Also, projects that require procurement of pesticides or that result in the increased use of pesticides would require the development of a Pesticides Management Plan as required under World Bank Operational

Policy on Pest Management. This would include non-chemical measures for pest management and guidelines for proper selection, application, storage, handling, transport and disposal of pesticides.

Another potential impact may be chance finds of physical cultural property. Site screening may indicate that the project site is in, or close to, an area with an important cultural property. The Jamaica National Heritage Trust (JNHT), under the provisions of the JNHT Act, may enter a property or site to investigate impacts on cultural properties. If there is a chance find of archaeological or cultural value the JNHT has a right to protect that find and may issue an emergency Preservation Order covering sites and buildings considered to be potentially archeologically important or significant.

The central area of Spanish Town in St. Catherine Parish is a declared Historic District and the JNHT has the right to stop any works in that area that may prove destructive to archaeological monuments or cultural property. Certain parts of downtown Kingston may soon be similarly protected. If any chance find artefacts are found during project works the JNHT may need to perform Rescue Archaeology in order to secure and preserve these artefacts. This may require the temporary cessation of certain project activities to facilitate JNHT procedures. The contract specifications in Part H, Section 1.6 contain a clause that sets out the required actions for the contractor to comply with the requirements of the JNHT Act to protect any chance finds of cultural property²².

Consultation and Disclosure

It is JSIF's mission to empower communities to effectively implement community-based programs aimed at social development. JSIF's Operational Manual (OM) prescribes a project preparation and implementation process that involves participation of the project community at all key steps. This participatory process facilitates the consideration of environmental aspects as it integrates into the project cycle disclosure of project information to, and consultation with, the community. The following matrix shows the key environment-related consultation and disclosure actions during project preparation and implementation; it also shows the outputs or results of these actions.

It is important that JSIF, its partner agencies and especially the communities, follow and participate in the process prescribed in the OM as set out below:

Step in Project Cycle as per Operations Manual	Actions for Screening and Environmental Management	Output / Results
Promotion	- JSIF / community leaders to publicize intention to apply for project funding ²³	- There is adequate awareness in the community about the project
Developing project application	- JSIF to hold community-wide consultation on local priorities and needs - Community to participate and contribute	- Local and specific environmental concerns and constraints are considered
Project Concept Development	- Wide cross-section of	- Alternatives have been

²² This provision will also satisfy the requirements of the policies on cultural property by the various development partners, such as the World Bank's, as set out in the draft OP 4.11 on Physical Cultural Property.

²³ This step and the corresponding actions are not needed when a community has been selected for a project, such as was the case for the Inner City Basic Services for the Poor Project.

	community to participate in site screening process	considered and environmental feasibility is ascertained
Project Design and Review	<ul style="list-style-type: none"> - JSIF to publicly display designs for min. 2 weeks - Community reviews designs and "signs off" 	- Ensures that designs are environmentally appropriate, among other criteria
Project Implementation (after contract award and signing)	<ul style="list-style-type: none"> - JSIF to arrange for sign board providing project details - JSIF to organize Project Information Meeting held in and with community - Community to attend and participate actively - JSIF to establish Project Steering Committee (PSC) - Community to monitor work and progress of contractor - JSIF and community to participate actively in PSC meetings 	<ul style="list-style-type: none"> - Information on contract and contractor is disclosed - Community is made aware of its role in implementation - Community has channel for providing feed-back - Community makes sure that EMPs are complied with
Project Completion	<ul style="list-style-type: none"> - Community to set up maintenance committee - JSIF and partner agencies to assist community with O&M 	- Continuing maintenance, including environmental aspects, is ensured

Implementation Responsibility

Implementation of projects, including all environmental aspects, is under the overall responsibility of JSIF. JSIF may employ a construction contractor, use community-based contracting, or projects may be implemented by agreement with and through partner agencies, such as the local Parish Councils, the National Water Commission (NWC), or the Jamaica Public Service Company (JPS).

The provisions of this EMF will apply regardless of the implementing agency, and JSIF will retain ultimate responsibility for the good environmental management of all their projects.

Environmental Requirements in the Construction Contracts

Volume II (Technical Specifications) of the construction contract documents contain, in Part H, technical clauses on "Environmental Mitigation and Health & Safety"; including a section on how the contractor shall deal with chance finds of cultural property and archaeological remains. Based on the screening results and depending on the type of infrastructure works to be executed, the JSIF Project Officer, in consultation with ERO, must prepare a list of measures to mitigate potential adverse impacts. These would include terms and conditions mentioned in NEPA's permit to construct or license to operate and the relevant generic EMP (from Table xx) supplemented by any additional site specific measures, if required. These measures must be attached to Part H of the contract specifications.

A clause in the Particular Conditions of Contract will refer to these environmental management requirements EMP and will state that it is a supplement to Part H of the Specifications. The Particular Conditions of Contract will also stipulate that any non-compliance with the mitigation measures set out in the contract will attract the same remedies under the contract as any non-compliance with the contract provisions; such remedies would be instructions, notices, suspension of work, etc. The Instructions to Bidders will highlight the inclusion of the EMP in the contract specifications and the contractor's obligation of compliance.

9.5 Monitoring and reporting

JSIF Board and Management will have the main responsibility for monitoring the application and use of this EMF. For this purpose the ERO will prepare quarterly and annual reports on the key steps, outputs and results of the environmental management actions taken for all projects throughout the project cycle. Problems and issues arising during the use of the EMF will be flagged and brought to the attention of Management and for their action. Copies of the quarterly and annual EM monitoring reports will also be sent to NEPA and to the World Bank. The Bank will also review these reports during the periodic supervision missions.

JSIF's management information system (MIS) which is being modified and upgraded in the first half of 2006 will be used to track the key steps and to generate the necessary reports for the JSIF Board and Management. The following steps will be monitored for all projects:

Stage in Project Cycle	Action	Result / Outcome
Project Concept Development	Site Screening	Acceptance
		Rejection
Project Appraisal	Project Screening	NEPA Environmental Permit Required
		EMP Required
		None
Project Implementation	NEPA Env'l Permit	With full EIA
		With terms and conditions
	EMP	Included with contract
	EMP implemented	With problems or issues
		With complaints
	With residual impacts	
Operation	Maintenance Plan	Environmental Requirements

9.6 Training and capacity-building

JSIF has designated a full-time Environment and Resettlement Officer (ERO) and an alternate for back-up and support. The designated alternate ERO is JSIF's Legal Officer; this provides a very good complement to the environmental qualifications and experience of the staff who is the main ERO.

Although the designated JSIF environmental staff have good knowledge and experience with Jamaican national regulatory requirements, they need some specific training in the policy areas of environmental assessment (and also in land acquisition and involuntary resettlement) as applied by international and bilateral development partners, such as the World Bank, the IADB, USAID, EU, CIDA, DfID, etc. who are all active in Jamaica²⁴. The World Bank will assist to identify appropriate external training opportunities for the ERO²⁵. Suitable national training should also be part of the capacity building of the ERO and alternate ERO.

The designated senior ERO is also responsible for the organization and provision of training sessions in environmental screening and environmental management for JSIF project officers, field

²⁴ Both this EMF, and a Land Acquisition and Resettlement Policy Framework that has been prepared in parallel, are in part based on the international approaches and standards. These frameworks are also entirely new to JSIF.

²⁵ It may be possible to combine any external EA training with training in Involuntary Resettlement that is offered periodically by the World Bank Institute.

supervision staff, the community liaison officers and selected community representatives. ERO staff shall prepare a training plan and training modules for project officers, field supervision staff, and community liaison officers (CLOs) to familiarize them with the principles and procedures as set out in this framework. Project officers and (CLOs), supported by the ERO, will be responsible to training community representatives.

Initial funding for the overseas part of the training and capacity-building shall be provided under the project management component of the Inner Cities Basic Services Project. The funding for routine training of staff by the ERO shall be built into JSIF's annual budget. Only marginal cost implications are expected in this context since environmental training of field staff and community workers shall be integrated with the other training aspects.

Figure 2: Flow Diagram of Environmental Permit Application Process (Source: NEPA)

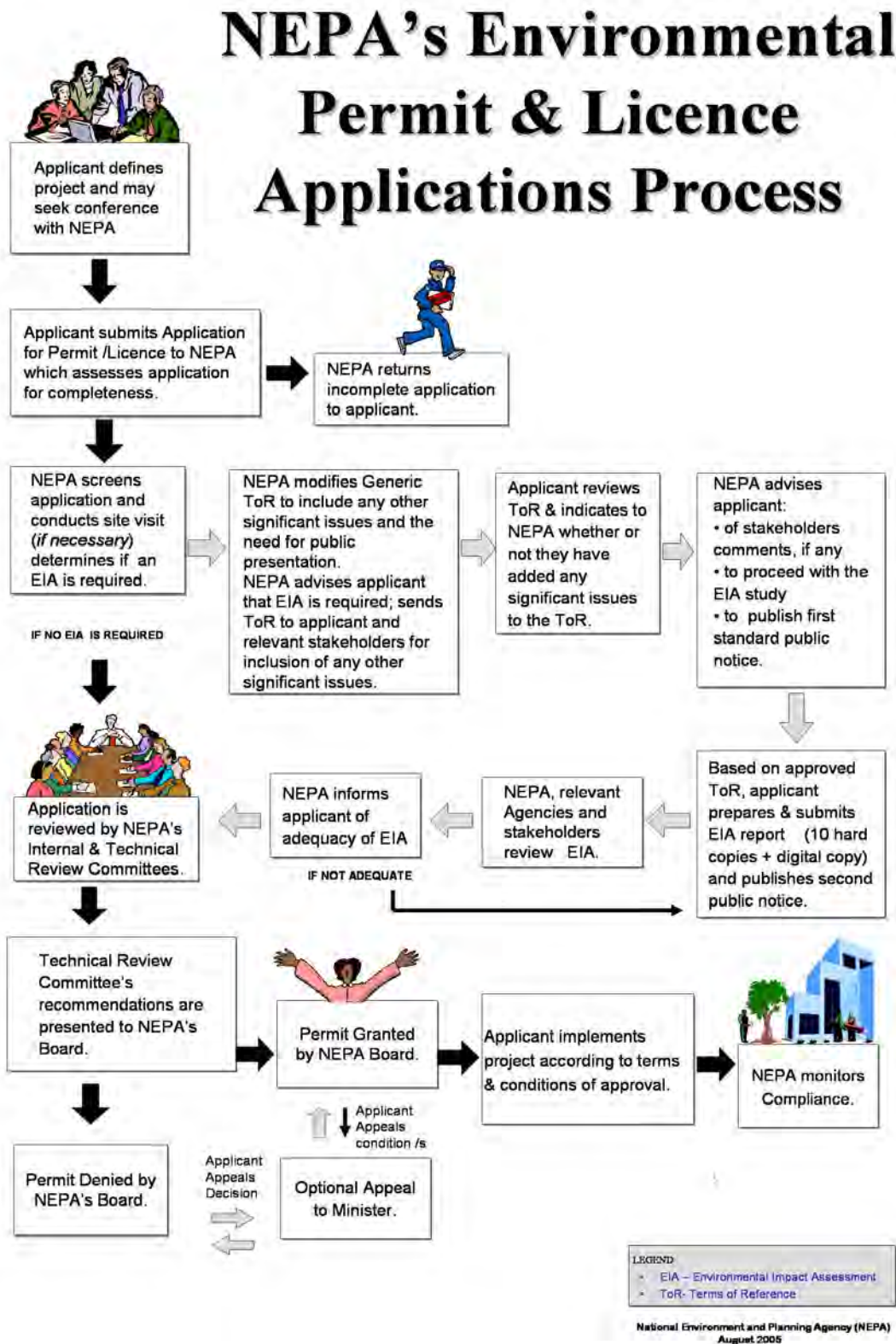


Table 3: Environmental Management Plans to Mitigate Adverse Impacts during Construction

(If a permit to construct was received from NEPA, then the following generic mitigation measures and monitoring requirements should be amended to include the general and specific terms and conditions issued by NEPA)

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
Construction of New and or Rehabilitation of Existing Buildings (Schools, Health Centres, Recreation Facilities and Community Facilities including provision of on-site water supply and sanitation services)					
Earthworks (Excavation, Vegetation Clearance, Trenching and Blasting)	Increase in fugitive dust levels and feeling of trees	<ol style="list-style-type: none"> 1. In residential areas, if works are conducted in the dry season, wet the exposed areas and stockpiles of earth materials, particularly fines, to minimise windborne particles and increase in levels of fugitive dust. 2. Compensate for trees removed by planting new trees. 3. Haulage vehicles transporting aggregate must be covered on all public roads. 4. Communities must be given at least two weeks prior notice of intended construction period. 5. Communities must be given prior notice of intended road closures and designated detours. 6. For worker health and safety, all workers should be supplied with dust masks. 7. Silt Screens or Sediment Traps should be deployed where earthworks or trenching occurs in close proximity or adjacent to gullies, drainage lines or rivers to avoid deterioration of water quality.. 	Contractor	<p>Suspended particulate matter (if required respirable particulates < 10 micro grams) should be monitored as per NEPA guidelines.</p> <p>Frequency: Fortnightly for the first three months and monthly thereafter.</p>	<p>Technical supervision staff, and where appropriate, with the participation of community representatives and or respective community liaison officers.</p> <p>Spot checks by ERO</p>
Movement of heavy machinery, blasting and drilling.	Increase in noise levels.	<ol style="list-style-type: none"> 1. Construction work must be carried out from 6:00 am to 8:00 pm or according to local regulations. 2. Blasting should be conducted during daylight and residents should be advised in advance when blasting will occur. 	Contractor	Noise level should be monitored as per NEPA guidelines.	Technical supervision staff, and where appropriate, with the participation of community representatives and or respective community liaison officers.

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
		3. Blasting should only be conducted by a certified contractor and all safety requirements, including deployment of blasting mats; inspection of buildings within the designated blasting radius, before and after blasting; contracting local police or security to supervise and control the movement of the public; and provision of earmuffs to workers must be strictly followed.			Spot checks by ERO
Generation of construction rubbles from refurbishing or upgrading of buildings	Drain blocks and unsafe conditions by indiscriminate disposal of rubbles.	<ol style="list-style-type: none"> 1. All waste must be disposed in an approved landfill or dump site, in consultation with the National Solid Waste Management Authority (NSWMA). 2. Waste containers for recycling materials (plastics, metal & glass) shall be provided for the permanent operation of facilities (esp. schools & health centres). A recycling program should be initiated, including a simple composting facility. Only 	Contractor	Confirmation on disposal of solid wastes at an approved site to be monitored fortnightly.	Technical supervision staff, and where appropriate, with the participation of community representatives and or respective community liaison officers.
Workers on site	Sanitary facilities for workers	<ol style="list-style-type: none"> 1. Contractor to make suitable arrangements for use of sanitary facilities for his workers. 2. All large worksites to be equipped with portable chemical toilets, which must be supplied and serviced by an approved contractor. 	Contractor Contractor	Check that arrangements have been made Confirmation that portable toilets are supplied on site.	Technical supervision staff and where appropriate, community representatives and or respective community liaison officers.
Other construction activities such as: movement of heavy machinery, transportation of material, collection of wastes, road improvement	Traffic congestion and hindrance of pedestrian movement	<ol style="list-style-type: none"> 1. Flagmen must be employed to direct traffic and reduce the occurrence of accidents 2. Material delivery must be confined to early mornings/late evenings (outside of peak periods) 3. Communities must be advised of intended road closures and designated detours. 4. Stockpiles and excavated material must be deposited in areas agreed with community so as not to interfere with local activities 	Contractor	Traffic congestion and number of accidents. Fortnightly.	Community representatives/ respective community liaison officers

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
works, trenching, pipe-laying etc.					
Temp. scaffolding supports for beams and slabs	Cutting of trees in the vicinity of site	1. Use sawn, dimensioned lumber, re-use supports, or use steel supports.	Contractor	Weekly	Technical supervision staff, assisted by community representatives
Water and toilet fixtures	Water wastage and damage to equipment	1. Install water-saving fixtures and toilet flushing, esp. if supply from cistern, and use institutional / commercial strength fixtures and equipment in all public facilities	Contractor (based on spec's by JSIF)	Before and after installation on site	Technical supervision staff Spot checks by ERO
Construction of New and or Rehabilitation of Existing Water Supply Schemes					
Source/site selection and source development	Public health risks due to poor water quality (e.g. pathogen, salinity and other contamination from nearby sanitation & waste disposal facilities)	<ol style="list-style-type: none"> 1. Examine vicinity of source and investigate for potential contamination sources. 2. Test Water quality (chemical and bacteriological) from proposed and nearby sources. 3. Determine whether, and what water treatment system is needed. If needed, ensure that treatment is included in design and that source area is protected, especially upstream, from contamination. 	JSIF Project Officer JSIF Project Officer. JSIF Project Officer / Design consultant	Prior to site/source selection Completion of design	Technical supervision staff Spot checks by JSIF ERO
Excavation of trenches	Increase in fugitive dust levels; hindrance of pedestrian movement; disposal of construction waste/debris, and creation of stagnant pools.	<ol style="list-style-type: none"> 1. Excavation must be made (if possible) during the dry season, to avoid erosion and siltation of drainage canals or other water bodies in the area; 2. Use silt screens and sediment traps to prevent sediment from reaching trenches and watercourses. 3. Provide adequate drainage interception and diversion around trenches and work site. 4. Ensure prompt refilling of trenches and proper management and use/disposal of soil cover and wastes. 	Contractor	Periodic, i.e. weekly.	Community representatives/ respective community liaison officers, with spot checks by ERO

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
Construction of Small New and or Rehabilitation of Existing Roads (within the existing communities)					
Excavation and fill	Blocked access & disruptions Landslides & slips, erosion and sedimentation	<ol style="list-style-type: none"> 1. Give early notice to residents, use signs and flagmen, use diversion or open access periodically. 2. Keep angle of slopes within limits of soil type. 3. Use appropriate slope stabilization measures. 4. Balance cut and fill to limit steepness of slopes. 5. Cover slopes and re-vegetate early, incl. shoulders. 	Contractor	Periodic, i.e. weekly	Community representatives, community liaison officers and spot checks by JSIF ERO
Construction of drains & small bridges	Flooding & erosion of slopes	<ol style="list-style-type: none"> 1. Build bridges & drains according to design. 2. Provide temporary drainage facilities, including interception and diversion. Channel water away safely & ensure there are no downstream impacts. 3. Use silt fences & sediment traps. 4. Use energy dissipation for drain drops and outlets. 	Contractor	Periodic, i.e. weekly	Technical supervision staff Spot checks by JSIF ERO
Base course & surface course	Dust nuisance Stagnant water	<ol style="list-style-type: none"> 1. Control dust through periodic watering. 2. Provide cross drains and drainage diversion. 	Contractor	Ditto	Community representatives, community liaison officers and spot checks by ERO
Compaction of fill and base course	Nuisance from noise & vibrations	<ol style="list-style-type: none"> 1. Give notice to residents and limit work of compacting equipment to daytime hours. 	Contractor	Ditto	Ditto
Construction of New and or Rehabilitation of Existing Sanitation Facilities (sewer networks, small wastewater treatment plants and on-site sanitation)					
Pit Latrine Construction	Pollution, odor and fly nuisance	<ol style="list-style-type: none"> 1. Use properly designed, ventilated improved pit latrines (VIP) only with screened ventilation stacks. 2. Locate latrines at least 15m from nearest residence and at least 10m downstream from 	Contractor	Before and after installation	Community representatives, community liaison officers and JSIF ERO

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
		water sources. 3. Do not build in areas with high groundwater table.			
Septic tanks, tile fields and pits	Contamination of groundwater	1. Do not build tile field or pit in areas with high groundwater table. 2. Do not locate pit on rock or in impermeable soils. 3. Locate at least 10m from nearest water source.	Contractor	Before and after installation	Technical supervision staff Spot checks by JSIF ERO
Sewer network and connections	Contamination of vicinity and of groundwater Blockage of sewer system	1. Prevent pipe breakages / fix any ruptures with clamps or replace broken pipes before covering. 2. Use sump pumps to return spilled sewage to nearest manhole. 3. Give notice to residents of sewer work. 4. Remove any obstacles or soil before making pipe connections and closing excavation.	Contractor	Frequent, during period of installation	Technical supervision staff Spot checks by JSIF ERO
Package treatment plants (bio-digester)	Pollution of surface or groundwater	1. Build plant in compliance with NEPA permit and licence. 2. Provide effluent outlet to surface or underground disposal.	Contractor	Periodic, i.e. fortnightly	Technical supervision staff Spot checks by JSIF ERO
Construction of New and or Rehabilitation of Existing Drainage Systems (within the existing communities)					
Drain excavation	Contamination or siltation from dredged/excavated material Flooding from inadequate or blocked drains Erosion of drains and siltation	1. Dispose contaminated and unsuitable material in safe areas and haul away for off-site disposal at approved landfill site. Use sediment traps and silt fences. 2. Use good design, do not block drains, clear blocked drains. Use sump pumps, especially during rains. 3. Use concrete or masonry-lined drains, or cover drain sides with stones (riprap), or use vegetation cover.	Contractor	Frequent, during critical flooding periods	Technical supervision staff assisted by the community representatives Spot checks by ERO
			Contractor		
			Contractor	Contractor, using good design Ditto	Ditto Ditto

Activities	Potential Impacts	Mitigation Measures	Responsibility for Mitigation	Monitoring Requirements	Responsibility for Monitoring and Supervision
Construction of New and or Rehabilitation of Existing Agro-Processing Facilities					
Construction (and also Operation) of processing facilities	Possible pollution of surface water or groundwater. Contamination of surrounding area. Nuisance from dust, odor, or noise	<ol style="list-style-type: none"> 1. Provide and operate wastewater treatment and dispose of treated effluent in an approved manner. Obtain licence to operate from NEPA. 2. Collect all production waste, recycle & re-use, and/ or collect and store in closed containers. Dispose of collected waste materials at approved landfill or disposal site. 3. Only use approved standard processes and equipment, and maintain it in good working order. 	<p>Owner/Operator of facility</p> <p>Owner/Operator of facility</p> <p>Owner/Operator of facility</p>	<p>Monthly</p> <p>Monthly</p> <p>Monthly</p>	<p>Initial monitoring by JSIF. Later periodic monitoring by NEPA</p> <p>Initial monitoring by JSIF. Later periodic monitoring by NEPA</p> <p>Community to monitor and report</p>



9.7 JSIF Environmental Guidelines: The Environmental Impact of JSIF projects

Positive

There are a number of positive impacts of JSIF sub-projects to physical environmental in the communities in which they are situated. In keeping with principles of sustainable development and holistic planning where the environment is defined as the physical, biological, social and economic factors of life, the projects will have the effect of:

- i. Eliminating environmental safety hazards from deteriorating structures
- ii. Improving environmental health through water, sanitation and health infrastructure
- iii. The creation of temporary employment opportunities and long-term income generation
- iv. The provision of social services that were previously not available
- v. Improved learning environments and access to education and non-formal training
- vi. Improved living conditions in poor communities

Negative

Most of the negative impacts associated with Sub-projects are likely to occur during construction and rehabilitative works on roads, buildings, drainage, water and sanitation projects and where designs are inadequate. These tend to be minor and are easily identified and mitigated and determination of these potential impact forms and integral part of the analysis of the technical feasibility of the projects. In keeping with the principles of technical and environmental soundness however, adequate technical review, through peer review and using technical advisors, must take place to ensure adequacy of designs.

Negative impacts will also occur during operation particularly with relation to disposal of solid and sewage waste, where there is improper operational and maintenance procedures in place. These issues must also be factored into the technical analysis of the projects at the design phase.

Even with adequate planning and design, there are risks of impacts during implementation where guidelines are not followed at a supervisory level. All contracts and Terms of Reference for formulators, supervisors and contractors must therefore clearly show deliverables with the relation to implementation of mandated environmental procedures. Potential impacts include:

- i. Unnecessary removal of vegetation cover
- ii. Creation of soil slippage and soil erosion conditions from excavation and inappropriate placing of excavated matter on hillslopes
- iii. Blockage of drains from construction waste and excavated materials
- iv. Water contamination during construction on all project types or during operation of inadequate sewage facilities
- v. Excessive run-off where drainage on roads and off buildings is inadequate.
- vi. Inappropriate disposal of solid waste
- vii. Interruption of vehicular and pedestrian traffic flow or access to amenities.

9.8 JSIF Environmental Guidelines: General Guidance for Infrastructure Projects



I. Project Design

1. The project must be designed to minimize tree taking and damaging. When the project will result in clearing of land or cutting trees, at least the same number of trees must be replanted on or near the facility.

2. Site Selection

The land on which a building is to be located must comply with the zoning requirements of the National Environmental Planning Agency and relevant planning legislation. It must also be well drained, aesthetically landscaped and secure, especially if very small children are involved. All relevant permits and no objections from relevant agencies must be obtained.

- (i) In rehabilitation projects, when an existing building does not comply with the guideline above. Rehabilitation must, whenever possible include drainage, security and landscape of the area as well as the building itself and testing for hazardous materials such as asbestos and lead;
 - (ii) In rehabilitation projects, when an existing building is located on unsuitable land, the JSIF shall not approve the project. The following are considered to be unsuitable lands:
 - (a) land resulted from fill up with any refuse matter that is contaminated by human or animal excreta or any other hazardous material;
 - (b) wetlands and flood plains;
 - (c) Protected Areas where approval has not been obtained
 - (d) steep (more than 30% declivity) and unstable slopes susceptible to slippage.
3. Any road rehabilitation project must comply with the minimum technical standards of the relevant Parish authority to which the road will be handed over to and required no objections obtained.
4. In rehabilitation/expansion or construction projects the technical and financial feasibility of using traditional architecture and simple technologies and materials must be assessed, and simple, traditional style and materials adopted when suitable. A comparative assessment of environmentally friendly materials and techniques should also be adopted where suitable, based on comparisons of techniques and long-term cost-benefit analysis. This applies to any building, road, water and sanitation project.
5. All buildings should be well designed to provide security and at the same time to be attractive and well ventilated and make best use of natural lighting.
6. Adequate space and facilities for recreation inside and outside of a school must be designed accordingly and whenever possible, budget for its construction must be ensured in the project.

7. Sanitary Systems



Appropriate sanitation systems must be designed and installed; proper disposal systems must be functioning: it must also be determined if there is a need to provide training in environmental awareness to users²⁶.

- (i) Sanitary facilities must be suitable to the local and ground conditions.
- (ii) Sanitary facilities must be provided in sufficient number
- (iii) In order to avoid surface water contamination, when public facilities for sewage treatment are not provided, effluent should not be discharged into surface waters without adequate treatment: to avoid ground water contamination, effluent must be treated in a septic tank (minimum efficiency of 70% reduction of BOD); the absorption tank is not efficient in preventing groundwater contamination.
- (iv) The site where the sanitary facility is to be installed must have a low water table.
- (v) If sanitary facilities use alternative technologies such as Ventilated Improved Pits (VIP) latrines and others, it must be located at least 15 meters from existing buildings and houses, in the opposite direction of the prevailing winds, to prevent odours and undesirable impacts.
- (vi) When an external latrine vent pipe exists, it must be located at the sunny side of the latrine and painted black, to produce an updraft, due to the heating of the air inside the vent: an external cover at the top of the vent pipe will prevent flies and mosquitoes from coming out the vent and therefore will reduce the risk of contamination.
- (vii) All required approval and permits must be obtained and the relevant agencies (NWC, NEPA etc) informed and involved in the development of the project

8. Adequate water supply must be provided:

- (i) Adequate structures for water storage must be provided.
- (ii) Rainwater can be collected, stored and used for sanitary facilities.
- (iii) The storage structure must be located (about 25 meters) from, the absorption tank, septic tank or other similar facility, and upstream the direction of the water table flow²⁷.

²⁶ Awareness by users of sanitary systems is required whenever new systems are installed which are different from the ones they are used to. This is particularly needed when flushing toilets are introduced to new users. In many cases it has been reported that flush toilets were used to grow plants because new users did not get accustomed to using them.

²⁷ If the storage facility is underground it can be contaminated by groundwater contaminated with effluent or by effluent directly, in case an absorption tank is located nearby.



(i) Hazard Mitigation

- (i) **Fire Control:** Safety precautions against fire must be assessed, implemented, documented and functional at all times and water supply for fire hoses must be secured. Note that:
 - (a) Evacuation and fire extinguishing procedures must be approved by the fire department or a similar institution
 - (b) Fire disaster preparedness should be addressed in organisational strengthening exercises and in maintenance training

- (ii) **Natural disaster mitigation:** The design of all infrastructure projects must accommodate the potential occurrence of a natural disaster and as such include the necessary mitigation measures to ensure minimum damage from disaster events. This includes but not exclusive to:
 - (a) Earthquake mitigation: Designs must uphold the minimum building standards recommended for Jamaica as indicated by the Building Code.
 - (b) Storm mitigation: This includes heavy rain, storm surges, tropical storms, hurricanes mitigation measures for strong winds and high levels of precipitation and runoff. Road and building designs must therefore have adequate drainage measures and buildings and other structures must maintain the minimum standards under the Building Code for wind resistance.

- (iii) **Safety:** Care must be taken to ensure that designs promote a safe work site and safe operation of the facility. The following must be considered:
 - (c) Materials: No toxic paints or construction materials (e.g., lead-based paints, amianthus, asbestos) may be used within the buildings or on water supply projects
 - (d) Site Safety: Designs must factor in terrain and other potential areas of danger that may lead to an unsafe work site. Where there is potential for danger on a site, cautions and recommendations for safe implementation must be outlined.

II. Construction

- 10. Dust and noise during construction works should be minimised:
 - (i) In residential areas, if works are conducted in the dry season, the contractor must water the exposed area and construction materials either stored or transported must be covered to avoid particulate matter to be blown by the wind
 - (ii) Communities must be given adequate notice of intended construction and potential for dust and blockage of access to roads or community facilities during construction



- (iii) When sand is used to fill in land or to level a site it must be capped with clay turf, whenever possible. If this solution is not viable, spraying the area with water can minimize dust blown by the wind.
 - (iv) Construction work must be limited to daylight hours, from approximately 6:00 am to 8:00 pm, or according to local or specific regulations.
 - (v) Blasting to break up rocks will be conducted during daylight and residents will be advised when blasting will occur. The local regulatory authority should certify the person conducting this activity.
11. Adequate measures for preventing siltation of watercourses by run-off must be implemented, such as silt screens and straw devices, among others.
 12. Safety measures must be taken to prevent accidents involving workers and members of the community.
 13. Clearing of trees and other vegetation must be minimal
 14. All waste must be disposed of in environmentally sound ways and at dumpsites approved by the relevant Parks and Markets Authority.
 15. All sewage disposal facilities are required to be adequate and fully functional and the end of construction
 16. Penalties are to be instituted for breach of guidelines mandated by JSIF

III. Operation and Maintenance

13. Sanitary Facilities:

- (i) Environmental awareness and maintenance training to users will be provided on all sanitation projects.
- (ii) Latrine pits, absorption tanks or septic tanks must be cleaned regularly, according to JSIF's Operation and Maintenance Manual for infrastructure project. Where technologies such as biodigesters or composting toilets are being used, specific training must take place to ensure ongoing functioning of these systems.

14. Solid Waste Management:

- (i) Solid waste will be collected and disposed of in an appropriate manner and on a regular basis, according to the JSIF's Operation and Maintenance Manual for infrastructure projects.
- (ii) Wastes must be stored in a covered garbage storage unit, designed in accordance to current NEPA guidelines and protected from the access by animals.
- (iii) When appropriate landfill is not provided by the local government or the sponsor community, the JSIF will develop a waste management manual provide the sponsor community with (which will become part of the



Operation and Maintenance Manual). This manual will include self-sustained waste management plans that includes alternative solutions for adequate disposal of organic wastes and garbage, and potential uses for recycled materials, waste collection campaigns and other environmental awareness activities to be developed with the students and the community²⁸.

15. **Buildings and other physical structures:**

- (i) Maintenance training must be done with users to ensure care of the structure and avoidance of physical danger due to deterioration or lack of maintenance, particularly in the case of schools, community centres, water supplies and small bridges.

9.9 JSIF Environmental Guidelines: Specific Guidelines by Project Sub-type

All Project Sub-types assume the General Guidelines in addition to the type-specific guidelines listed below and the procedure required during each stage of the Project Cycle as outlined in Section 4.0.

1. Roads

Design Phase

1. Roads must be designed and constructed so that they do not impede the free flow of intervening water ways:
 - (i) At design phase, the grade of road must be established above the level of the existing drains
 - (ii) In case the existing road crosses a waterway, the design for rehabilitation must include culverts to allow the free flow of water. Size of culverts must be designed to accommodate a 30-year storm event.
2. Capped and uncapped roads must be designed and constructed so that water does not stand over long periods either on the road (in surface depressions) or at the sides or base.
 - (i) In case the size of the existing drains are not sufficient to ensure free water flow of a 30 year storm event, their enlargement must be included in the rehabilitation design;
 - (ii) If existing drains are blocked by vegetation or silt, clearing must be included in the rehabilitation project.
3. Bridges design must include re-vegetation of shoulders using native vegetation to reduce erosion.
4. The shoulder declivity must be designed according to the soil characteristics.

Construction Phase

²⁸ Burning or, covering with earth are common practice for waste disposal in rural areas. The appropriate alternative will be provided in the JSIF Operation & Maintenance Manual.



5. Construction works must comply with the JSIF's General Environmental Guidelines and implemented using JSIF's Environmental Handbook for Construction Supervision and monitoring and must ensure the following:
 - (i) Defined grades must be correctly set in place
 - (ii) No depressions must be left in the surface of the road
 - (iii) Drains must be unblocked and correctly sized, as in the project design.
6. Erosion control measures must be implemented accordingly to project design:
 - (i) Exposed road shoulders must be vegetated early with native species, appropriate to the site to reduce the impact of raindrop erosion
 - (ii) Erosion (silt/sediment) barriers must be in place and functional throughout construction.
7. There must be a satisfactory system of regular collection and disposal of waste and garbage; during construction works the contractor must ensure that:
 - (i) Materials are stored in such a way that will not be carried by rains and/or run-off waters into the drains
 - (ii) Garbage and construction wastes are collected and disposed in appropriate sites in a way that ensure that they will not be carried into the drains or discharged into wetlands or in sensitive vegetation communities;
 - (iii) Measures are implemented to avoid spills of lubricants, fuels and other chemicals, and in the event of an accidental spill, clean up is done immediately
 - (iv) After construction works are concluded the contractor must clear the area from all equipment, machines and wastes (liquids or solid)
 - (v) Whenever the sponsoring community does not provide an adequate site for waste disposal, the contractor shall follow the guidelines JSIF' will develop for waste disposal

Operation and Maintenance

8. Operations and Maintenance should follow JSIF's Operational and Maintenance Manual for Infrastructure Projects. Particular attention needs to be paid to:
 - (i) Erosion control
 - (ii) Drainage
 - i. Clearing and mitigating against land-slippage (within the capabilities of the community e.g. minor retaining walls, major works are the responsibility of the relevant authority.

2. Infirmaries, Health Centres and Similar Facilities

Project Design



1. Ministry of Health Standards for Design of Type 1 and 2 Health Centres must be applied to all JSIF Health Centre projects
2. Optimum sanitation must be maintained at all times. Cleanliness of utensils and equipment is paramount:
 - (i) Water supply facilities must include running water. When public water supply is not available on site, the project must consider, whenever technical and economically feasible, drilling a well or other alternative to provide potable water to the centre, including storage of rain water and roof drain water.
 - (ii) When public water supply is not available and no other alternative is technically and economically feasible, the JSIF must consider not financing the project.
 - (iii) Medical wastes must be disposed through approved Ministry of Health facilities or techniques.

Construction Phase

3. Construction works must comply with the JSIF's General Environmental Guidelines and implemented using JSIF's Environmental Handbook for Construction Supervision and Monitoring.

Operation and Maintenance

9. Operations and Maintenance should follow JSIF's Operational and Maintenance Manual for Infrastructure Projects. Particular attention needs to be paid to:
 - i. Maintenance of ventilation i.e. functioning secure windows
 - ii. Pest control – particularly in bathrooms and kitchen/dining areas
 - iii. Landscaping – ensuring safe, aesthetically pleasing surroundings
 - iv. Disaster preparedness – for hurricanes, flooding and fire
 - v. Waste disposal – safe disposal of medical and other wastes

3. Sanitary Facilities (latrines)

Site Selection and Project Design

1. Pit latrines should be avoided due to (i) odour and insect (flies and mosquitoes) problems; (ii) risks of contamination by pathogens (virus, protozoa and helminths) transmitted by excreta; (iii) risk of small children falling into pits; (iv) where the water table is high
2. Pit latrines with adequately designed septic tanks and absorption pits are recommended when there is (i) inadequate water supply to support water closets (ii) where soil absorption rates ensure proper and safe diffusion of waste water (ii) where there is no potential for contamination of ground water supplies.
3. Other alternative sanitation technologies, such as ventilated improved latrines (VIP latrines), should be considered appropriate only when flushing toilets are not technically and economically feasible.



4. The sanitary facility must be installed in a site that (i) has a low water table (ii) is located down stream any water body source: (iii) is located at least 100 meters form any water body.

Construction Phase

5. Construction works must comply with the JSIF's General Environmental Guidelines and JSIF's Environmental Handbook for Construction Supervision and monitoring.

Operation and Maintenance

6. Operation & maintenance must comply with the General guidelines presented as well as with JSIF's Manual for Operation and Maintenance of Infrastructure Projects.

4. Sanitary Facilities (community showers)

Site selection and project design

1. Before the sanitary facility is designed it must be ensured that the site where it is to be installed is located downstream any water body source.
2. Community showers must be located at least 15 meters from existing buildings and houses.
3. The community shower must be installed inside a well-ventilated and well-drained super structure.
4. The area surrounding the superstructure must be adequately landscaped, secure and well drained.
5. The size and number of showers must comply with JSIF's design guidelines

Construction Phase

6. Construction works must comply with the JSIF's General Environmental Guidelines and JSIF's Environmental Handbook for Construction supervision and Monitoring.

Operation and Maintenance

7. Operations and Maintenance should follow JSIF's Operational and Maintenance Manual for Infrastructure Projects. Particular attention needs to be paid to:
 - a. Maintenance of plumbing and water supply
 - b. Cleanliness of facility
 - c. Maintenance of security measures

5. Drainage

Project Design

1. Project design must follow the general guidelines as well as the specified procedures outlines for appraisal of projects in Section 4.0.

Construction Phase

2. Construction works must comply with the JSIF's General Environmental Guidelines and JSIF's Environmental Handbook for Construction Supervision and Monitoring.
3. Vegetation and silt materials recovered from dredging must be securely, disposed, in order to avoid being brought back to canals and drains, by runoff and rains.
4. During dredging, unauthorised persons must be prevented from approaching working areas by the installation of protecting devices, in order to avoid or minimise risks of accidents involving the community.

6. Water Projects

1. It must be verified that requirements for protecting the water source from contamination are adopted.
2. The delivery of safe potable water must be ensured: materials used in the pipeline must ensure that no leaks will threaten the delivery of safe potable water.

a. Site selection and protect design

3. Crater source must be located upstream any possible source of crater pollution and protected from contamination by a superstructure.
4. Project Application must require physical and bacteriological analysis of the water from the water source, which is intended to be used.
5. In case the water is not adequate for human consumption, the JSIF must consider not financing the project.

b. Construction phase

Excavation works must be made whenever possible during the dry season, to avoid erosion and siltation of drainage canals or other water bodies in the area.

7. During construction works, unauthorised persons must be prevented from approaching working areas by the installation of protecting devices, in order to avoid or minimize risks of accidents involving the community.

c. Operation and Maintenance

9. All infra and superstructure must be permanently maintained in adequate operating conditions.
9. Water source and water pipes must be continuously monitored to ensure that no contamination has occurred.

7. Agro-processing Facilities



1. Waste products must not be deposited in watercourses, wetlands or in sensitive vegetation communities.
2. Waste Crater and processing effluent must be treated to reduce contaminants and not be discharged directly to water bodies, wetlands, or in sensitive vegetation communities.



10. Land acquisition and resettlement policy framework

10.1 Introduction

The Jamaica Social Investment Fund (JSIF) was established in 1996 under the Government of Jamaica's National Poverty Eradication Program as an autonomous Government sponsored institution to manage the financing of small community based development projects in urban and rural areas aimed at reducing poverty and building social capital. JSIF is a limited liability company conforming to the definition of a Government Company within the Financial Administration and Audit Act.

This Land Acquisition & Resettlement Policy Framework will apply to all JSIF funded community projects including the World Bank assisted Inner City Basic Services for the Poor Project (P091299). For JSIF funded community projects, the Policy Framework will supplement existing Jamaican law pertaining to land acquisition and resettlement by introducing additional compensation measures to achieve compensation at replacement cost together with implementation and consultation arrangements to minimize land acquisition impacts and obtain the informed consent of those affected by land acquisition.²⁹ The Policy Framework will form part of JSIF's Operational Manual for community projects.

JSIF funded community projects comprise a menu of eligible infrastructure investments including:³⁰

- Drinking water supply – public and household connections
- Sewerage or on-site sanitation, including small package treatment plants
- Sanitation (local urban sewer systems, septic tanks, pit latrines)
- Storm drainage
- Solid waste system improvements, such as collection points and pick-up service
- Small roads with structures within the participating communities
- Sidewalks
- Street lighting
- Fencing and walls
- School buildings and associated amenities
- Community and recreation facilities (e.g. community centers, sports fields)
- Agro-processing facilities
- Community markets.

While these infrastructure investments are not expected to involve any significant land acquisition and displacement, they may require access to limited areas of land either temporarily during construction or permanently for specific community projects. Such land may either be furnished through voluntary private land donations, transactions between willing-seller-willing-buyer, donations of vacant government land, or involuntary land acquisition based on eminent domain. Community projects that would involve resettlement of more than 10 families are not eligible for JSIF funding.

²⁹ An assessment of existing Jamaican law regarding land acquisition together with an analysis of gaps between these and the provisions of the World Bank's Operational Policy 4.12 on Involuntary Resettlement is in the *Safeguards Diagnostic Review for Piloting the Use of Jamaican Systems to Address Environmental and Social Safeguard Issues in the Proposed Bank-Assisted Jamaica: Inner City Basic Services for the Poor Project*, January 2006.

³⁰ A "negative list" of ineligible projects is included in JSIF's Environmental Management Framework.



JSIF financed community projects are usually demand driven, and the need for access to land together with the means to obtain such access including land acquisition based on eminent domain can only be identified during the development of specific community project proposals. The development of a project proposal takes place through a community based participatory planning process. This process involves consideration of alternatives to avoid or minimize land acquisition and displacement. Given that the persons potentially affected by land acquisition and displacement are in most cases also project beneficiaries with a voice in decision making on both the type of investments and technical alternatives, there is a strong incentive to seek solutions that avoid or reduce adverse impacts from land acquisition.

Since the land acquisition impacts deriving from these community projects will be minor, the appropriate instrument to manage such impacts shall be an Abbreviated Resettlement Plan attached as an annex to the project proposal/plan agreed between the community and JSIF. If the land acquisition under a community project causes displacement, the Abbreviated Resettlement Plan shall include economic rehabilitation measures.

If any land required by a community project is obtained through land donations, purchase of land from a willing seller, or access to vacant government land, documentation shall be attached to the agreed community project proposal.

For World Bank assisted projects, the first five community projects with an Abbreviated Resettlement Plan and/or documentation for land obtained through donations or purchase shall be submitted to the Bank for review and approval. Based on the findings of these reviews, the Bank may agree that subsequent community project proposals with arrangements for obtaining land may be approved by JSIF without prior Bank review. All such plans approved by JSIF would still be subject to ex-post review by the Bank.

10.2 Definitions

The definitions used in this Resettlement Policy Framework are:

1. **"Census"** means the head count of the persons affected by land acquisition in terms of asset loss and/or displacement, together with an inventory of the assets lost by these persons. The date of the census is the latest cut-off date to record the persons in a community project area who will receive compensation for lost assets, and/or resettlement and rehabilitation assistance.
2. **"Compensation"** means the reparation at replacement cost as determined in Section X of this Policy Framework in exchange for assets acquired by a community project (land, buildings, or other assets).
3. **"Cut-Off Date"** means the date after which no person moving into the community project area will be eligible to receive compensation related to land acquisition and resettlement. The cut-off date is the date on which the project concept for basic infrastructure investments under a project is agreed between the community and JSIF.
4. **"Displaced Persons"** means PAPs who are forced to relocate from their previous location because (i) all of their land or buildings are acquired for a community project, or (ii) because the amount of land or buildings acquired renders the remaining portion economically unviable or uninhabitable.
5. **"Eminent Domain"** means the right of the state to acquire land for a public purpose using its sovereign power.
6. **"Inventory of Assets"** means a complete listing and description of all assets that will be acquired under a specific community project.



7. **“Land Acquisition”** means the process of acquiring land for a community project under the legally mandated procedures of eminent domain.
8. **“Project Affected Person”** (PAP) means the people directly affected by land acquisition for a community project through loss of part or all of their assets whether temporarily or permanently including land, houses, other structures, businesses, crops/trees, or other types of assets.
9. **“Rehabilitation Assistance”** means the provision of cash, assets, job training, or other forms of assistance to enable displaced persons without legal title to the assets taken to improve or at least restore their income levels and standard of living to pre-project levels.
10. **“Relocation Assistance”** means the assistance provided to displaced persons/families to cover (i) the costs of moving from their previous to their new location, and (ii) local average costs of living during a two month transition period to resettle in their new location of residence or business.
11. **“Replacement Cost”** means the method of valuation of assets to determine the amounts sufficient to replace the lost assets and cover transaction costs.
12. **“Resettlement”** means the relocation of displaced persons into new residential locations.
13. **“Community project”** means a specific community infrastructure investment activity, which may comprise several sub-components, carried out with funding from JSIF.

10.3 Objectives and Principles

The objective of this Resettlement Policy Framework is to ensure that where land acquisition is unavoidable, all project affected persons (PAPs) will be compensated for their lost assets at replacement costs, and in the event of resettlement be provided with assistance to help them improve, or at least restore, their livelihoods and standards of living to pre-displacement levels. To support this objective, the following principles will apply:

1. During the community based project preparation process, consideration of technical options shall involve a concurrent assessment of potential associated land acquisition impacts, so that, where feasible, design alternatives to minimize such impacts can be identified as early as possible.
2. Consultation arrangements during the community based project preparation process shall be transparent and inclusive to ensure that all persons affected by involuntary land acquisition or resettlement agree on the mitigation measures.
3. Community project proposals involving involuntary land acquisition or resettlement shall include the costs of compensation/rehabilitation.
4. Replacement housing sites or agricultural land will be located as near as possible to the land lost, and at a site acceptable to the PAP.
5. Lack of formal title to assets lost (land/house/business) will not bar a PAP from being entitled to receive assistance to achieve the objective of this Policy Framework.
6. Compensation for lost assets shall be provided two months before these are taken into possession, and relocation assistance shall likewise be provided two months before PAPs are displaced.
7. A very large proportion of the households in the urban slum areas are female headed, and care should be taken to ensure that they receive compensation and resettlement benefits in cases where the title-holder is an absent male. However, compensation and resettlement benefits to female headed households would not cancel claims on a property by the title holder.
8. If community members elect to voluntarily donate land/assets without compensation, they must be fully informed about the project and its grievance redress arrangements ahead of the agreement, and it must be documented that this act is performed freely and voluntarily, without any coercion.



10.4 Abbreviated Resettlement Plan

For community projects requiring land acquisition, an Abbreviated Resettlement Plan shall be completed no later than four months prior to the planned date for commencement of civil works, and in the case of Bank assisted projects, the first five plans shall be submitted to the Bank for review no later than three months before the planned start of civil works. For Bank assisted projects, implementation of a specific Abbreviated Resettlement Plan will only begin after approval by JSIF and if found acceptable by the Bank. The Abbreviated Resettlement Plan will cover the following:

1. Description of the specific activities under a community project that require land, together with the different means used to obtain this land (see Section V),
2. A census of persons affected/displaced by involuntary land acquisition together with an inventory of lost assets and valuation of these (see Section XI),
3. Description of the compensation and other resettlement assistance to be provided (see Section IX),
4. Description of the consultations with affected/displaced persons about acceptable alternatives (see Section VI),
5. Institutional responsibility for implementation and procedures for grievance redress (see Section VII),
6. Arrangements for monitoring and implementation (see Section XI),
7. A time-bound implementation plan and budget.

The funding required to implement an Abbreviated Resettlement Plan shall be part of the overall costs of a particular community project. The sources of funding for the different activities in the Abbreviated Resettlement Plan shall be clearly specified in the budget. In the case of World Bank assisted projects, compensation for assets acquired will be from counterpart funds, while rehabilitation together with costs for developing resettlement sites can be either counterpart or Loan funds. The World Bank can not finance cash payments. The time-bound implementation plan will specify the delivery of land acquisition compensation and rehabilitation entitlements in relation to the timing of physical construction activities.

10.5 Means of Obtaining Access to Land

The infrastructure investments undertaken in JSIF financed community based projects are for the most part located within the beneficiary communities, and this provides for a situation where access to land may be obtained through other means than land acquisition through eminent domain alone. Thus, land for different investment components in a community project could be obtained through one or a combination of the different means listed below. While all of these means of obtaining land would require documentation, not all would necessitate payment of compensation and/or provision of relocation and rehabilitation assistance. However, in all cases, care should be taken to ensure that the persons involved are fully informed about the project, about the avenues for grievance redress (see Section VIII), and confirm that the donation or long term lease is voluntary. This information must be provided during the consultations that take place as part of the participatory community project preparation process (see Section VI).

Means of obtaining land	Requirements
Voluntary donation or long term lease of private land	Attached to the community project proposal/plan must be Proof of Ownership (Annex 2) and Documentation of Donation of Assets (Annex 3) or Documentation of Long Term Lease (Annex 4).

Donation of community land	Attached to the community project proposal/plan must be Proof of Ownership (Annex 2) and Documentation of Donation of Assets (Annex 3).
Willing-seller-willing-buyer transaction	Attached to the community project proposal/plan must be Proof of Ownership (Annex 2) and Documentation of Sale of Assets (Annex 5).
Transfer of public land without squatters or other encumbrances	Attached to the community project proposal/plan must be permission from the Government Agency holding the land or from the Commissioner of Lands.
Transfer of public land with squatters or other encumbrances	Attached to the community project proposal/plan must be permission from the Government Agency holding the land or from the Commissioner of Lands together with a mitigation plan based on this Policy Framework to provide rehabilitation and relocation assistance for squatters.
Involuntary land acquisition based on eminent domain with or without associated displacement	Abbreviated Resettlement Plan attached as an annex to the community project proposal/plan

If a community chooses to obtain the land required for a particular infrastructure investment through purchase from a willing seller, the funds for this purchase must be provided by the community as part of its contribution towards the capital costs of the project. This must be included in the community project budget.

10.6 Community Project Preparation, Consultation, and Land Acquisition Planning

Since the infrastructure investments undertaken in JSIF financed community based projects are for the most part located within the beneficiary communities, any land acquisition impacts caused by such investments would therefore primarily affect people who are at the same time project beneficiaries. During the community based participatory project preparation process, consideration of technical options must involve a concurrent assessment of potential associated land acquisition impacts as described in the table below. This will facilitate an early and ongoing identification of feasible technical design alternatives to minimize such impacts, and will also enable consultation with persons affected by land acquisition to obtain their consent regarding mitigation measures.

To ensure that all persons potentially affected by involuntary land acquisition have a voice in the consultations, and that they agree on the mitigation measures if land acquisition is found to be unavoidable, it is important that the consultation arrangements during the community based project preparation process are:

- transparent and inclusive, so that people are made aware of their options, and that those potentially affected by land acquisition are included in the consultations,
- held in a location accessible to all interested community members, and
- that community members and particularly those potentially affected by land acquisition are informed of the purpose, time and venue well in advance.



Consultations and planning regarding land acquisition shall be embedded in the JSIF community project preparation process as follows:³¹

Community Project Preparation	Actions on Land Acquisition	Responsible
1. Promotion (information dissemination on JSIF funding of community projects and rules of the game)	Information dissemination on: <ul style="list-style-type: none"> • project eligibility (< 10 families to be resettled), • need to avoid or minimize land acquisition in project planning, • acceptable means of obtaining land, and • compensation options for PAPs. 	JSIF Environment & Resettlement Officer and Community Liaison Officers
2. Project Application	Indicate: <ul style="list-style-type: none"> • expected need for land for specific investment components, • means of obtaining such land, • need for land acquisition and assessment of impacts. 	Community/CBO
3. Review of Application	<ul style="list-style-type: none"> • Reject application and return for revision if 10 or more families are planned to be resettled as a result of envisaged land acquisition, • Include preparation of Abbreviated Resettlement Plan in TOR for design consultant if required. 	JSIF Environment & Resettlement Officer
4. Project Concept Development	Preliminary Site Screening and Community Consultations to: <ul style="list-style-type: none"> • verify need for land for specific investment components, • confirm information on voluntary land donations and availability of unused government land, • assess options for avoiding or minimizing land acquisition, • ensure that potentially affected persons and land donors are involved in the consultation and informed of options, • Conduct census of PAPs. 	JSIF Environment & Resettlement Officer and Technical Appraisal Officers
5. JSIF Technical & Social	<ul style="list-style-type: none"> • Assist community in obtaining 	JSIF Environment

³¹ The 12 communities/neighborhoods covered by the Bank assisted *Jamaica: Inner City Basic Services for the Poor Project* were selected based on a pre-defined set of criteria, and have therefore not gone through the entire community project preparation process outlined in the matrix. During the preparation of these projects consultations were held with the population of the target communities on technical solutions to avoid land acquisition. As a result, none of the community project plans involve land acquisition, but land for specific project components is obtained through other means (see Annex 1). However, during a Bank team field visit on January 15, 2006, to the Flankers' neighborhood, it was found that the planned rehabilitation and extension of a storm drain from Providence Heights would require at least temporary relocation of 3 squatter houses built over the gully.

Review	<p>permission to use available government land from the Agency holding the land or from the Commissioner of Lands,</p> <ul style="list-style-type: none"> • Obtain documentation on land donations from community, • Review technical options to avoid or minimize land acquisition, • Compile inventory of assets lost by PAPs, • Draft Abbreviated Resettlement Plan, • Review/approve Abbreviated Resettlement Plan. 	<p>& Resettlement Officer and Technical Appraisal Officers</p> <p>Design Consultant</p> <p>JSIF Resettlement Officer</p>
6. Project Design	Present Abbreviated Resettlement Plan in a community consultation to obtain community endorsement.	JSIF Environment & Resettlement Officer and Community Liaison Officers
7. Project Approval	<p>For World Bank assisted projects:</p> <ul style="list-style-type: none"> • Submit Abbreviated Resettlement Plan for review and approval. • Disclosure of the Abbreviated Resettlement Plan at a place accessible to PAPs and NGOs. 	JSIF

Particularly in urban communities, there could be two different contexts for possible land acquisition impacts:

- Community infrastructure improvement activities, and
- Off-site infrastructure improvements to link community infrastructure to existing trunk infrastructure.

People affected by land acquisition caused by off-site infrastructure improvements financed as part of a particular community project would not as a matter of course be involved in the community consultations on the project activities and design. A special effort therefore needs to be made by both the beneficiary community and JSIF to assess options for avoiding or minimizing land acquisition caused by off-site infrastructure improvements throughout the project preparation process. Where it is not possible to avoid such land acquisition, consultations should be held with those affected at the same stages of project preparation where members of the beneficiary community are consulted. Non-community members affected by land acquisition for off-site infrastructure improvements are entitled to the same compensation and rehabilitation measures as affected members of the community benefiting from the infrastructure improvements.

10.7 Institutional Arrangements

The overall responsibility for the implementation and enforcement of the Land Acquisition & Resettlement Policy Framework rests with JSIF.



Within JSIF, there shall be an Environment & Resettlement Officer and a Legal Officer. Their principal tasks under this Policy Framework are to:

- Provide training on the Policy Framework to JSIF project staff and field staff from the Social Development Commission (SDC) involved in JSIF funded community projects,
- Ensure that the identification and planning of land acquisition and resettlement are integrated into the community project preparation process as described in Section VI,
- Draft TORs for preparation and implementation of Abbreviated Resettlement Plans,
- Supervise implementation of Abbreviated Resettlement Plans, and compliance with documentation requirements for land obtained through donations, purchase, or transfer of available government land,
- Facilitate and monitor resolution of grievances related to land acquisition,
- Liaise with other government agencies such as the Land Valuation Division in the National Land Agency, and the Commissioner of Land.

Acquisition of the land required for a particular community project will be undertaken by the Commissioner of Land based on information and documentation provided by JSIF, and valuation of the assets to be acquired will be conducted by the Land Valuation Division in the National Land Agency.

The preparation of an Abbreviated Resettlement Plan for a particular community project will be incorporated in the TOR for the design consultant involved in the project in question, and implementation of the Resettlement Plan will be part of the assignment of the contractor.

10.8 Grievance Redress Arrangements

Resolution of different types of grievances regarding land acquisition and or resettlement will be attempted at different levels:

- Solutions to grievances related to land acquisition impacts should be pursued at the community level with facilitation by JSIF and SDC staff together with design consultants in order to find technical solutions that avoid or further minimize the need for land acquisition.
- Solutions to grievances related to voluntary land donations (e.g. pressure on individuals to donate land) or sale of private land for project use should likewise be attempted at the community level with facilitation by JSIF and SDC staff.
- Solutions to grievances related to compensation amounts, delays in compensation payments or provision of different types of resettlement assistance should be pursued directly by the designated land acquisition and resettlement staff in JSIF through liaison with the relevant actors.
- Arbitration by appropriate local institutions such as the Dispute Resolution Foundation (which is a Government supported NGO with links to the courts. The courts do refer cases to the Foundation for arbitration as a measure to seek a faster resolution to disputes. This would not prevent the parties to the dispute from taking the matter to the court if a compromise can not be reached).
- Where satisfactory solutions to grievances can not be achieved, the aggrieved party may take the matter before the courts.

JSIF's land acquisition and resettlement staff will ensure that community members and in particular PAPs are informed about the avenues for grievance redress, and will maintain a record of grievances received, and the result of attempts to resolve these (Annex 6). This information



will be entered into the JSIF Management Information System (MIS) and be included in the regular progress reporting.

10.9 Eligibility and Entitlements

This matrix defines the eligibility for compensation and/or rehabilitation assistance for impacts/losses for different types of assets for different categories of project affected persons.

ASSET ACQUIRED	TYPE OF IMPACT	ENTITLED PERSON	COMPENSATION ENTITLEMENT
AGRICULTURAL LAND	No displacement: <ul style="list-style-type: none"> Less than 50% of land holding affected, The remaining land remains economically viable 	Farmer/title holder	Cash compensation for affected land equivalent to market value
		Tenant/lease holder	Cash compensation equivalent to market value of gross harvest of the affected land for one year or for the remaining period of tenancy/lease agreement, whichever is greater.
	Displacement: <ul style="list-style-type: none"> More than 50% of land holding lost OR <ul style="list-style-type: none"> Less than 50% of land holding lost but remaining land not economically viable 	Farmer/title holder	<ul style="list-style-type: none"> Land for land replacement where feasible, or compensation in cash for the entire landholding according to PAP's choice. Land for land replacement will be in terms of a new parcel of land of equivalent size and productivity with a secure tenure status at a location acceptable to the PAP. Transfer of the land to the PAP shall be free of taxes, registration & other costs. Relocation assistance (costs of shifting + allowance)
		Tenant/lease holder	<ul style="list-style-type: none"> Cash compensation equivalent to market value of gross harvest for one year or for the remaining period of tenancy/lease agreement, whichever is greater. Transfer/resettlement assistance (costs of shifting + allowance)
		Agricultural worker	<ul style="list-style-type: none"> Cash compensation equivalent to local average of 6 months salary Relocation assistance (costs of shifting + allowance) Assistance in getting alternative employment
COMMERCIAL LAND	No displacement: Land used for business partially affected, limited loss	Title holder/business owner	<ul style="list-style-type: none"> Cash compensation for affected land Opportunity cost compensation equivalent to 5% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist)³².
		Business owner is lease holder	Opportunity cost compensation equivalent to 10% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates)
	Displacement: Premise used for business severely affected, remaining area insufficient for continued use	Title holder/business owner	<ul style="list-style-type: none"> Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at a location acceptable to the PAP. Transfer of the land to the PAP shall be free of taxes, registration & other costs. Relocation assistance (costs of shifting + allowance) Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates).
		Business person is lease holder	<ul style="list-style-type: none"> Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business), or the relocation allowance, whichever is higher. Relocation assistance (costs of shifting) Assistance in rental/lease of alternative land/property

³² Street vendors and/or operators of makeshift stalls/shops would normally not have tax records, and the opportunity cost compensation will be based on an assessment informed by data from comparable businesses of turn-over and net profits.

ASSET ACQUIRED	TYPE OF IMPACT	ENTITLED PERSON	COMPENSATION ENTITLEMENT
RESIDENTIAL LAND	No displacement: Land used for residence partially affected, limited loss, and the remaining land remains viable for present use	Title holder	Cash compensation for affected land
		Rental/lease holder	Cash compensation equivalent to 10% of lease/rental fee for the remaining period of rental/lease agreement (written or verbal)
	Displacement: Premise used for residence severely affected, remaining area insufficient for continued use or becomes smaller than minimally accepted under zoning law/s	Title holder	<ul style="list-style-type: none"> Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement shall be of minimum plot of acceptable size under the zoning law/s or a plot of equivalent size, whichever is larger, in either the community or a nearby resettlement area with adequate physical and social infrastructure systems as well as secured tenure status. When the affected holding is larger than the relocation plot, cash compensation to cover the difference in area/size. Transfer of the land to the PAP shall be free of taxes, registration & other costs. Relocation assistance (costs of shifting + allowance)
		Rental/lease holder	<ul style="list-style-type: none"> Cash compensation equivalent to 3 months of lease/rental fee Assistance in rental/lease of alternative land/property Relocation assistance (costs of shifting + allowance)
BUILDINGS	No displacement: Structure partially affected but the remaining structure remains viable for continued use	Owner	<ul style="list-style-type: none"> Cash compensation for affected building and other fixed assets Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	<ul style="list-style-type: none"> Cash compensation for affected assets Disturbance compensation equivalent to two months rental costs
	Displacement: <ul style="list-style-type: none"> Entire structure affected OR <ul style="list-style-type: none"> structure partially affected but the remaining structure is not suitable for continued use 	Owner	<ul style="list-style-type: none"> Cash compensation for entire structure and other fixed assets without depreciation, or alternative structure of equal or better size and quality in a location acceptable to the PAP. Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance) Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	<ul style="list-style-type: none"> Cash compensation for affected assets Relocation assistance (costs of shifting + allowance equivalent to four months rental costs) Assistance to help find alternative rental arrangements Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/ Informal dwellers	<ul style="list-style-type: none"> Cash compensation for affected structure without depreciation Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance equivalent to four months average local rental costs for low-income housing, or housing in a squatter settlement scheme, if available) Rehabilitation assistance if required (assistance with job placement, skills training)
STANDING CROPS	Crops affected by land acquisition or temporary acquisition or easement	PAP (whether owner, tenant, or squatter)	Cash compensation equivalent to average of last 3 years market value for the mature and harvested crop
TREES	Trees lost	Title holder	Cash compensation based on type, age and productive value of affected trees PLUS 10% premium
TEMPORARY ACQUISITION	Temporary acquisition	PAP (whether owner, tenant, or squatter)	<ul style="list-style-type: none"> Cash compensation for any assets affected (e.g. boundary wall demolished, trees removed)



10.10 Asset Valuation

The valuation of the assets to be acquired will be conducted independently from JSIF and community project proponents by the Land Valuation Division in the National Land Agency. Based on a list of land acquired and its ownership status from the Commissioner of Land, the Land Valuation Division will value the assets to be acquired.

Acquired assets will be compensated at replacement costs, and in calculating replacement cost, depreciation of structures and assets is not taken into account, nor is the value of materials salvaged by the PAP from an asset (e.g. building materials, the pump from a well etc) acquired under a community project. For houses and other structures, the replacement value, if provided as cash compensation, is the market costs of materials to build a similar or better structure than the one affected, plus costs of labor/contractors, and the cost of any registration and transfer taxes. For urban and agricultural land, the replacement cost is the pre-project or pre-displacement (whichever is higher) market value of land of equal size or use plus the cost of any registration and transfer taxes.

Displaced persons/families will receive relocation assistance to cover (i) the costs of moving from their previous to their new location, and (ii) an allowance equal to the local average costs of living during a two month transition period to resettle in their new location of residence or business.

10.11 Monitoring Arrangements

For each community project, information on land requirements and the means of obtaining any land required by a particular project component will be recorded in the MIS for different stages of the project cycle:

Community Project Cycle	Data for MIS
Project Application	<ul style="list-style-type: none"> • Estimated need for land for specific investment components, • means of obtaining such land (donation, govt. land, purchase, land acquisition), • scale of resettlement, if any.
Review of Application	<ul style="list-style-type: none"> • Approval, • Rejection (> 10 families to be resettled)
Project Concept Development and JSIF Technical & Social Review	<ul style="list-style-type: none"> • Community consultations (date, # of participants including potential PAPs), • Documentation provided on voluntary land donations and transfer of unused government land.
Abbreviated Resettlement Plan	<ul style="list-style-type: none"> • Data from census and inventory of assets lost by PAPs, • Dates of receipt, review, and approval by JSIF of ARP, • Dates of submission and approval by Bank of ARP (for Bank assisted projects), • Date of disclosure of ARP.
Implementation	<ul style="list-style-type: none"> • Delivery of compensation and rehabilitation entitlements as per ARP, • Data on grievance redress
Post-implementation	<ul style="list-style-type: none"> • Evaluation including assessment of economic



	rehabilitation/income restoration.
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Each Abbreviated Resettlement Plan will establish a baseline through the census of PAPs, the inventory of assets lost, and the compensation and resettlement benefits awarded to the PAPs. Progress monitoring by JSIF will record the timely provision of compensation to PAPs (whether provided before or after possession was taken of the asset), and the timely provision of resettlement assistance. The data will be entered into JSIF's MIS (see Annex 7 for the reporting format and indicators). An evaluation will be undertaken to establish whether the objective of the measures to mitigate the land acquisition and resettlement impacts have been achieved, namely, whether PAPs affected by land acquisition and resettlement have been able to improve, or at least restore, their livelihoods and standards of living to pre-displacement levels.

For projects assisted by the World Bank, periodic supervision will assess whether the implementation is in compliance with the provisions in approved Abbreviated Resettlement Plans.

**Jamaica: Inner City Basic Services for the Poor Project (P091299)
Land requirements under Community Projects**

For the 12 community projects under the Inner City Basic Services for the Poor Project, consultations during project preparation have eliminated the need for land acquisition based on eminent domain.³³ Land required for specific project components will be obtained through other means as listed in the table below. The table was updated in a consultation on JSIF's Policy Framework with representatives of all the 12 target communities on January 13, 2006. Documentation as required by this Policy Framework will be attached to the agreed community project plan.

Project Communities	Parish	Community Project Component requiring land	Method of obtaining land		
			Vacant Govt land	Private donation	Purchase: Willing-Seller-Willing-Buyer
Whitfield Town	Kingston-St.Andrew	None			
Federal Gardens	Kingston-St.Andrew	Community Centre	Yes		
Dunkirk ³⁴	Kingston-St.Andrew	None			
Jones Town	Kingston-St.Andrew	None			
Tawes Pen	St. Catherine	Community Centre ³⁵	Yes		
Africa	St. Catherine	None			
Central Village	St. Catherine	- Community Centre - New drain from Central Road to river	To be decided		
Shelter Rock	St. Catherine	- Community Centre ³⁶ - Off-site drain extensions	Yes		
Lauriston	St. Catherine	Community Centre			Yes ³⁷
Bog Walk	St. Catherine	- Community Centre ³⁸	Yes		

³³ Final Neighbourhood Basic Infrastructure & Public Buildings Safety Plans – Community Specific Plans, JSIF, December 2005.

³⁴ The project will refurbish the existing sewer network, which will be connected to a sewage treatment facility to be funded from other sources. Since the two activities are linked, the access to land for the treatment facility needs to be clarified.

³⁵ Upgrading of existing structure.

³⁶ Upgrading of existing structure.

³⁷ The land was previously bought by a neighborhood CBO with its own funds.

³⁸ The Community Centre will be located on a piece of land presently used in part as a community sports/play-ground, and in part as residential area by squatters. At the consultation on JSIF's Policy Framework on January 13, 2006, community members were of the opinion that the Community Centre could be constructed on the site without disturbing the squatter settlement or the sports/play-ground.



		- Drainage	Yes		
Bucknor	Clarendon	- Community Centre	Yes		
Flankers	St.James	- Community Centre ³⁹ - Drainage ⁴⁰ - Road (Hog City) ⁴¹	Yes		To be decided

³⁹ Upgrading of existing structure.

⁴⁰ During a Bank team field visit , to the Flankers' neighborhood on January 12, 2006, it was found that the planned rehabilitation and extension of a storm drain from Providence Heights in Hog City would require at least temporary relocation of 3 squatter houses built on the bank and partly over the gully. An assessment of the the need for temporary or permanent relocation needs to be made as part of the finalization of the community plan for Flankers, and if required, the plan needs to be amended with resettlement mitigation measures.

⁴¹ Road rehabilitation will require minor realignment and shifting of a fence.

What information on land ownership is needed?

The landowner must in all cases produce satisfactory documentary proof of ownership or permission to use the land before an application will be processed.

Satisfactory proof of ownership includes the following:

- Duplicate Certificate of Title or Common Law Conveyance in favour of the owner.

If the owner is unable to send either of these documents, JSIF will accept Voluntary Declaration forms (available upon request) completed by the owner and **two (2)** independent persons who have knowledge of the history of the land for at least **thirty (30)** years. Additionally, a survey of the land prepared by a commissioned land surveyor should be obtained, if none exists. A Common Law Conveyance can then be done (with the survey attached) transferring the land to the Commissioner of Lands, or an incorporated community based entity. An application can also be made to the Registrar of Titles to have a registered title issued to the Commissioner of Lands or an incorporated community based entity.

If the owner inherited the land JSIF requires the following:

- Copy of Will (where applicable)
- Copy Probate/Letters of Administration
- Registration on Transmission **and**
- Assent to Devise

Note that JSIF will accept copies of documents but originals must be available upon demand.

If the required documentation is in place, the landowner must then:

- Agree to immediately transfer the land to the Commissioner of Lands (the Commissioner) or an incorporated community based organisation (CBO) **or**
- Enter into a written agreement to transfer the land by way of gift **or,**
- Be prepared to provide either the Commissioner, other relevant government agency, or CBO with a lease of at least forty-nine (49) years duration at a nominal rent.



Documentation of Donation of Assets

The following agreement has been made on _____ between the parties below:

1. That the Owner holds the transferable right of the land/structure/asset described in the table below, as documented in the attached proof of ownership.
2. That the Owner testifies that the land/structure described in the table below is free of squatters or encroachers and not subject to other claims.
3. That the Owner agrees to transfer through donation to the recipient Community of _____ for the benefit of the community and the public at large this asset for the construction of _____ funded by a JSIF grant.

Type of Asset transferred to the Community	Description of Asset
Residential or Agricultural land	Area in m ² :
House/structure to be demolished	Type and Area in m ² :
Trees or crops affected	
Other assets	

4. That the Owner donates the asset described in the table above voluntarily, and will not claim any compensation against the grant of the asset.
5. That the Recipient shall construct and develop the _____ and take all possible precautions to avoid damage to adjacent land/structure/other assets.
6. That both the parties agree that the _____ so constructed/developed shall be public premises.
7. That the provisions of this agreement will come into force from the date of signing of this deed.

Name of Owner:
Signature of Owner:
Name of Witness:
Signature of Witness:

Name of CBO Chairperson:
Signature of CBO Chairperson:
Name of CBO Treasurer:
Signature of CBO Treasurer:



Documentation of Long Term Lease

The following agreement has been made on _____ between the parties below:

1. That the Owner holds the transferable right of the land/structure/asset described in the table below, as documented in the attached proof of ownership.
2. That the Owner testifies that the land/structure described in the table below is free of squatters or encroachers and not subject to other claims.
3. That the Owner agrees to transfer through long term lease for forty-nine (49) years this asset to the recipient Community of _____ for the benefit of the community and the public at large for the construction of _____ funded by a JSIF grant.

Type of Asset transferred to the Community	Description of Asset
Residential or Agricultural land	Area in m ² :
House/structure to be demolished	Type and Area in m ² :
Trees or crops affected	
Other assets	

4. That the Owner voluntarily provides asset described in the table above on long-term lease, and will only claim Jamaican Dollars _____ as compensation against the long term lease for forty-nine (49) years of the.
5. That the Recipient shall construct and develop the _____ and take all possible precautions to avoid damage to adjacent land/structure/other assets.
6. That both the parties agree that the _____ so constructed/developed shall be public premises.
7. That the provisions of this agreement will come into force from the date of signing of this deed.

Name of Owner:
Signature of Owner:
Name of Witness:
Signature of Witness:

Name of CBO Chairperson:
Signature of CBO Chairperson:
Name of CBO Treasurer:
Signature of CBO Treasurer:



Documentation of Sale of Assets

The following agreement has been made on _____ between the parties below:

1. That the Owner holds the transferable right of the land/structure/asset described in the table below, as documented in the attached proof of ownership.
2. That the Owner testifies that the land/structure described in the table below is free of squatters or encroachers and not subject to other claims.
3. That the Owner agrees to transfer through sale to the Recipient Community of _____ for the benefit of the community and the public at large this asset for the construction of _____ funded by a JSIF grant.

Type of Asset transferred to the Community	Description of Asset	Agreed sale price in Jamaican Dollars
Residential or Agricultural land	Area in m ² :	
House/structure to be demolished	Type and Area in m ² :	
Trees or crops affected		
Other asset		

4. That the Owner has received compensation against the transfer of this asset as per the table above.
5. That the Recipient shall construct and develop the _____ and take all possible precautions to avoid damage to adjacent land/structure/other assets.
6. That both the parties agree that the _____ so constructed/developed shall be public premises.
7. That the provisions of this agreement will come into force from the date of signing of this deed.

Name of Owner:
Signature of Owner:
Name of Witness:
Signature of Witness:

Name of CBO Chairperson:
Signature of CBO Chairperson:
Name of CBO Treasurer:
Signature of CBO Treasurer:



**Reporting Format
for
Grievance Redress**

Community Project & Name of Complainant	Type of Grievance					Grievance resolution			
	Affected, but not informed about impacts and options	Compensatio n awarded is inadequate	Compensatio n not paid before asset acquisition	Resettlement benefits awarded are not provided	Other	Date of complaint	Date resolved	Pendin g	Case referred to the Court
Community Project 1									
Complainant A									
Complainant B									
Complainant C									
Community Project 2									
Complainant D									
Complainant E									
TOTAL									



Reporting Format for Land Acquisition & Resettlement (Census, Inventory of Assets Lost, & Delivery of Compensation)

Date: _____

Name of Project & PAP	Status of PAP ⁴²	Means of obtaining land for an activity under a community project				Inventory of Assets acquired through land acquisition and value of compensation awarded										Resettlement and Rehabilitation			Compensation							
		Donation or Lease	Purchase	Vacant Govt. land	LA ⁴³	Agricultural Land			Residential or Commercial Land ⁴⁴			Buildings (Residences, Shops)			Other Assets			RA ⁴⁹	Plot	SK ⁵⁰	Total value of Com ⁴⁵	Date Of Com ⁴⁶	Date of Poss ⁴⁷			
						<50 %	>50 %	CV ⁴⁸	Partly	Fully	CV	Partly	Fully	CV	Trees /crops	Temp.	CV									

⁴² Status should be listed as either Owner (**O**), Tenant/Lease Holder (**T**); or Squatter (**S**)

⁴³ **LA** = Land Acquisition under eminent domain

⁴⁴ **Partly** = No resettlement since the land is partially affected, and the remaining land remains viable for present use. **Fully** = Resettlement since the land is severely affected, and the remaining area insufficient for continued use.

⁴⁵ **Total value of Com(pensation)** = The total monetary value of compensation for different types of lost assets.

⁴⁶ **Date of Com(pensation)** = The date on which the compensation payment was made to the PAP.

⁴⁷ **Date of Pos(session)** = The date on which the assets acquired were physically taken into possession for the community project.

⁴⁸ **CV** = Compensation Value at replacement costs assessed in Jamaican Dollars

⁴⁹ **RA** = Relocation Assistance provided only to displaced persons/families. This comprises costs of shifting to a new residence, plus an allowance of local average cost of living over a two month period.

⁵⁰ **SK** = Skills training for displaced PAPs who have experienced a decline in income as a result of the relocation, and who need assistance regarding income restoration.





11. Project monitoring and evaluation

Monitoring and Evaluation Framework

Background

In addressing the development priorities of the poorest communities in Jamaica, the Jamaica Social Investment Fund operates under the following 9 principles as stated in Section 2 of the Operations Manual (Guiding Principles):

- Poverty focus
- Development focus
- Building social capital
- Transfer of learning
- Promoting partnerships for Development
- Value for money
- Environmental soundness
- Technical Quality
- Maximizing opportunities for employment for poor
- Improvements in Public Safety

These principles will turn guide the overall monitoring and evaluation within the Fund.

Definition and Objectives

Monitoring can be defined as an ongoing function that gives decision makers early indications of progress (or the lack thereof) in achieving the objectives of the JSIF. Concomitantly, Evaluation is a periodic activity that aims to assess and the performance and relevance of a particular project or programme⁵¹. For some interventions, an impact evaluation will also be carried out to assess medium and longer term project impacts. Thus, the Monitoring and Evaluation (M&E) activities within the JSIF are critical tools that measure the extent to the organisation's objectives are being met and assess them within the guiding principles stated above. This will therefore guide appropriate decisions/actions. More specifically, M&E will:

- Inform decision-making at all levels in the organization:
 - Policy and overall goals and targets
 - Specific organizational functions
 - Individual outputs

- Provide a framework through which accountability at all management levels can be supported.

- Provide lessons that will help to continuously improve the effectiveness of functions within the organization

- Inform external stakeholders and partners of effective methodologies for community development.

The purpose of this paper is to outline a holistic and coherent strategy within which these objectives can be achieved. Currently, the JSIF already utilises various M&E methods in its operations. These consist of various monitoring mechanisms for individual departments or overall organisational outputs. They also include external impact evaluations and beneficiary

⁵¹ UNDP (2002) "Monitoring and Evaluating for Results", UNDP, New York.

assessments done on a periodic basis. The framework outlined in the sections below will incorporate these existing mechanisms with modifications being recommended for coherency.

Framework and Methodology

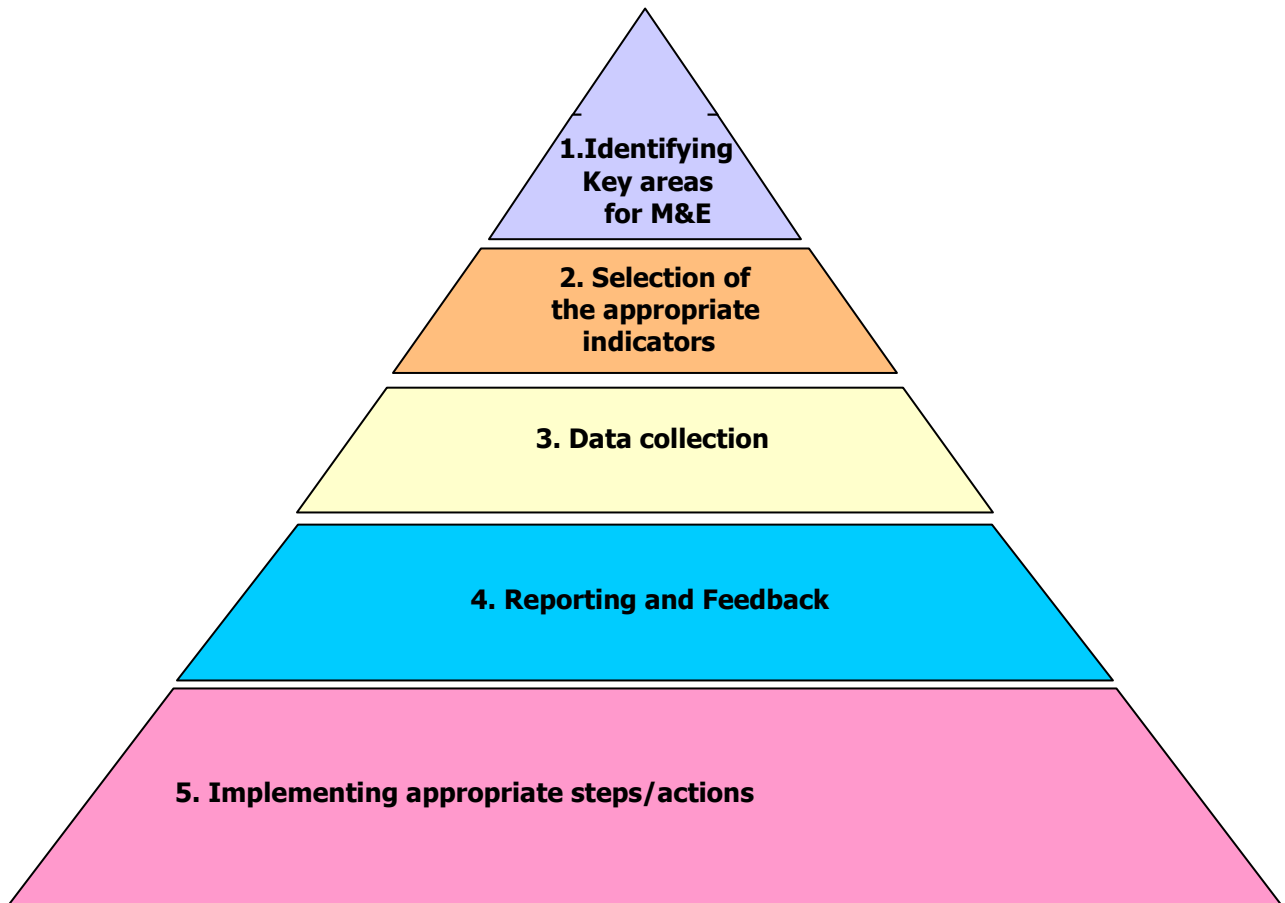
The M&E Framework will encompass two levels:

Level 1 - Internal (organisational efficiency)

Level 2 - External (sub-project outputs)

Both these levels are incorporated into the JSIF Logframe, which states the goals and expected outputs for the organisation. The Logframe is the principal planning tool within the organisation and forms the basis for the M&E framework. The framework is presented in two separate levels so that we can better implement the monitoring requirements of the overall Logframe. Throughout this framework, the task of monitoring and evaluation will be distributed between the departmental managers and their respective officers. The Internal Auditor is responsible for ensuring compliance with existing policies and internal controls within the organisation and will liaise with the external auditors/reviewers to co-ordinate the nature and scope of audit testing.

Both levels of the M&E Framework will be addressed through the following stages:



Monitoring Tools:



Monitoring through reports – Monthly and quarterly reports departmental reports, Departmental work plans, Documentation produced as outputs of work plans, MIS data, JSIF Audited Financial Statements, PIOJ Publications, reports from external stakeholders and relevant other documents.
Research – Field visits, spot checks, external assessments, client surveys, evaluations (sub-project).
Participatory – JSIF Capacity Assessment Tool⁵², JSIF Self Evaluation Questionnaires (SEQ's)⁵³, PLA techniques, stakeholder meetings, focus group meetings.

Report Types:

All data collected at Levels 1 & 2 will be used to formulate the following reports:

JSIF Monthly M&E Report – This will include all Level 1 indicators and a few Level 2 indicators where appropriate. This report will also detail the results of any actions taken by a department as a result of ongoing monitoring and evaluation.

Quarterly Self Evaluation Questionnaire Report – This report will provide the results and analysis of SEQ's collected over a quarterly period.

Ponce Process Performance Indicators Report – This report will track indicators that have been agreed to in the Ponce Report (February 2002).

JSIF Annual M&E Report – Again this will track all Level 1 indicators over a yearly period as well as those Level 2 indicators that can be included. This report will provide an overall assessment of the Funds operations over the period.

Impact Assessments – Carried out periodically by PIOJ with technical input of external consultants.

Beneficiary Assessments – Carried out periodically using focus groups, and citizen report card tools.

Level 1 - Internal (Organisational Efficiency)

1. Identifying Key areas for M&E

There are five key functional areas or departments⁵⁴ within the organisation whose activities are meant to contribute the overall objectives of JSIF. M&E at this level will focus on the extent to which the outputs of each department are met. The purpose of using departments (as opposed to stages in the project cycle) is to ensure that responsibility and accountability are made clear. The five key areas for M&E at Level 1 are:

- Operations
- Social Development
- Finance and Administration
- Management Information Systems
- Human Resources

We can then further sub-divide each of these functional areas by focusing on departmental outputs as well as individual officer outputs. Thus for example, one output of the Operations Dept would be to present projects for Board approval. While at the officer level, one output would be to draft TOR's for contracting external consultants.

⁵² These are included in the JSIF Operations Annexes (2004)

⁵³ These are included in the JSIF Operations Annexes (2004)

⁵⁴ The specific responsibilities and scope of each department are detailed in the JSIF Operations Manual 2004.



Both these outputs would fall under the Operations Dept. but would have different implications for monitoring responsibilities and accountability.

2. Selection of the appropriate indicators

The first step in developing indicators is the recognition that the JSIF is a project and therefore output driven organisation. The outputs and goals at both the departmental and officer level are therefore the pre-cursor to developing indicators and it is the responsibility of the departmental managers to determine these. Once this is available, we can identify indicators that can be used to measure progress in achieving these outputs. These indicators are to be agreed on by both the managers and officers of the respective departments.

It is important that the design of indicators ensures their maximum efficacy. The following guidelines are to be used:

An indicator -

- Is a direct and an unambiguous measure of progress; e.g. "access to credit" is confusing
- Is specific to the activity/output being measured and not subject to external influences.
- Varies across areas, groups, over time and is sensitive to changes in policies and program
- Not easy to manipulate
- Can be tracked in a cost effective manner at desired frequency

Section 4 (M&E Indicators) outlines the Level 1 indicators that have been arrived at through this process.

3. Data collection

Since Level 1 indicators refer to the activities of individual officers and their departments, data collection will primarily be the responsibility of the departmental officers and managers. Reports will be used as the primary monitoring method at this level. Thus the data that each officer/manager will collect under their respective area will be included in their reports appropriately. For example, if Social Officers are required to make 5 field visits per month, then each individual officer will include the relevant indicator (# of field visits per month) in their respective reports. All Level 1 data will be collected, at a minimum, on a monthly basis.

4. Reporting and Feedback

All Level 1 indicators are to be included in the monthly reports of individual officers and managers. This will provide departmental managers with the information for analysis of all activities under their portfolio and more importantly the department's contribution to the overall objectives of the JSIF. This analysis will be supported by Planning and Research through further evaluations on an activity or area as directed by the departmental manager.

Planning and Research will collate the monthly data collected in all five departments and prepare a monthly JSIF M&E report. The report will track all Level 1 indicators in order to provide an overall picture on organisational efficiency.

5. Implementing appropriate steps/actions

This is the most important stage within the framework as it at this point that any decisions/actions taken in response to M&E reports by Management must be implemented. Note that the indicators are only that "indicative." Thus Departmental managers must be



cognizant of additional information outside of the M&E framework which can support decision-making. Any actions taken will be included in subsequent reports.

Level 2 - External (Sub-Project Outputs)

1. Identifying Key areas for M&E

There are seven key areas which can be identified. Each of these speaks to community sub-projects and therefore looks at the impact of JSIF sub-projects. M&E at this level will focus on the extent to which the objectives of the organisation are being met. The seven key areas for M&E at Level 2 are:

- Poverty Targeting
- Correlation of approved project with community priorities
- Project Impact (by type)
- Social Capital Formation
- Improved Economic Status
- Sustainability of Benefits
- Cost-Effectiveness of JSIF's investments

2. Selection of the appropriate indicators

The outputs and goals at that used for Level 2 indicators are the overall objectives of the JSIF. These are stated in the JSIF Logframe and the 9 operational principles stated in Section 1. These indicators are to be agreed on by the JSIF Management and critical external stakeholders. The guidelines for the selection for appropriate indicators stated for Level 1 are especially relevant here and must be adhered to.

Section 4 (M&E Indicators) outlines the Level 2 indicators that have been arrived at through this process.

3. Data collection

Data collection at Level 2 will be more understandably more complex than Level 1 as there are more external variable involved. Thus depending on the variable in question , a mix of methods will be used:

The listing of the indicators in Section 4 is accompanied by suggestions on the appropriate monitoring tool to be used. In addition the frequency of collection will also vary according to the nature of the indicator and this has been included in Section 4.

4. Reporting and Feedback

The nature of the indicators at Level 2 makes them quite varied and therefore the frequency of data collection and by extension reporting are also varied. In only a few cases will the frequency be monthly.

Based on these indicators several different types of reports will be generated as listed in Section 3 (Report Types). All reports will be used by Management to assess the overall operations of the Fund and make appropriate strategic shifts where required. Finally, all reports should highlight where possible successes/lessons learnt both in terms of organisational efficiency and sub-project impact.

5. Implementing appropriate steps/actions

As stated above, this is the most important stage within the framework as it is here that decisions/actions taken in response to M&E reports. Decisions taken regarding Level 2



indicators will affect the organisation as a whole and not any individual department. Any actions taken will be included in subsequent reports.

Monitoring and Evaluation Indicators

Level 1 - Internal (Organisational Efficiency)

(Note the frequency of data collection and reporting for Level 1 indicators is monthly unless otherwise stated).

Monitoring and Evaluation Indicators

Operations

Activity	Indicator	Target	Data Source
Receipt of Applications	% of requests received that are logged on day of receipt	100%	SFMS
	Max time taken to check all required document for each request received.	1 day	Project Transfer Form (from Operations to SDD)
	% requests received that are completely filled out.	90%	Project Transfer Form (from Operations to SDD)
	% of requests received that are inappropriate (not on menu, not submitted by a CBO, etc.).	5%	Project Transfer Form (from Operations to SDD)
	Max time taken to acknowledge (to the sponsor group) receipt of application	Within 1 weeks of receipt.	Dates of correspondence received/sent
Appraisal	# of TOR's completed by each Technical Officer per month.	5	Monthly Operations Report
	# Of field visits completed by each Technical Officers per month.	5	Monthly Operations Report
	Max time taken to complete project technical designs after approval for formulation by the MRC	produced within 15 weeks of approval for formulation of MRC	Monthly Operations Report
	% of communities that sign off on the preliminary design of their projects before approval	100%	Project Appraisal Report
	% of project designs that adhere to the environmental guidelines stipulated in the JSIF operations manual.	100%	Project Appraisal Report
	# of projects submitted for Board Approval each month	16	Monthly Operations Report
	Max time for project approval (Registration to approval)	37 weeks	SFMS and Monthly Board Memo.

Activity	Indicator	Target	Data Source
	Max time taken to send notice of project approval to community/sponsors	within 5 working days of approval	Dates of correspondence received/sent
	Max time taken to transfer all documents needed by Contracts unit	within 2 working days of approval	Project Transfer Form (from Operations to Contracting)
Supervision	Variance in value of monthly sub-project disbursements against target	<10% negative variance	Finance and Admin Monthly Report.
	Total value of cost variations as a % of the total contracted sum of projects in Supervision for the month.	10%	Operations Manager Monthly Report.
Project Completion	% of all projects that are completed on time.	90%	Operations Annexes
	% of projects where all defects addressed before the expiry of the Defects Liability period	100%	Operations Annexes
	% of projects that are brought to final completion within 3 months of the expiry of the Defects Liability period.	100%	Operations Annexes and SFMS.
JSIF Promotion	# of media exposures per month	15	Monthly Operations Report
	# of handing over ceremonies per month	5	Monthly Operations Report
	# of sponsor signing ceremonies per month	5	Monthly Operations Report
Reports	Latest date when Monthly Operations Report is distributed	End of the second week of the following month	Date report distributed on Lotus Notes

Social Development

Activity	Indicator	Target	Data Source
Appraisal	% of requests received that are verifiably poor.	100%	Monthly Operations Dept. Report
	Max time taken to inform Sponsors/communities of their project status (i.e. reject, on hold, reformulate, processing)	Within 2 weeks of their request.	Dates of correspondence received/sent
	% of all project design solutions that include provisions for gender issues	10%	Monthly Operations Dept. Report



	% of projects transferred to formulation with community maintenance plans	100%	Project Appraisal Reports
	% of projects transferred to formulation with community contribution plans	100%	Project Appraisal Reports
	# of Field Visits done by Social Officers per month	20	Monthly Operations Report
	# of projects approved for formulation by the SRC each month	20	Monthly Operations Report
	Max time for Social Review of projects	4 weeks	Monthly Operations Report
Supervision	Max time for a well supported PIM to be held in community after project approval.	within 2 weeks of contract award.	Monthly Operations Report and Monthly Board Memo.
	% of CBO's that undergo maintenance training	75%	Monthly Operations Report
Project Completion	% of CBO's with active maintenance committee's.	50%	Monthly Operations Report
Planning and Research	% of standard periodic reports (quarterly, annual ,M&E, etc.) completed on time	100%	Monthly Operations Report
	% of external info. requests that are completed on time	100%	Monthly Operations Report
	Max time taken for SEQ's to be sent to community after project completed.	Six months after practical completion	Monthly Operations Report
Reports	Latest date when Monthly Social Development Department Report is distributed	End of the first week of the following month	Date report distributed on Lotus Notes

Finance and Administration

Activity	Indicator	Target	Data Source
Finance	Admin to sub-project disbursement ratio	25:75	Finance and Admin Monthly Report
	Variance in value of monthly institutional support disbursements against target	<10% negative variance	Finance and Admin Monthly Report.
	Timely drawdown of funds to meet disbursement requirements	Replenishment requests submitted monthly.	Replenishment Applications



	Adherence to financial covenants of funding agreements (Annual Indicator)	Full compliance	Audit Report/Supervision Mission Reports
Contracting	# Contracts Awarded	24	Monthly Contracting Officers Reports
	# Contracts Signed	24	Monthly Contracting Officers Reports
	# of projects transferred to Supervision each month	12	Monthly Contracting Officers Reports
Reports	Latest date when Monthly Finance and Administration Report is distributed	End of the 8 th working day of the following month	Date report distributed on Lotus Notes
	Date for the completion of the Audited Financial Statements (Annual Indicator)	End of the 4 th month after the end financial year	Date when Audited Statements are completed.

Management Information Systems

Activity	Indicator	Target	Data Source
Network	% of time (in the month) in which it is available to all users	>95%	MIS Monthly Report
Mail Servers	% of time (in the month) in which it is available to all users	>95%	MIS Monthly Report
Software Applications	% of time (in the month) in which it is available to all users	>95%	MIS Monthly Report
Web Site	% of time (in the month) in which it is available to all users	>95%	MIS Monthly Report
Help Desk Support	% of Reported Tickets that are Outstanding	<30% of Reported Tickets	MIS Monthly Report
Staff	Head Count	< 12% of Organization Total Head Count	MIS Monthly Report
Budget	Total Dept. Expenditure for month	<= 105% of Budget	MIS Monthly Report
Activity	Ratio of MIS Staff's time in Administrative tasks vs. MIS tasks.	< 40 %	MIS Monthly Report
Reports	Latest date when Monthly MIS Report is distributed	End of the first week of the following month	Date report distributed on Lotus Notes



Human Resources

Activity	Indicator	Target	Data Source
Training	# of Training Days per month		HR Monthly Report
Absenteeism	% of total Available persons hours in which employees are absent from work	<10%	HR Monthly Report
Staff Turnover	Ratio of # persons who are no longer employed to the organisation vs. the total staff complement		HR Monthly Report
Performance Appraisals	Date when appraisals are completed	By November of each year	Completed Appraisals
Report	Latest date when Monthly HR Report is distributed	End of the first week of the following month	Date report distributed on Lotus Notes



Level 2 - External (Sub-Project Outputs)

Dimensions for Analysis:

Poverty Targeting
Correlation of approved project with community priorities
Project Impact
Social Capital Formation
Improved Economic Status
Sustainability of Benefits
Cost-Effectiveness of JSIF's investments
Improved Financial and Operational Skills within JSIF

Poverty Targeting

Poverty levels of communities:

% of households in the community below the poverty line
% of JSIF's communities (those with approved projects) within Quartile 4.
% of female headed HH (especially in rural areas)
% of all communities applying for JSIF assistance who are from priority parishes.

Poverty levels of beneficiaries:

% of beneficiaries at or below the poverty line
% of persons who have received post-primary education
% of unemployed among JSIF community compared to the national average.
% of community members at or below the poverty line who do not benefit from the project.

Suggested tools: The information for these indicators can be collected from a household survey which will collect data that can be compared with data at the national level, based either in the SLC or the Planning Institute of Jamaica's Labour Market Survey as well as semi-structured interviews.

Correlation of JSIF approved projects with community's priorities

% of Community Based Organisation (CBO) involved in the development of Community Development Plans (70%)
Evidence that project prioritisation was agreed by a representative sample of the community.
Actual vs. planned community contribution (at least 11%).
of community development plans
projects identified through community development plans

Suggested tools: focus groups or household survey opinion questions, semi-structured interviews



Project Impact

Improvement in access, use and quality of social and economic infrastructure:

Road Sub-Projects

- % Reduction in Travel time to: School, Health Clinics and Work
- # of public transport services using projects roads.
- % reduction of accidents (increase in road safety) in JSIF road projects.
- # kilometres of paved roads constructed or rehabilitated by jsif
- # of roads rehabilitated or constructed by JSIF
- % reduction of transportation Costs to: School, Health Clinics or Work
- Access between targeted community and other towns through JSIF road project.

School Sub-Projects

- Attendance rates among Boys/Girls at school.
- Net Enrolment ratio (primary) in community – Number of students enrolled in primary school of primary school age divided the number of children in the age cohort for that level of education (all other factors remain constant).
- Ratio of toilets to students
- Access to potable water at school
- Pupil-teacher ratio.
- # of new classrooms in good condition post project
- Availability of other basic services – water, electricity, sanitation facilities.
- # of new facilities , classrooms or schools built or rehabilitated by JSIF

Water Sub-Projects

- # of projects with a household connection with a 24 hour service
- # of household connections with a rationed service
- # of household connections
- # of new users served by communal supplies
- Prevalence of good hygiene habits and use of water
- Increased in the quantity of water consumed by household
- Reduced incidence and treatment of diarrhoea in health centres.
- Increased distance between the sanitary service and the source of water.
- Average number of days of water in pipes per week.
- Average number of hours per day with water in pipes.
- Average collection time for water.
- Percentage of community with access to safe drinking water.
- Prevalence of water borne diseases.
- % of households in community benefiting from JSIF sanitation projects

Health Sub-Projects

Access

Increased # of accessible Type I and Type II Health Centres.

Use

- % of people who take up of professional health care in the event of illness
- Increased immunisation coverage
- Increased # of children attending child development clinics.
- Anthropometric assessments

Quality

Availability of basic services in the health centre



Adequacy of infrastructure based on established norms by type of HC
Adequacy of equipment based on established norms by type of HC
Availability of essential furniture, medicines, medical instruments.

Suggested tools: in the case of schools and health centres, the information at the community level can be retrieved from MOE and MOH records. Household level indicators could be retrieved through JSIF's Self Evaluation Questionnaires (SEQ's).

Social Capital Formation

Social Capital Formation – the effectiveness of community organizations in identifying, planning, executing and maintaining subprojects. The proxy to this impact are the following indicators:

Increased # of communities which select their own priority projects.
Increased # of communities that manage project contracting and project implementation effectively
Increased level of community involvement in identifying, developing and implementing their project.
Number of CBO's trained to support community development.
Increase in the average % of community contribution among JSIF subprojects and level of involvement in executing community contribution activities.
of projects performed through community driven development

Suggested tools: JSIF Capacity Assessment Tool, focus groups, households surveys and key informant interviews, participatory techniques.

Improved Economic Status

Of incremental temporary jobs created as a result of JSIF projects (by gender/project type and parish)

Sustainability of Benefits

of JSIF projects that are operating efficiently after SIF intervention.
of infrastructure projects and services that are maintained over time.
of JSIF project that maintain their level of services over time.
of CBO's that receive maintenance training.
Increased complementary investment generated (from residents, other public sector entities and the private sector)
Increased # of subprojects with active and effective community maintenance plans after project completion.
Increased # of subprojects with maintenance plans and clear indication of agreed support from line ministries and/or local authorities.
of CBO's with maintenance funds (with at least J\$5000)
of Memoranda of Understanding between communities and line ministries/agencies
Condition of JSIF rehabilitated roads (measured against national standards) - 1-year post intervention.
of schools in good condition that are maintained by the community



Suggested tools: JSIF Self Evaluation Questionnaires (SEQ's). Household or community level survey, focus groups, interviews to key informants.

Cost-Effectiveness of JSIF's investments

- Average cost per new school, health post, water system vs. comparator projects.
- Unit costs: costs per square meter of construction, per kilometre of road, vs. comparator.
- Average cost per beneficiary per project type, vs. comparator.
- Average labour cost versus comparators.
- Labour intensity of JSIF projects vs comparator

Suggested tools: JSIF Operations Annexes, Finance and Administration Reports.

Crime and Violence

- Levels of violence in the community
- Percent of beneficiaries that feel safe or very safe safe (differentiated between inside and outside the home)

Suggested tools: Police data, Household and Community Survey



12. Administration

12.1. Personnel policies

The JSIF Personnel Policy and Procedures manual outlines matters relating to employment of the Fund.

To provide the highest level of support for JSIF, the Board will approve a JSIF compensation policy for various categories of staff required. This policy will take into account the prevailing economic conditions and will be structured to attract the calibre of personnel with the technical expertise necessary for JSIF to achieve its objectives.

Recruitment

Objective:

To ensure that the highest calibre of staff is recruited for the organization

Tasks:

Assist the organization to recruit staff capable of performing the necessary functions. Advertisements will be conducted within the organization for 5 working days and then externally if no suitable candidate identified.

Monitoring the candidate and facilitating his/her evaluation at the end of a three-month probationary period.

Prepare contract for employment for a fixed-term contract.



12.2 Leasing of Office Space

The leasing of office space is the responsibility of the Managing Director, with input from the Legal Advisor. The Managing Director may delegate the actual negotiation activities to a senior officer, and The Board of Directors should be kept informed of the negotiations. Appropriate attention to the relevant clauses as to maintenance cost-sharing, leasehold improvements, etc needs to be undertaken

12.3 Maintenance of Facilities

The maintenance of office facilities is the responsibility of the Administration section, under the supervision of the Human Resources Manager. This department is responsible for ensuring regular and adequate maintenance of office buildings, building grounds and any other office facilities, as appropriate, including garages and security stations.

Proper arrangements are to be made for the storage and retrieval of documents and a disaster preparedness plan is also to be in place.

Tasks:

Refer any maintenance in the lease to the landlord, or address in a timely manner issues not covered under the lease agreement

Conduct regular physical inspections to ensure the safety and general condition of buildings, and that doors, windows and other fixtures are not missing, broken, or the targets of vandalism

Facilitate periodic inspection by building engineers/fire department to ensure the safety of JSIF staff and the public

Ensure that adequate security arrangements are in place to control access to the premises both during and outside of regular office hours.

Make arrangements for the general daily cleaning of offices, toilet amenities and other office facilities.

Facilitate cleaning of kitchen/lunch room areas, reserved for staff eating.

Ensure efficient filing of project documents and the archiving of those not in current usage.

Ensure that an up-to-date disaster preparedness and recovery plan is in place.

Each employee is responsible for the neatness and good order of his or her own working space and all employees should cooperate in maintaining the office in the best possible manner.

12.4 Maintenance of motor vehicles

Regular and adequate maintenance of the motor vehicles is the responsibility of the Administration department. The Finance Department has responsibility for insurance of motor vehicles.

Tasks

Maintain a motor vehicle register for all vehicle acquired

Facilitate the licensing and registration of each vehicle.

Manage and control the use of the motor vehicles. A register for booking the vehicles needs to be maintained.

Ensure maintenance of vehicles in keeping with manufacturer's specifications and at other intervals as required.

Maintain a usage log for each vehicle to be completed for each trip

Box 37: The Motor Vehicle Register

Information to be noted for each vehicle:

- Make and model of vehicle
- License plate number
- Current "warranty or fitness"
- Purchase cost/vendor
- Major reconditioning, repair work done
- Colour
- Date of acquisition
 - i) Engine number and chassis number

Information to be recorded in the usage log:

- Name of driver
 - Use date
 - Leaving from
 - Destination
 - Start mileage
 - End mileage
 - Date of return

12.5 Maintenance of furniture and office equipment

Regular and adequate maintenance of all office equipment must be carried out. In addition the Finance & Administration Department is to maintain a fixed asset register.

Box 38: Details for the Fixed Asset Register:

- Identification number
- Serial number
- Description of item
- Purchase cost/vendor
- Date of acquisition

Tasks:

Purchase furniture and equipment in keeping with the relevant regulations (see Appendix B)

Update fixed asset register to reflect acquisition and disposal of equipment

Arrange for maintenance of assets

Negotiate and implement service agreements for major items of equipment such as photocopier printers etc

Maintain records of major services, reconditions and repair work done to equipment
Reconcile fixed asset register with the General ledger balances

Conduct physical count of furniture and equipment annually



Coordinate the disposal of assets as approved by the Board of Directors and in keeping with the relevant regulations of the Ministry of Finance and a manner which is transparent and designed for the maximum benefit to accrue to the Fund
Ensure that fixed assets are insured

12.6 Maintenance of Office supplies

The Administration department will ensure that adequate office supplies are available.

Tasks

Prepare annual budget for office supplies

Source items from suppliers in the most cost effective manner and in keeping with the relevant procurement guidelines.

Issue supplies to departments based on requisitions approved by the relevant department manager.

Monitor and control the usage of supplies in keeping with the budget.



APPENDICES



APPENDIX A – INNER CITY BASIC SERVICES PROJECT

1. Introduction

The Jamaica Social Investment Fund (JSIF) was established to channel resources to small-scale community based projects. Chapters 4 – 6 of this Operations Manual sets out the approach and procedures to be followed in implementing projects supported by the Fund.

The Inner City Basic Services Project (ICBSP) is not typical of JSIF's work as it is much larger than the average community-based project and the communities included in project were pre-selected by the Government of Jamaica, rather than having gone through the normal demand driven JSIF process. Some additions/extensions to the procedures are therefore needed to cover the implementation of a project as large as ICBSP. This Addendum to the Operations Manual therefore presents a detailed implementation plan for ICBSP together with the additional procedures needed for its management. (These will offer a basis for the implementation of other Large Projects in the future.)

This Annex includes:

- An Overview of the ICBSP: objectives, components and beneficiaries (Section 2)
- Operations Procedures for ICBSP (Section 3)
- Project Preparation (Section 3)
- Project Implementation – Strategy (Section 4)
- Monitoring and Evaluation (Section 5)

Additional details relevant to the ICBSP are given in the Neighbourhood Basic Infrastructure and Public Safety Plans (HTSPE, Dec. 2005), which set out the plans for each of the 15 communities. The Engineering Designs and Bid Packages (HTSPE, Jan. 2005) give details of the civil works and the tender documentation required to commission them.

1.1 Application of the JSIF Operational Manual to ICBSP

The Inner City Basic Services Project will be implemented entirely within the framework of the JSIF Operations Manual (OM). The table below summarises how each chapter of the OM will apply to ICBSP.

OM Chapter	Application to ICBSP
1. Introduction	Fully applicable
2. Guiding Principles	Fully applicable
3. Institutional Framework	Fully applicable.
4. Community Projects	<p>This chapter deals with investments in small-scale community projects implemented by JSIF on a demand-driven basis. As such the procedures for project promotion and application through to project approval (Sections 4.2 – 4.7) will not be fully applicable to ICBSP where eligible communities are pre-selected and project concept development is executed by other means than those described. Applicable modifications are outlined in this Annex.</p> <p>Procedures for project implementation in Sections 4.8 and 4.9 will be applicable with any modifications indicated in this Annex.</p> <p>Key principles of Chapter 4 which are applicable to ICBSP include:</p>

	<ul style="list-style-type: none"> - Box 3 Types of Community Project eligible for JSIF Funding - Box 4 JSIF Cannot Fund - Box 5 Community Contributions Given the high cost of infrastructure to be implemented in any single community, the amount and nature of community contribution will be determined in relation to specific project components rather than in relation to the total project cost. - Box 6 Land Ownership Applies in full. <p>4.4.2, 4.4.3 Poverty status, and community priority These principles will apply in full and be taken into account when deciding whether or not to include a particular community in the scope of the Large Project.</p> <ul style="list-style-type: none"> - 4.4.4 Availability of other funding sources Principle that JSIF will not duplicate other government or donor initiatives applies in full, to be taken into account during identification and design. <p>4.5 to 4.9 Project Concept Development and Implementation Principle of full community participation applies in full. Institution Building & Community Mobilisation Programme to ensure that "<i>the community is regarded as the client</i>" not just in the design process but throughout.</p>
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OM Chapter	Application to ICBSF
5. Community Based Contracting	Larger projects may offer scope for CBC to be used for the implementation of specific sub-components. There are smaller scale activities - to build and maintain community infrastructure, to provide individual infrastructure, e.g. household water connections where the principles of Chapter 5, particularly sections 5.6, 5.7 and 5.10 - 5.13 will apply.
6. Funding and Supporting Special Projects	Given the process used for design of large projects such as ICBSF, the procedures outlined in Chapter 6 will not apply.
7. Procurement Procedures	This chapter applies in full. For ICBSF, it will be the Project Manager who carries out the functions allocated to the Operations Manager.
8. Financial Procedures	The principles of this chapter apply in full but some modification is needed to allow the integrated management of ICBSF in a structured Planning, Budgeting and Reporting cycle. This is set out in Section 3.4 below.
9. Environmental Management Framework	Applies in full.
10. Land Acquisition and Resettlement Policy Framework	Applies in full.
11. Project Monitoring and Evaluation	Applies in full. Specific additional requirement applicable to ICBSF are outlined below.
12. Administration	Applies in full.
13. Audit	Applies in full.



2. ICBSP OVERVIEW

2.1 Background

Inner city communities across Jamaica are plagued by decaying physical infrastructure, poor basic services, environmental hazards and social fragmentation. These are compounded by gang activity and serious organised crime and violence, including trafficking in drugs. With national economic growth stagnant, these communities are severely affected by high levels of unemployment, a lack of investment and low household income.

Government of Jamaica (GoJ) recognises the imperative need to revive inner city communities and halt a downward spiral of depression, decay and criminality. Government's Medium Term Socio-economic Policy Framework (MTSEF, August 2004) for the period 2004-2007 identifies inner city redevelopment as a key priority. This incorporates infrastructure development, access to basic services, the promotion of business, arts and cultural activities, crime prevention and building community capacity and social capital.

Twelve (12) communities were selected by the GoJ for the Inner City Basic Services Project, from a detailed ranking undertaken by a team led by the Planning Institute of Jamaica (PIOJ). The selection process involved as a first step the formulation of a shortlist of 32 settlements, including all inner-city and peri-urban informal settlements with estimated populations of over 7,500 residents, based on the Government's preference to implement the ICBSP project in larger inner-city communities. The shortlist was then analyzed and ranked based on two available quantitative measures:

- (i) % of households in the community in lowest poverty quintile; and
- (ii) % of households without access to piped water.

A combined ranking was formulated based on data for both indicators. The GoJ then applied a series of qualitative criteria to this ranking to arrive at the final project selection. Qualitative criteria for selection included:

- Include at least one settlement from five parishes with large urban centers – Kingston, St. Andrews, St. James, Clarendon and St. Catherine – to ensure that all parish councils develop capacity in urban upgrading under the project. Based on poverty and access to water criteria alone – the project would have selected project areas in only Kingston and St. Andrews.
- Ensure that the final selection does not disproportionately favor communities allied with the ruling political party to avoid accusations of preferential treatment based on political alliances.
- Select communities that are of high priority based on Ministry of National Security public safety criteria. The Ministry ranked for PIOJ the 32 settlements on the shortlist and indicated certain high priority settlements that represented a significant security risk or had demonstrated efforts to maintain peace. The final selection reflects, to the extent possible, Ministry of National Security rankings.
- The GoJ also excluded from final selection project areas that were either subject to major land disputes or located on environmentally sensitive land.

These project communities represent an estimated total population of 67,931, corresponding to 13,339 households. Baseline data on the communities is presented in **Table 2.1**.



Using the Statistical Institute of Jamaica (STATIN)'s definitions⁵⁵, only four of the fifteen ICBSP communities (in Kingston and St. Andrew) can be classified as true inner city communities. Of the remaining eleven, eight are classified as peri-urban and three as rural.

Table 2.1 The ICBSP Communities

<i>Parish</i>	<i>Community</i>	<i>Class</i>	<i>Population</i>	<i>Households</i>	<i>Area (ha)</i>	<i>Density (Persons/ha)</i>
Kingston and St Andrew	Whitfield Town	IC	21,650	4,330	126	172
	Passmore Town (also known as Dunkirk)	IC	5,982	1,196	27	222
	Federal Gardens (in Trench Town)	IC	2,391	478	14	171
	Jones Town	IC	13,011	2,602	59	221
Subtotal Kingston and St Andrew			43,034	8,606	226	
St Catherine	Tawes Pen	PU	1,822	364	11	166
	Africa/March Pen	PU	3,254	651	26	125
	Central Village (Andrews Lane, Big Lane, Detroit and Little Lane) ⁵⁶	PU	5,816	1,171	37	157
	Shelter Rock	PU	2,772	554	24	116
	Lauriston	R	1,780	356	12	30
	Bog Walk (Knollis)	R	1,120	224	49	23
	Subtotal St Catherine			16,599	3,320	158
Clarendon	Bucknor/Rectory Lands	R	1,150	230	51	23
Subtotal Clarendon			1,150	230	51	23
St James	Flankers	PU	7,148	1,430	37	193
Subtotal St James			7,148	1,430	37	193
Total			67,931	13,339	472	141

IC=Inner City; PU=Peri urban; R=Rural field verification)

(Source STATIN/HTSPE)

2.2 Project Objectives

The ICBSP goal is to improve the quality of life in poor communities. To achieve this, the project aims to improve access to services, raise community capacity and strengthen public safety. Key issues which the project will address include poor social capital and weak institutions which serve the community badly, poor governance at the community level and high levels of unemployment.

⁵⁵ Statistical Institute of Jamaica, 'Appendix IV Urban Areas Defined', *Population Census 2001: Volume 2 Age and Sex* (Kingston: Jamaica, 2001), p. 512

⁵⁶ Population (P) and household (HH) figures for Central Village communities are as follows; Andrews Lane – P 490, HH 98; Little Lane – P 2450, HH 290; Big Lane – P 1128, HH 226; Detroit P 1783, HH 357.



These, together with inadequate basic services, create the conditions for criminality to thrive and be borne.

ICBSP will directly improve the lives of all 13,339 households in the twelve (12) communities: through better water supply, improved roads, better street lighting and more frequent garbage collection and through enhanced public safety and economic opportunity.

In regarding crime and violence as a symptom of inner city decay and not just a cause, the specific objectives of the ICBSP are to strengthen:

- Physical capital of communities through improvements to basic infrastructure;
- Social capital through improved institutional service and delivery to communities; and
- Human capital by addressing issues of employability.

2.3 Project Components

ICBSP has three components:

- Component 1: Access to Basic Services which includes Basic Infrastructure, Access to Financial Services and Tenure Regularization
- Component 2: Public Safety Enhancement and Capacity Building
- Component 3: Project Management

Components 1 and 2 will increase the community stock of physical, social and human capital, and increase the community's capacity to manage that stock. The specific Project activities and interventions are detailed in **Section 4: Project Implementation**. Operations and maintenance, cost recovery and sustainability are recognised as critical issues and as such, this section also sets out the strategy for institution building and community mobilisation that is specifically designed to tackle these issues.



Project Cost By Component and/or Activity	Total US \$million	Bank Financing US \$million	Counterpart Financing US \$million
Component 1: Access to Services	21.85	21.85	0.00
1.1 Community Basic Infrastructure	20.00	20.00	0.00
1.2 Access to Financial Services	1.25	1.25	0.00
1.3 Tenure Regularization	0.60	0.60	0.00
Component 2: Public Safety Enhancement and Capacity Building	3.90	3.90	0.00
Component 3: Project Management⁵⁷	6.33	2.83	3.50
3.1 Project Management, Monitoring and Evaluation	4.73	2.83	1.90
3.2 Operating Costs and Other Services	1.60	0.00	1.60
Total Baseline Cost ¹	32.13	28.58	3.50
PPF Cost	0.65	0.65	0.00
Total Project Costs	32.73	29.23	3.50
Front-end Fee (0.25%) ⁵⁸	0.07	0.07	0.00
Total Financing Required	32.80	29.30	3.50

2.4 ICBSP Project Management

ICBSP is a large project with ambitious targets and it will be managed in a way that reflects its carefully integrated strategy. An ICBSP Implementation Team, led by the ICBSP Project Manager (PM) will manage and be accountable for all aspects of the programme, drawing on the services of JSIF's other departments where necessary. All ICBSP activities will be reported on as an integrated whole and all expenditures accounted for in monthly internal reports and Quarterly Financial Management Reports to the World Bank. In addition, an annual financial audit of ICBSP activities will be undertaken as part of the audit of the JSIF as a whole.

The ICBSP Project Manager will report directly to the JSIF Managing Director who is accountable to the JSIF Board of Directors. An Inter-Agency Steering Committee will ensure co-ordination with other GoJ agencies and oversight by key stakeholders. The following sets out how the project management cycle fits in with this structure:

1. ICBSP Project Manager
 - Drafts all plans, budgets, reports
 - Directs ICBSP operations
 - Reports to JSIF MD

⁵⁷ The estimated total cost for this component is US\$ 6,326,750 and the estimated Bank financing requirement is US\$ 2,826,750. For the purposes of presentation these figures have been rounded to US\$ 6.33m and US\$ 2.83m, respectively.

⁵⁸ The exact front-end-fee is calculated at US\$ 73,250 and for the purposes of presentation has been rounded to US\$ 0.07m here.



2. JSIF Board of Directors advised by JSIF MD
 - Approves work plans and budgets
 - Reviews quarterly and annual reports and accounts

3. Inter Agency Steering Committee
 - Agrees work plans
 - Reviews quarterly reports
 - Reviews annual reports
 - Monitor inter-agency collaborations

The activities of the Unit will be executed through core professional and technical staff including, supervision engineers and specialists in the areas of crime and violence prevention, micro-finance, safeguards compliance, finance, procurement and related project management areas. Core staff will be recruited on time-bound contracts not exceeding the life of the Project.



3. Project Development Approach

3.1 The ICBSP Project Cycle

Figure 3.1 maps the ICBSP Project Cycle. The first half takes the project in five steps from Identification to Launch:

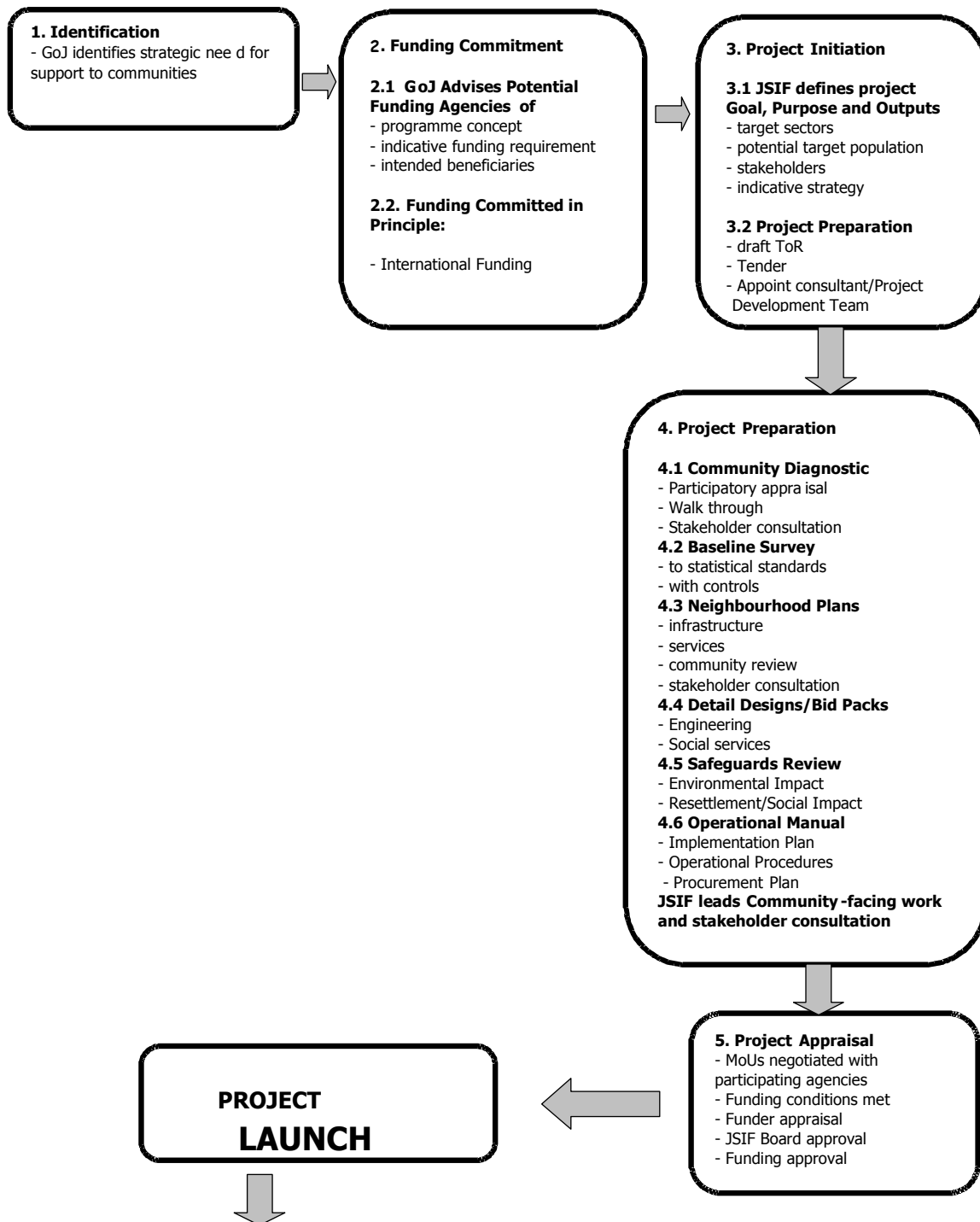
- Step
1. Identification
 2. Funding Commitment
 3. Project Initiation
 4. Project Preparation
 5. Project Appraisal

The second half of the cycle takes the project from Launch through to Handover to the community and supporting agencies:

- Step
6. Mobilisation
 7. Implementation
 8. Monitoring
 9. Evaluation & Support

This section details procedures and activities from Project Identification through to Project Appraisal. Section 4 outlines the Project Implementation Strategy while Section 5 deals with Monitoring and Evaluation.

Figure 3.1 The ICBSP Project Cycle





6. Mobilisation

- JSIF Implementation Team set up
- Inter Agency Steering Committee established
- Year 1 Work Plan and budget approved by JSIF Board
- initial contracts for goods, works and services



7. Implementation

7.1 Public Education Campaign

7.2 Institution Building/ Community Mobilisation

- Public information
- 'Street/Lane' analysis
- Form Community Committees
- Facilitate MOUs between communities and service providers
- Capacity building of CCs

7.3 Access to Services

- Offsite works procured
- On site construction contracts triggered by pre-conditions being fulfilled:
 - Tender & evaluate
 - AWARD
 - supervise & certify
 - acceptance & defects
 - community participation at all stages in all contracts
- capacity building/technical assistance to service providers
- connection to services where necessary
- SERVICE LAUNCH
- Micro-finance
 - tender & evaluate
 - monitor service provision
 - modify implementation arrangements in subsequent rounds if deemed necessary
- Land Tenure regularization
 - cadastral audit
 - procure services
 - deliver titles

7.4 Public Safety/Social Capital

- Schedule activities based on needs of specific community
- Develop TORs
- Call for proposals/tender & evaluate
 - AWARD
 - monitor & pay against outcomes
- Modify interventions based on evolving community needs over the life of the project



9. Evaluation & Support

9.1 Evaluation

- Mid Term Review
- End of Project Impact Evaluation
- 5 Year Post Project Impact Evaluation

9.2 Support

- JSIF handover to Parish Council, SDC and other supporting agencies
- JSIF assists communities to plan Beyond End of Project strategy
- active promotion of best practices to external agencies



8. Monitoring

- project reports to JSIF Board, stakeholders and funders, quarterly & annually, on:
 - input indicators
 - output indicators
 - issues and actions
- management accounts to JSIF Board
- annual audit to JSIF Board and funders
- annual Report Cards/customer surveys
- Community Committee minutes and annual



3.2 Project Identification and Funding Commitment

Objective

- Ensure that projects identified for funding are consistent with the GoJ's Medium-Term Socio-Economic Policy Framework.

Tasks

- The GOJ establishes its Medium-Term Socio-Economic Policy Framework
- The GOJ identifies projects aimed at responding to community needs and indicative cost.
- GOJ establishes eligibility criteria for communities to be included in the project
- GOJ obtains commitment from international funding agencies to provide resources for identified projects

3.3 Project Initiation

Objective

- Ensure that the scope, objectives and outputs of proposed project are properly defined.

Tasks

- GoJ in conjunction with JSIF and other relevant stakeholders identifies the scope of the proposed project, intended beneficiaries and project outcomes.
- GoJ in conjunction with JSIF identifies the type of infrastructure and capacity building to be funded under the project.
- JSIF plans project preparation cycle determining whether external consultants or GoJ/JSIF personnel will be assigned responsibility for project design.
- JSIF prepares project brief in conjunction with GoJ and funding agency.
- JSIF prepares comprehensive Terms of Reference for the Project Preparation task, including clear statements of project Goal, Purpose and Outputs.
- JSIF procures the services of external consultant following standard procurement procedures or mobilizes internal team where design is to be done by GoJ/JSIF

3.4 Project Preparation and Appraisal

Objective



- Ensure efficient, timely and cost effective preparation of project.
- Ensure that the communities benefiting from a project are fully involved from the very beginning in its development
- Ensure that the project design responds to community demand.
- Ensure the feasibility of the project
- To win GoJ and funding agency approval for the project.
- To prepare for the launch of the project in an efficient and timely manner

Tasks

- GOJ establishes project Steering Committee comprising representatives of all relevant agencies to monitor project preparation.
- JSIF Project Manager supervises activities of the external consultant to ensure that outputs defined in the Terms of Reference are delivered on time and with the required quality, or
- JSIF Managing Director and Board monitor the activities of the internal project design team to ensure that outputs defined in the Terms of Reference are delivered on time and with the required quality.
- JSIF facilitates all contact with the beneficiary communities to build good relations and ensure the work is done in an appropriate manner.
- JSIF reports to Steering Committee regarding activities and outputs.
- JSIF coordinates and manages periodic reviews by GoJ and funding agencies.
- JSIF communicates to the consultant the results of all reviews.
- JSIF confirms acceptance of the preparation work at concept, draft and final stages.
- JSIF submits project design outputs and detailed costing to GoJ and funding agency for appraisal
- GoJ and Funding Agency review and approve project design.
- GoJ/JSIF and Funding Agency negotiate loan/grant agreement.
- JSIF ensures compliance with all conditions for effectiveness of funding agreements
- JSIF organizes and executes launch of the project ensuring participation of beneficiaries and all relevant stakeholders.



3.5 Community Consultations

Objective

- Inform project identification and design while building trust and confidence between JSIF and communities and also within project areas
- Build public awareness of the project, assess priority needs and plan infrastructure to be developed.
- Encourage community members to communicate openly the issues affecting them and develop public safety profile of each community.

Phase 1 – Public Awareness-Building, Diagnosis and Needs Assessment

Tasks:

- JSIF CLOs are deployed in each community. CLOs make contact with formal and informal community leaders and CBOs
- CLOs identify and make contact with all other agencies actively involved in service delivery in community
- CLO organize initial community mobilization/orientation meeting in conjunction with community leaders/CBOs
- CLO in association with other agencies such as the Peace Management Initiative or the Disputes Resolution Foundation, initiates dialogue between opposing factions within the community in order to reduce hostilities and facilitate project preparation activities.
- CLO mobilizes community for attendance at meetings. Various approaches are used including the issuing of flyers, use of a town-crier, visits to schools and churches within the community, door-to-door personal invitations.
- CLO organizes technical walk-through of community along with community leaders and Project Design Team to observe and assess physical infrastructure as well as social dynamics.
- CLO along with Project Design Team arranges focus group meetings with a representative cross section of community members solicit preliminary feedback on perceived and observed community needs. Care must be taken to ensure that the elderly, women, youth and children are included in focus groups. Additionally, multiple meetings may have to be held due to internal divisions within the community.
- Project Design Team uses experienced facilitators to conduct focus group sessions being mindful of the extent to which communities and residents are willing to communicate openly particularly with respect to the crime and violence situation where residents will likely not feel comfortable sharing information and data on the incidence and root causes of violent crime.
- CLO maintains a register of all participants in community meetings and prepares minutes of the proceedings. The register and minutes are placed on the project file. Where the community agrees for photographs to be taken or for meetings to be videotaped, these records should also be included in the project documentation. CLOs need to request express permission from community members before using camera or video equipment as some communities may be suspicious, especially during the initial stage, of the use to which such photographs/videos could be put.



- Project Design Team prepares and administers a rapid and voluntary questionnaire where deemed appropriate to solicit initial feedback from residents on project priorities. Given the non-scientific nature of this approach and the fact that there will be a bias in the results, skewed towards those residents willing to voluntarily fill out the questionnaire, while it may produce useful findings, the limitations should be recognized and compensated by cross-reference with focus group discussions and formal surveys.
- Project Design Team uses the findings from these early consultation process to inform the design of the public safety audits and planning methodology and the content for the infrastructure planning focus groups.

Phase 2 – Infrastructure Planning

Tasks:

- Project Design Team conducts a series of focus groups on infrastructure planning subsequent to the initial diagnostic and needs assessment consultations with the objective of confirming the results of the initial needs assessment and discussing with community members technical options for the improvement of basic services.
- Communities, led by the Project Design Team discuss in detail the ranking of priorities and finalize the ranking through negotiation and consensus building.
- Project Design Team prepares a project proposal for each community based on the ranking of priorities.
- Project Design Team prepares maps, sketches and diagrams outlining the project proposal for presentation to the community. For ease and clarity of understanding proposed physical interventions should be shown on aerial photographs of the project areas, enlarged for display purposes.
- Project Design Team shares technical plans with community technical focus groups and incorporates modifications recommended by focus group participants. It is recognized that community members are often able to provide useful information regarding road and drain layouts and the location of buildings to avoid to the extent possible disturbance to private land and need for compensation and relocation.
- Project Design Team prepares Neighbourhood Basic Infrastructure and Public Safety Plans
- Project Design Team prepares Draft Plans/Engineering Designs for the infrastructure sub-component of the project.
- Project Design Team obtains the requisite approvals for engineering drawings from NEPA and local authorities.

Phase 3 – Participatory Public Safety Audit

Having built community trust and confidence in the CLOs and Project Design Team a participatory public safety audit is conducted to confirm the public safety concerns of residents in project neighborhoods which were identified during the preliminary diagnostic and needs assessment exercise. Many community members, will be hesitant to provide information on crime and violence patterns early in the diagnostic process hence a more detailed and intensive participatory public safety audit is to be conducted at this stage to better understand the nature and causes of crime and violence in communities. Specifically, the public safety audit methodology should include analysis of:



- a typology of prevalent crimes – major forms of crime and when they occur;
- the spatial distribution of crime represented on community maps;
- victim and vulnerable group characteristics;
- offender characteristics; and
- transport safety

Tasks:

- Project Design Team uses the community maps as a basis for dialogue and discussion.
- JSIF/Project Design Team obtains secondary data from police records and the Ministry of Health GIS-based database on crime and violence trends
- Project Design Team maps information on community maps. These maps will serve as the basis for a series of public safety focus group discussions.
- Project Design Team uses experienced facilitators to conduct focus group sessions aimed at soliciting more detailed information on crime and violence patterns and causes. Groups must be representative or youth and young adults, adults and the elderly in order to focus on specific problems and concerns.
- Project Design Team uses the results of the public safety audit to inform the design of public safety plans for the community.

Factors which may influence willingness of residents to openly report on crime trends and causes:

- concern that disclosing information which gang leaders do want to be public will put respondents in danger;
- unwillingness to speak of extra-judicial killings or 'community justice' in that it may compromise members of the community who participated in illegal acts;
- a lack of trust regarding the use to which the crime and violence information will be put; and
- gathering highly sensitive information on crime and violence in fragmented inner-city communities may require a longer timeframe than is available during project preparation to build trust and demonstrate the intention of JSIF to remain engaged.



The analytical framework for the focus group discussions is presented in the table below.

Infrastructural issues	Root Causes of Crime and Violence	Psychological Impact of Crime and Violence	Community Participation	Solutions
<ol style="list-style-type: none"> 1. Draw a map of the community showing types of housing structures and community facilities that are now in place 2. List and rank problems with the physical infrastructure of the community 3. Do any of the acts of crime and violence discussed have anything to do with the physical environment? 	<ol style="list-style-type: none"> 1. How do you define crime and violence? 2. What experiences come to your mind when you think about crime and violence? 3. How do men, women, boys and girls think and react to crime and violence? 4. What, in your opinion, is the root cause of the community's problems? 5. What acts of crime and violence were committed against other persons in your community in the past year? 6. Indicate events associated with crime and violence in identified locations on the map 	<ol style="list-style-type: none"> 1. How do men, women, boys and girls react to crime and violence? 2. What effects are crime and violence having on men, women, girls and boys in your community? 3. What do people do to make themselves feel better about their injuries, pain and losses? 4. What needs to be done to ensure that people get the support that they need? 5. What are the challenges to meeting these needs? 	<ol style="list-style-type: none"> 1. What are the things that you need for your social well being? 2. What do you lack? 3. Have you been personally affected by crime and violence? 4. How? 5. What support institutions help you? 	<ol style="list-style-type: none"> 1. If you could take action to solve the problems of crime and violence what would you do? 2. What are the community's assets? 3. What are the community's resources? 4. Which individuals and institutions are doing things to help or hinder the community to solve crime and violence problems? 5. What exactly are they doing? 6. What needs to be done to make people feel safe?

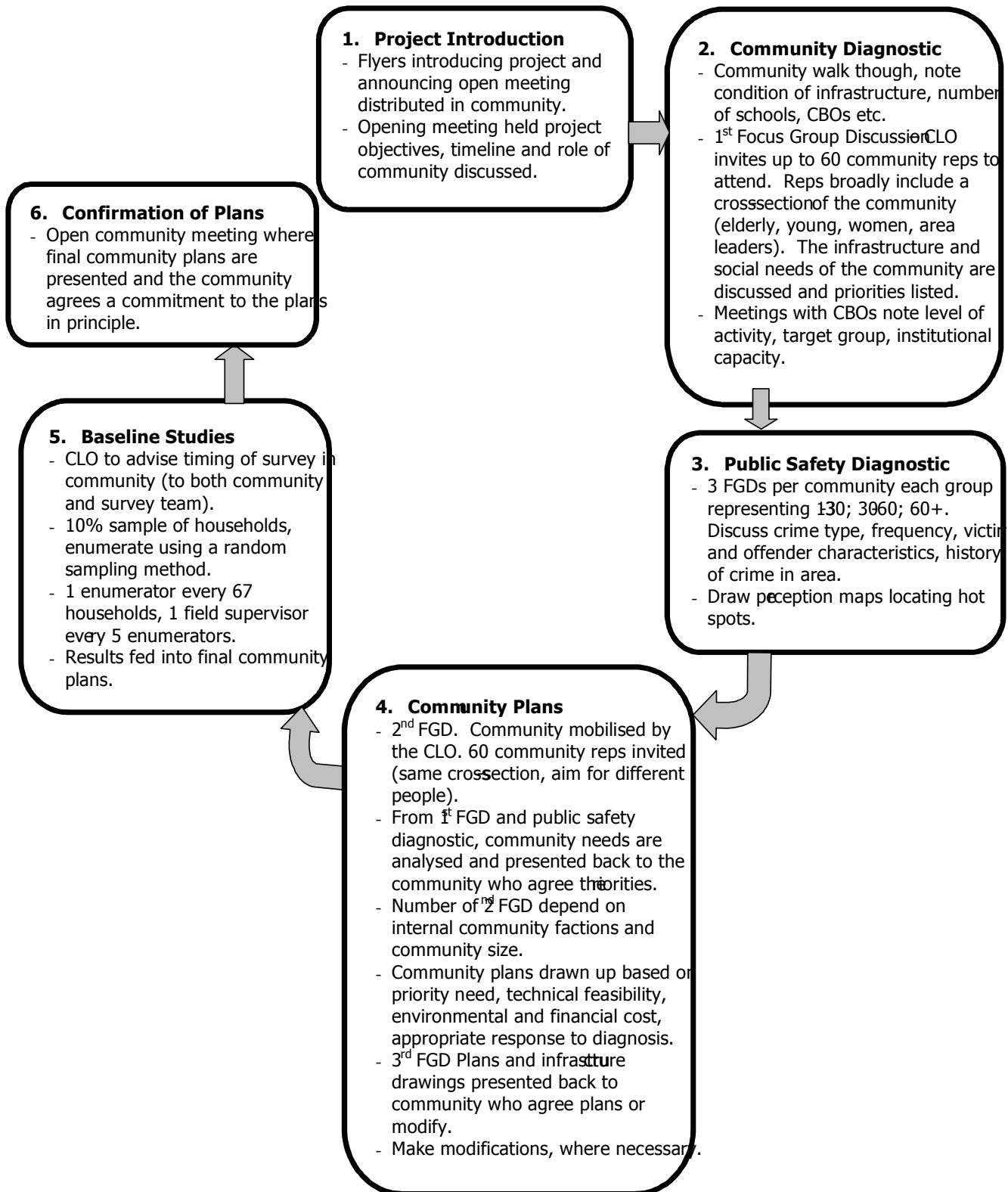
Phase 4 – Focus Group Discussions on Integrated Neighborhood Plans

The integrated Neighborhood Infrastructure and Public Safety Plans are developed based on these consultations and subsequent technical work. The plans aim to integrate both the infrastructure and public safety prevention activities under a unified program of interventions for each neighborhood. A final stage of consultation is undertaken, through which these integrated plans are presented to and vetted by community representatives and other stakeholders prior to finalization.

Figure 3.2 and Box 3.1 below outline the major activities undertaken by the consultants in preparation of the Inner City Basic Services Project.



Figure 3.1 Typical Community Project Identification and Planning Process





To make a full diagnosis of the 12 ICBSP communities and build a picture of their history and current needs, a public consultation strategy gave equal weight to all communities. Where, however, gang activity divided a community, further resources were allocated to ensure that all factions were heard.

Five JSIF Community Liaison Officers (CLOs) were appointed to mobilise community residents for meetings/workshops and to keep them informed of what ICBSP was doing. The CLOs were the link between the community and project preparation team. For example, they advised when it might not be safe to enter a community. Correspondingly, the relative difficulty of working in some communities was taken account of in allocating them to CLOs, instead of just weighting the allocation against population.

Prior to an open introductory meeting, a leaflet was distributed throughout the community informing residents of the ICBSP objectives and giving details of the meeting. After that, three rounds of focus group discussions were held in each community. Attendance at the meetings/discussions depended on the size of the community and number of factions within it. However, all meetings were well attended, by between 40 and 60 people. Facilitators with experience of community meetings in Jamaica led the meetings. Some facilitators were familiar with JSIF's methodologies for engaging with inner city communities.

The three focus groups rounds were:

1. Presentation of the results of a short voluntary questionnaire distributed to all households after the introductory meeting, ranking infrastructure and social priorities for the community. FGD participants were asked to agree a list and ranking of five priorities. Proposals for each community were designed based upon feasibility and the prioritised wishes of the community.
2. Presentation of proposals based on the earlier ranking exercise for ratification or modification. The proposals were then refined to reflect the community's comments and the technical standards needed to meet the level of service planned for ICBSP.
3. These more detailed design proposals were presented a third time for final community acceptance.

This methodology has ensured the interventions proposed for ICBSP are community driven. Taken together with the results of the voluntary questionnaire, which was available to every household, and the statistically-designed Household Socio Economic Baseline Survey, it gives confidence that the project proposals reflect the real needs of the community.

The value of the process was shown by the way it helped draw divided communities together. In Central Village, for example, by the end of the consultation process the warring communities of Big Lane and Detroit had negotiated a peace and, together with Andrews Lane and Little Lane, showed commitment to keeping that peace by agreeing to house a community centre for all Central Village residents. In Shelter Rock, plans to rehabilitate a water tank were presented back to the community as infeasible due to community violence. The two gangs involved called a cease-fire (after several months of incessant fighting) to enable the proposal to move ahead.



4. PROJECT IMPLEMENTATION - STRATEGY

4.1 Structure of Project

The project is structured into three components as follows:

Component 1: Access to Services. This includes basic infrastructure, access to financial services and land tenure regularization.

Sub-component 1.1 will finance:

- a demand-driven bundle of basic tertiary network infrastructure investments for construction and maintenance of water, sewerage, communal sanitation, roads and drainage infrastructure;
- multi-purpose community centers;
- community basic infrastructure investments for: (i) household water and sanitation connections; (ii) zinc fence removal and substitution; (iii) neighborhood improvement and recreational facilities; and (iv) installation of community garbage receptacles for solid waste collection;
- installation of street lighting, extension of the electricity network and the regularization of illegal connections;
- the construction and rehabilitation of off-site infrastructure critical to maintain adequate service levels in project areas. Planned off-site infrastructure includes the: (i) rehabilitation of a water reservoir and trunk mains in Kingston bordering Federal Gardens and Jones Town communities; and (ii) the upgrading and rehabilitation of a wastewater treatment facility in Tawes Pen;
- the procurement of compactor trucks and the technical assistance for the analysis of the waste collection systems in project areas;
- the procurement of basic equipment and the provision of technical assistance to strengthen management, operations and maintenance capacity at the parish council level

Sub-component 1.2 will also facilitate access to micro-finance services in project areas for productive purposes and incremental home improvements through performance-based service contracts aimed at creating incentives for existing Financial Institutions (FIs) to provide micro-finance services in project areas.

Sub-component 1.3 will finance the implementation of a pilot land titling initiative and technical assistance to the Government of Jamaica for the preparation of a national policy on squatter management and informal urban settlements. This will target residents of IC BSP communities on public land only.

Component 2: Public Safety Enhancement and Capacity Building

The component aims to enhance public safety by financing integrated packages of consultant services, training and technical assistance in project communities. The component focuses on supporting both immediate mitigation and conflict resolution activities in addition to other preventive and capacity enhancement interventions that will have a medium-term impact on levels of public safety. In particular, the component will finance the delivery of violence prevention services by NGOs and other eligible institutes and agencies in five core social prevention areas, as well as the recruitment of community liaison officers. The core social prevention areas are:

- Mediation and Conflict Resolution
- Alternative Livelihoods and Skills Development
- Family Support Programmes
- Youth Education and Recreation
- Community Capacity Building



Component 3: Project Management

This component will finance consultant services, goods, training and operating costs for project management and administration. It will include two subcomponents: (i) project management, monitoring and evaluation; and (ii) operating costs and other services.

4.2 Implementation Approach

The activities under the ICBSF will be implemented using the approach of integrating infrastructure and public safety interventions while closely coordinating with other relevant government and non-governmental programmes addressing infrastructure, social and crime and violence issues in the communities.

The first step will involve an extensive public education campaign to inform all stakeholders and stimulate support for regarding the project. This campaign will be intertwined with activities to mobilize the entire community to participate in project implementation and develop a representative CBO in each community from which a Project Management Committee will be formed. Provision has been made for capacity building and strengthening of these CBOs.

The next step is the simultaneous implementation of Component 1, Access to Services and Component 2, Public Safety Enhancement. Implementation will be guided by the Procurement Plan and implementation schedule which will be adjusted periodically based on actual conditions prevailing in each community. In all communities, public safety interventions will commence immediately on project start-up followed by phased implementation of major infrastructure development. Public safety interventions will continue through to the end of the project implementation period with the type and intensity of the activities being modified over the period based on community needs.

From Component 1 – Access to Services, implementation of the following subcomponents will commence at startup:

- Solid Waste Management
- Community Based Infrastructure
- Street Lighting and Electricity
- Access to Micro-finance Services
- Tenure regularization

This approach allows for the building of community capacity to participate effectively in project implementation before the commencement of major infrastructure works. The large Integrated Basic Infrastructure Packages and Community Centres to be executed under this component will be phased between year 2 and year 5 of project implementation.

The following sections outline the activities to be undertaken and procedures to be followed.

5.1 4.3 Mobilization

Objective

Ensure establishment of project management unit with adequate staffing to enable efficient project implementation

Ensure preparation of implementation plan for Year 1 of project implementation



Tasks:

JSIF hires staff to fill positions previously identified as necessary for project implementation.

Project Manager prepares detailed implementation plan for Year 1 activities

Community Organizers with responsibility for designated streets/lanes, based on the number of households, are deployed to each community

JSIF convenes meeting of Steering Committee. The TOR and composition of the Committee will be reviewed and agreed.

JSIF procures goods and services required for project start-up.

4.4 Institution Building and Community Mobilisation

Inner city residents depend on their families and informal networks for most forms of support. Formal institutions are weak. The closest level of elected government is the Parish Council, which is still quite remote and lacks capacity. Few, if any, community organisations are strong enough to give a sustained lead to development. This presents the biggest single challenge to both aspects of ICBSF, Access to Services (Component 1) and Public Safety (Component 2).

This task goes beyond capacity building. A substantial effort is needed to build two institutions that are clearly lacking. The first is 'customership': an effective working relationship between service providers and inner city residents such that a good service is supported by customers who both pay for it and use it responsibly. The second is 'dispute resolution'

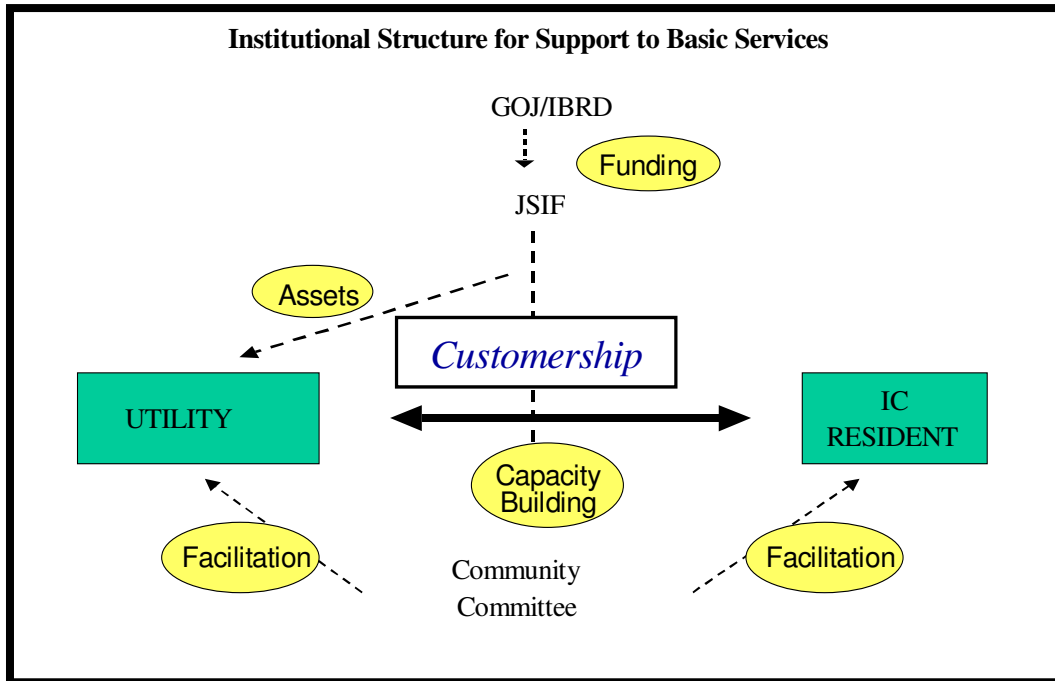
Given the importance of this task and the fact that it is essential to both Access to Services and Public Safety, JSIF has designed a detailed strategy and implementation plan for this Institution Building component, which is set out in this section. The strategy builds on the Community Planning process which commenced during the project preparation phase as outlined in section 3 above.

Objective

- To mobilise community support for the Project
- To establish within each community the capacity to facilitate the participation of all residents in ICBSF.
- prepare the standard Community Committee procedures and design the standard Community Database which will provide the basic framework for the Community Mobilisation strategy.
- Build effective working relationship between service providers and inner city residents such that a good service is supported by customers who both pay for it and use it responsibly
- Establish a culture of good customership
- Develop mechanisms whereby community difficulties are resolved without resort to violence.

ICBSF is investing in infrastructure which will benefit the whole of the community and which will only be sustainable if it has the support of a large majority of households. This means that a Community

Committee which represents everyone is required for success. Given the difficult, even disturbed social order in the communities and the absence of strong CBOs with substantial constituencies in most communities, JSIF faces the challenge of establishing a form of institution that is substantially new.



Even in the less troubled communities, it is not realistic to expect the CC to undertake tasks which will risk putting it in conflict with community members: policing illegal connections for example. The approach to be taken emphasises the Committee's role as a facilitator of dialogue, and as an enabler of services. It will support dialogue between the community members themselves and between the members and outside institutions, such as the utility service providers and the Parish Council.

Tasks:

- SDC performs capacity audit of CBO and prepares training programmes to fill gaps identified. Where the CBO is weak or fragmented, SDC assists in the formation of a representative group.
- SDC and JSIF CLOs work with the CBO to establish a Community Committee to represent the community in all aspects of project implementation.
- JSIF prepares of brochures and other information material for CC and community in general.
- SDC provides ongoing support to the CBO and Community Committee to ensure sustainability.
- JSIF undertakes on-going programmes to encourage and establish a culture of payment for services among community members as individuals and as a group. Service providers have made it very clear, and the Baseline Survey responses confirm, that inner city households are bad customers. Most do not pay their bills and a significant minority make illegal connections. Overcoming this and establishing a culture of good customership is a central challenge. To do so, ICBSF will adopt the group-based approach common in micro-finance; using group solidarity



and self-discipline to establish credit-worthiness and take the place of collateral. However, it is clear that group solidarity does not exist at the community level, at least not in the larger inner city communities.

- JSIF CLO works with the **CC to establish smaller units within the community at the street/lane level where there is likely to be a greater degree of social cohesion.** A 'street/lane-based' structure will be adopted, using smaller, more manageable units, or streets/lanes as the building blocks for the CC. In each community, JSIF CLOs will identify those smaller groupings, on average 500-1000 households, where kinship, proximity and other factors give strength to neighbourhood relationships. Each of these streets/lanes will choose a representative for the CC. JSIF will facilitate a straightforward, fairly informal process for the election of these representatives.
- CLO assists CC to develop and maintain a simple community database.
- The Street/Lane Representative with the support of the JSIF CLO, will lead the process to collect connection applications and Customer Agreements from the households of the lane. She/he will also be a key channel of communication, reporting back to the lane on the performance of the service providers and the lane's own payment performance.
- JSIF provides equipment and training for the CC to establish a community database. This will be used to monitor community activities including how many Customer Agreements each street/lane has collected and later on, service delivery levels and payment performance: i.e. the key measures of each side of the Service Level Agreements. JSIF will assist each CC to complete an enumeration of the community and establish a simple database, according to a standard design.
- JSIF procures the services of a consultant to undertake a major public education campaign in all communities. The campaign will seek to facilitate the re-establishment/establishment of a relationship between service providers and customers in the inner city communities and build trust between these parties.



4.5 Public Safety Enhancement

ICBSP's Component 1 is about changing environments, and as such it will contribute to public safety along the lines summed up as Crime Prevention Through Environmental Design (CPTED). Component 2 is more directly aimed at enhancing public safety. ICBSP as a whole should also be seen as part of GoJ's wider programme to reduce crime and enhance security, including direct anti-crime initiatives such as Operation Kingfish. The Public Safety component is designed to work alongside national security forces, allowing the ICBSP to dovetail with programmes such as the Ministry of National Security's Community Security Initiative (CSI) and community policing initiatives.

The interventions under this component are based on the detailed Community Diagnostic and Public Safety Audits carried out during project preparation and a tailored programme has been prepared for each community, as set out in the Neighbourhood Basic Infrastructure and Public Safety Plans.

The Component aims to enhance public safety in project communities by providing training and technical assistance focused on both short-term mitigation and conflict resolution and medium-term social prevention and capacity enhancement interventions. In particular, the component will finance the delivery of violence prevention services in five core social prevention areas including: (i) mediation and conflict resolution; (ii) alternative livelihoods and skills development; (iii) family support programs; (iv) youth education and recreation; and (v) CBO capacity building.

The short-term interventions, primarily mediation and conflict resolution, are for those communities where active fighting or serious divisions/distrust among factions within the community means that ICBSP will not be able to start work until a sustainable peace has been negotiated. These activities will precede all others in applicable communities. After the mediation process is complete, the medium-term activities will promote a shift from an environment conducive to crime and violence to one where public safety is sustained and, ultimately, normal. As might be expected, the most intensive programme will be in the four Kingston & St. Andrew communities.

4.5.1 Mediation and Conflict Resolution

Objectives

- initiate and manage mediation initiatives in communities that experience chronic or periodic gang conflict or intra-community feuding.
- support tested mediation and conflict management interventions currently being implemented in Jamaica to broker ceasefires and build confidence between rival gang factions
- bring warring groups in the community together to agree a workable truce.
- support the truce and sustain it in the face of the inevitable occasions when tension builds up.

Tasks

- Social Development Manager identifies communities in need of mediation and conflict management interventions and the nature of the required interventions
- Social Development Manager prepare terms of reference for the services of a consultant to provide mediation and conflict resolution interventions in designated communities



- JSIF Contracting Unit procures consultant services
- JSIF monitors output and outcomes from the intervention and evaluates the performance of the consultant.
- Social Development Manager ensures integration of programmes with other relevant government and non-government programmes.

Anticipated outcomes from Mediation Initiatives include:

- establishing a community code of conduct;
- forming and supervising conflict mediation groups;
- conducting peace-building meetings with inter-community groups;
- obtaining signed peace agreements between local area gangs in all relevant communities;
- training and certifying community residents as mediators to resolve interpersonal conflicts;
- conducting weekly conflict resolution and anger management sessions with each community (individually and collectively).
- Training and capacity building in mediation, dispute resolution, and intra-personal conflict management. This is often a key variable in the escalation of reprisal-driven community disputes and violence for community leaders and CBOs.

4.5.2 Alternative Livelihoods and Skills Development

This intervention focuses on activities to build public safety in the medium term through training and facilitating alternative livelihoods

Objective

- Facilitate alternative livelihoods to reduce the likelihood of youth becoming involved in criminal activities
- respond to high levels of youth unemployment and dropping out of the formal education system,
- Provide access to vocational skills development and apprenticeship opportunities,

Tasks

- Social Development Manager prepares TOR for training intervention. Interventions will include vocational training targeted to current demand areas within communities, the country and the region; job skills development including basic literacy and personal development and presentation; job placement programmes.



- JSIF enters into agreement with HEART for the delivery of certification programmes within communities or enrolment of youth in established HEART institutions.
- JSIF Contracting Unit procures the services of NGOs which demonstrate that they have tested skills development and job training initiatives targeted to male and female youth.
- JSIF CLOs promote training programmes and seek enrolment of qualified persons into existing training programmes or arranges the development of entry level programmes to facilitate qualification of interested persons.
- JSIF provides funding for training facilities and/or equipment where necessary to facilitate training within the community.
- CLOs identify suitable space for training where a community center is not provided under the project.
- CLOs and CC identify needy persons who require assistance.
- JSIF provides scholarships to applicants who qualify for enrolment in established national training programmes eg HEART.
- CLOs and CC monitor performance of trainees and attendance at classes
- JSIF Social Development Manager develops linkages with public and private agencies involved in job placement and establishes modality for working together under ICBSF
- CLO collaborates with service provider to arrange job placement for persons who have completed training programmes.
- CLOs register community members interested in micro enterprise (ideally they should be skilled or enrolled in a skills training course).
- JSIF provide training in developing business plans and budgets. Training is delivered by CLOs or other qualified service provider
- CLOs encourage those who successfully complete training to seek loans from MFIs participating in the ICBSF Micro-finance component.
- CLOs provide follow up support and encouragement to community entrepreneurs.
- Social Development Manager ensures integration of programmes with other relevant government and non-government programmes.



4.5.3 Family Support Programs

Objective:

- Provide services that respond to the needs of children, youth, and heads of household from the most vulnerable segments of ICBSF communities – with a particular focus on single-parent households.

Tasks:

- CLO and CC promote programmes to community members. Promotion will also be done through basic and primary schools in the community and with parent-teacher associations. Interventions will include:
 - life-skills programs;
 - good parenting programs;
 - family mediation (therapy) services;
 - interventions that address gender-based; sexual, and domestic violence;
 - drug abuse and alcoholism prevention and rehabilitation;
 - reproductive health services; and
 - early childhood development and education and daycare services
- CLO and CC mobilize community members to attend meetings and confirm interest in specific programmes/services.
- CLO and CC facilitate registration of interested persons.
- Social Development Manager prepares TOR for family support interventions for each community based on specific needs identified by CLOs. .
- Social Development Manager prepares a listing of all NGOs agencies which are involved in delivery of similar services. Requests for expressions of interest will be advertised as well as sent to these agencies.
- JSIF Contracting Unit procures the services of NGOs/agencies which demonstrate that they have tested programmes targeted to families.
- CLOs and CC collaborate with service provider to follow up with persons enrolled in the various programmes and ensure their continued participation.
- Social Development Manager ensures integration of programmes with other relevant government and non-government programmes.

4.5.4 Youth Education and Recreation:

Objective:

- Deliver demand-driven and tested youth and adolescent educational and recreational programs through the community centers and other community locations.

Tasks:



- CLO and CC promote programmes to community members. Promotion will also be done through basic and primary schools in the community and with parent-teacher associations. Interventions will include:
 - after-school homework programs;
 - summer camps;
 - community libraries;
 - computer skills training;
 - guidance counseling;
 - sports programs and competitions; and
 - cultural programs such as in music, arts, and theater.
- CLO and CC mobilize community members to attend meetings and confirm interest in specific programmes/services. Support will be provided for cultural and sports programmes where an adequate number of individuals demonstrate ongoing interest in these activities. Accordingly, priority will be given to those communities which already have established programmes in need of strengthening and development. A sustained effort over the short to medium term will be undertaken in those communities where there are no established programmes or groups engaged in these activities with a view to promoting youth involvement.
- CLO and CC facilitate registration of interested persons.
- Social Development Manager prepares TOR for youth interventions for each community based on specific needs identified by CLOs.
- Social Development Manager prepares a listing of all NGOs agencies which are involved in delivery of similar services. Requests for expressions of interest will be advertised as well as sent to these agencies.
- JSIF Contracting Unit procures the services of NGOs/agencies which demonstrate that they have tested programmes of the required type targeted to youth.
- CLOs and CC collaborate with service provider to follow up with persons enrolled in the various programmes and ensure their continued participation
- CLO in collaboration with the CC and service provider arrange “graduation” ceremonies to give recognition to participants in the various programmes.
- CLO monitors service delivery by consultants.
- CLO in collaboration with the CC and service provider arrange performances by cultural groups to showcase their skills to community members and to promote the activities under the programme.
- CLO provides support and guidance to community cultural groups in accessing opportunities to participate in cultural events outside of their communities as well as to earn income from performances.
- Social Development Manager ensures integration of programmes with other relevant government and non-government programmes.

4.5 Access to services



The ICBSF will be implemented within the context of the **Environmental Management Framework** and the **Land Acquisition and Resettlement Policy Framework** and as such, the procedures outlined in sections 9 and 10 of this Operational Manual must be applied where relevant. During the implementation of the project, JSIF will also be pursuing ISO14000 certification of its operations.

4.6.1 Solid Waste Management

Objective:

- Finance the procurement of compactor trucks and the technical assistance for the analysis of the waste collection systems in project areas.
- Finance a study of the collection system in ICBSF areas to assist NSWMA in the more efficient design and management of waste collection systems.
- The procurement of compactor trucks will be done by JSIF for operation by the National Solid Waste Management Agency (NSWMA) or local service providers that have entered into service contracts with NSWMA to operate waste collection systems in project areas.

Tasks:

- Organise public education campaigns in conjunction with NSWMA through a series of community meetings or other appropriate methods
- CLO will work with CC to appoint Environmental Monitors who will liaise with NSWMA on all matters related to solid waste disposal
- CC advises NSWMA of any changes in persons appointed as Environmental Monitors.
- CLO assists CC to agree with NSWMA a Memorandum of Understanding setting out the obligations of NSWMA and the community in respect of waste collection arrangements for their community.
- NSWMA **agrees waste collection arrangements** and provides a detailed schedule for collection days and times applicable to each project community.
- CLO monitors the agreements under the MOU to ensure that each party meets its obligations.
- JSIF procures one standard sized compactor truck and four mini compactor trucks based on specifications provided by NSWMA.
- NSWMA takes delivery of the trucks as a Government of Jamaica asset at the purchase value. The trucks so supplied becomes the property of NSWMA for use in the ICBS project.
- NSWMA undertakes responsibility for operation and maintenance of the trucks
- JSIF in consultation with NSWMA formulates the Terms of Reference for a consultant to **to evaluate solid waste management systems, make recommendations on the most appropriate systems for the ICBSF communities; and provide** software, spatial data and technical advice to establish a NSWMA Geographic Information System.
- **JSIF procures the services of the consultant**, supervises the deliverables in conjunction with NSWMA and makes all payments under the contract.



- NSWMA provides specifications for the waste receptacles to be built for each community and provides technical supervision where fabrication of these receptacles is to be done by the community.
- JSIF in conjunction with the CC procures the supply of garbage receptacles.
- The Parish Council liaises with the CC and where it is deemed necessary, makes representation on behalf of the CC to NSWMA.

4.6.2 Integrated Infrastructure Packages and Off-site Network Infrastructure

Objective:

- Upgrade major network infrastructure (water, sanitation, roads, drainage, streetlights and solid waste)
- Ensure efficient contracting and the use of funds as intended to provide outputs of the quality indicated in contract documents

Tasks

- JSIF ensures that Community Committee is in place.
- Project Manager approves commencement of procurement of contracts outlined in the Procurement Plan
- JSIF Contracting Unit procures the services of contractors for the execution of packages and obtains the requisite approvals. (See Chapter 7 – Procurement)
- JSIF Contracting Unit procures the services of consultants for the supervision of construction packages and obtains the requisite approvals. (See Chapter 7 – Procurement)
- JSIF Contracting Unit prepares the Community/JSIF Agreement for each community.
- JSIF implements each infrastructure package in keeping with procedures set out in Section 4.8 of the main Operations Manual.
- JSIF facilitates signature of a memorandum of Understanding between National Water Commission (NWC) and each community through the CBO/Community Committee in keeping with the MOU previously signed between JSIF and NWC.
- JSIF CLOs facilitate the completion of individual applications by inner city households for service contracts with NWC and follow up with individuals, through the CC, regarding payments of initial deposits and finalization of service agreements.
- JSIF CLOs follow up with individuals, through the CC, regarding payments of monthly bills for water supply received.



- JSIF CLOs, along with the CC, monitor to ensure that obligations under each MOU are fulfilled and that appropriate action is taken where any breach has occurred or is likely to occur in order to ensure that the relationship between service providers and community members is maintained.

4.6.3 Construction of Community Centres

In communities to be provided with a community center, this will be the first infrastructure works contract to be procured. This will give an opportunity to test the readiness and capacity of the community to deal with large infrastructure implementation.

Care has been taken to ensure that centres are only offered where there are no alternative facilities and where there is some assurance that the centre will be fully used since the community will be required to make a significant contribution to the investment cost, and operation and maintenance must be entirely the community's responsibility. This second has been the most common cause of failure for community infrastructure projects.

Tasks:

- JSIF ensures that Community Committee is in place.
- JSIF ensures that documents related to ownership of land on which community center is to be constructed have been received and that all conditions are met as outlined in Section 4.4 of the main Operations Manual.
- JSIF ensures that signed commitments are in place from public or private sector 'sponsors' (e.g. other government agencies such as the library service, non- and for-profit organizations) for the utilization of designated space in each center. This sponsor will provide financial support for the operation and maintenance of the center thus contributing to its sustainability.
- CLO and CC identify all potential users and confirm their willingness to contribute to the operation and maintenance cost of the facility, the amount they are likely to use it and the fee they would be willing to pay.
- CC assisted by the CLO prepares a 'Business Plan' demonstrating uses to which the facility will be put and anticipated revenues
- JSIF Project Manager reviews and approves 'Business Plan' and commencement of procurement of contracts for construction of community center.
- JSIF Contracting Unit procures the services of contractors for construction of community centre and obtains the requisite approvals. (See Chapter 7 – Procurement)
- JSIF Contracting Unit procures the services of consultants for the supervision of construction contracts and obtains the requisite approvals. (See Chapter 7 – Procurement)
- JSIF Contracting Unit prepares the Community/JSIF Agreement for each community.
- JSIF implements the construction contract in keeping with procedures set out in Section 4.8 of the main Operations Manual.



- JSIF assists CC in application to Parish Council for establishment of by laws governing use of center.
- CC establishes management structure for ongoing operation and maintenance of center.

4.6.4 Community Basic Infrastructure

Objective:

- Activities under this component will be implemented through community based contracting (CBC) methods in order to strengthen CBO capacity, ensure demand-responsiveness, promote efficiency and achieve greater community involvement in implementation. A community contribution equivalent to 5-10% of the cost of interventions under this sub-component must be provided by the community.

Tasks:

- CLOs facilitates formation of a Project Management Committee (PMC). The PMC may be the same as the CC. Where the community has the requisite capacity to manage the entire process, CLO ensures that the CBO is registered as a legal entity.
- CLOs agree with communities the type and amount of community contribution which can be in the form of free or discounted labour, materials or cash.
- JSIF Engineering Manager programmes start-up of activities in keeping with completion of integrated infrastructure package.
- CLO and CC agree on the nature and amount of community contribution.
- Project Manager approves start-up of CBC packages.
- JSIF, in association with SDC and other relevant agencies, provides training to the Project Management Committee.
- JSIF Contracting Unit prepares Financing Agreement between JSIF and Community. Specific activities to be executed by the PMC will differ based on whether the CBO is a registered entity or not.
- Where the CBO is registered and is judged by JSIF to have the capacity to manage all aspects of project implementation, the PMC will be allowed to operate a project account into which JSIF will deposit funds and from which the PMC will make payments for goods and services.



Types of Community Contribution

- 1. Voluntary labour on the project, e.g. preparing the site for construction, mix of paid and voluntary work on site, making fittings and fixtures,**
- 2. Volunteer time for the project e.g. attending training, meetings, ceremonies related to the project, mobilization and outreach, managing local labour arrangements,**
- 3. Provision of services for the project e.g. storage for construction materials, clean venue for training and meetings, refreshments and accommodation, transportation,**
- 4. Fund raising,**
- 5. Volunteer effort on other related community development projects implemented at the same time as the JSIF project,**
- 6. Community mobilization of donations from external organizations and individual philanthropy,**
- 7. Past construction work completed by the community on the project eg landscaping, beautification.**

4.6.5 Household Water and Sanitation Connection

Objective

- Finance the extension of water and sanitation connections to households from rehabilitated or newly constructed street water and sanitation mains located in project areas.

Tasks:

- CLO along with CC confirms the number of households requiring the construction of shared sanitary facilities and/or the installation of water connections.
- JSIF Project Engineer along with CLO confirms locations for construction of sanitary facilities and installation of water connections.
- PMC, under the guidance of JSIF, procures small works contract(s) to install household water connections and construct sanitary facilities.
- JSIF hires Clerk of Works to provide daily supervision of construction activities.
- JSIF Project Engineer and CLO monitor implementation of the contracts ensuring compliance with procurement and financial management procedures as detailed in the Financing Agreement and ensure provision and documentation of community contribution.



- JSIF Project Engineer reviews project expenditure and recommends payments to the project account or directly to suppliers/contractors.
- NWC checks and approves all installations to be connected into water supply mains.

4.6.6 Zinc Fence Removal and Substitution

Objective:

- This activity is intended to make an important contribution to the general appearance of the community and to perceptions of public safety, based on the principles of crime prevention through environmental design (CPTED).

Tasks:

- CLO along with CC confirms that all households on a street/lane agree to replacement of zinc fences.
- CLO along with CC organize meetings with representation from all households to select the fence design to be constructed on their street.
- PMC, under the guidance of JSIF, manages construction of new fences. JSIF will finance the procurement of required goods while households will provide the labour.
- JSIF hires Clerk of Works to provide daily supervision of construction activities.
- JSIF Project Engineer and CLO monitor implementation of the contracts ensuring compliance with procurement and financial management procedures as detailed in the Financing Agreement and ensure provision and documentation of community contribution.
- JSIF Project Engineer reviews project expenditure and recommends payments to the project account or directly to suppliers/contractors.

4.6.7 Neighbourhood Improvement and Recreational Facilities

Eligible facilities include community parks, green areas, and community playgrounds.

Tasks:

- JSIF Project Engineer along with CLO identifies facilities to be rehabilitated and/or locations for construction of new recreational facilities.
- PMC, under the guidance of JSIF, procures small works contract(s) to rehabilitate/construct neighbourhood facilities.
- JSIF hires Clerk of Works to provide daily supervision of construction activities.
- JSIF Project Engineer and CLO monitor implementation of the contracts ensuring compliance with procurement and financial management procedures as detailed in the Financing Agreement and ensure provision and documentation of community contribution.



- JSIF Project Engineer reviews project expenditure and recommends payments to the project account or directly to suppliers/contractors.

4.6.8 Waste Bin Installation

Objective:

- Activities related to this sub-component will commence immediately after the start-up of the ICBSF

Tasks:

- JSIF CLOs and CC confirm with the National Solid Waste Management Authority (NSWMA) the types and location of community waste receptacles.
- PMC, under the guidance of JSIF, procures goods contract(s) for the manufacture/supply of waste receptacles.
- NSWMA technical personnel provide daily supervision of activities.
- JSIF Project Engineer and CLO monitor implementation of the contracts ensuring compliance with procurement and financial management procedures as detailed in the Financing Agreement and ensure provision and documentation of community contribution.
- JSIF Project Engineer reviews project expenditure and recommends payments to the project account or directly to suppliers/contractors.

4.6.9 Street Lighting and Electricity Connections

Objective:

- Finance the installation of street lighting, extension of the electricity network and the regularization of illegal connections. Activities under this component will commence immediately after ICBSF start-up. Actual wiring of premises will only start however where at least 10 households in any one street/lane complete applications.

Tasks:

- CLO and CC identify areas where householders are ready to regularize their electricity supply
- Project Manager prepares Terms of reference (TOR) for public education campaign
- JSIF Contracting Unit procures the services of a consultant to work with REP/JPS to implement the public education campaign in targeted project communities.
- REP provides application forms for community members who wish to regularize their service
- CLOs/CC assist community members to register and submit to REP applications for wiring of their premises
- CLOs/CC assist community members to submit applications for connections to JPS.
- **CLOs/CC work with households to encourage their compliance with their obligations under individual service contracts and under the collective MOU signed by the CC with REP/JPS.**



- REP provides specifications of goods required for household wiring.
- JSIF Contracting Unit to procure goods required for the Project using specifications provided by REP
- REP wires houses to the agreed specifications as outlined in the MOU with JSIF using the services of qualified electricians/contractors hired by REP.
- REP certifies work of contractors hired to do house wiring and submits claims to JSIF for payment.
- Project Manager approves works certificates submitted by REP for completed installations provide funding to REP as detailed in the MOU.
- REP obtains certification of the Government Electrical Inspector for each premises wired
- REP provides all documentation required by JPSCo to facilitate registration of customers and connection to the electricity supply
- REP recovers the cost of wiring from householders through an appropriate arrangement with JPSCo or other payment collection agency

4.7 Operation and Maintenance

Two distinct strategies for operation and maintenance (O&M) are proposed under the project accounting for differences between project areas. First, a strategy of community-led O&M is proposed for smaller and/or more unified project areas that also have demonstrated CBO capacity. Second, in larger and/or fragmented communities the project will develop arrangements with responsible agencies for adequate O&M. Under both O&M arrangements both community and service agencies will have distinct responsibilities outlined in a series of Memoranda of Understanding (MoU).

Community-managed O&M: Under the first strategy for O&M in smaller and/or unified communities the Project will work through the Community Committees and build the capacity of these committees to perform routine maintenance tasks including drain cleaning, street sweeping, clearance of brush and weeds and the maintenance of garbage bin sites. These committees will also liaise with service providers to ensure that more substantial and technical periodic O&M requirements and service quality issues are addressed. Project areas where a community-led O&M strategy is possible include:

- Tawes Pen
- Central Village
- Lauriston
- Bog Walk
- Bucknor
- Flankers



O&M led by Service Providers: In larger and/or more fragmented inner-city areas with weaker community institutions the project will support a strategy for O&M that relies to greater extent on service providers and parish councils while gradually building community capacity over time. MoU have been negotiated with primary service providers to outline roles and responsibilities. Table 6 below identifies responsible agencies for O&M in key sectors.

Table 6: O&M Responsibilities by Sectors

Minor and farm roads	Parish councils
Water supply	National Water Commission (NWC)
Sewerage and sewage disposal	National Water Commission (NWC)
Main drainage (structures)	National Works Agency (NWA)
Main drainage (clearing)	Parish Council/National Solid Waste Management Authority (NSWMA)
Solid waste collection	National Solid Waste Management Authority (NSWMA)
Electricity supply	Jamaica Public Services Company JPS Co.

Project areas where the service provider-led O&M arrangements will be employed include:

- Whitfield Town
- Passmore Town/Browns Town (Dunkirk)
- Jones Town
- March Pen (Africa)
- Dempshire Pen/Jones Pen (Shelter Rock)

Where the capacity exists or has been built, the Community Committee will have the responsibility for operation and maintenance (O&M) of infrastructure such as buildings, parks and recreational facilities. By laws established through the Parish Council will outline which activities are allowed within these facilities. A copy of these by laws is to be posted in a prominent place within each facility and will serve the purpose of informing community members and all potential users of the activities which can or cannot be undertaken within the precincts. This will eliminate or reduce potential conflict between interest groups within the community who may have differing views as to which activities can be undertaken within the facilities.

Prior to commencement of construction of community centers, a sponsor must be identified who will utilize space within the center and provide funds toward the maintenance of the facility. A formal agreement is to be signed between the sponsor and the CC. The CC, with the support of the JSIF CLO will have responsibility for collecting the agreed fees from the sponsor and ensuring the maintenance of the facility. Alternately, the CC may agree and arrangement where the sponsor undertakes directly the payment of utility bills and maintenance of the physical structure. In this event, the CC, with the assistance of the CLO will monitor the arrangement to ensure that the obligations are being fulfilled.

Communities will also solicit additional contributions from residents through donations or fees to finance operations of the center and through fund raising events.

Based on these arrangements, the Project will subsequently assist the community in the initial two years of operation of the facility, or until project closing – whichever date comes first, to meet shortfalls in estimated operating costs on a declining scale. During this period, the CLO will work assiduously with the



CC to develop and implement a viable business plan for the facility aimed at achieving self-sufficiency within the short to medium term (two to five years).

4.8 Parish Council Support

Objective:

- Support the procurement of basic equipment and the provision of technical assistance to strengthen management, operations and maintenance capacity at the Parish Council (PC) level.
- The responsibility for the operations of secondary and tertiary roads, drainage infrastructure, community recreation facilities and other basic infrastructure lies with parish councils. However, councils lack the O&M capacity to adequately maintain community infrastructure. Equipment to be procured will include computers, software, small maintenance equipment such as hand rollers for road repairs, and basic office supplies.

Tasks:

- JSIF agrees with each Parish Council the specific support required
- JSIF procures goods and services and hands them over to PC.
- JSIF arranges training for Parish Council staff directly associated with the maintenance of community infrastructure financed under the Project, in management and technical skills to enhance basic O&M capacity.

4.9 Access to Micro-finance Services

Objective:

- This subcomponent will facilitate access to microfinance services in project areas for productive purposes and incremental home improvements through performance-based service contracts aimed at creating incentives for existing Financial Institutions (FIs) to provide microfinance services in project areas. Specifically, the component will finance three activities: (i) a performance-based mechanism for the extension of microfinance loans and technical assistance in project areas; (ii) consultant services for the orientation of potential bidders and the technical evaluation of bids; and (iii) an independent technical audit of FI portfolios.
- The component has being designed to maximize desired outputs and minimize market distortions.
- The mechanism may be made available to non-financial services (e.g. Building Societies and NGOs) active in home improvements.

Tasks:

The detailed procedures for procuring the services of MFIs are outlined in Section 7 of the main Operational Manual.

- JSIF Prepares bid documents and tenders contracts.
- Interested and qualified MFIs submit bids for the amounts of units (clients and/or dollars) and the desired percentage of subsidy.



- JSIF procures the services of a third party (audit firm or similarly qualified institution) to verify a sample of the portfolio claimed and other information submitted by the selected MFI;
- JSIF evaluates bids and submits to Procurement and Contracts Committee (PCC) for approval.
- JSIF awards performance-based contracts to FIs that require the least subsidies as a percentage of total loan amount to reach the minimum target of consumers specified for each bid.
- JSIF awards subsidies to lowest bidder up to a pre-determined amount with any remaining funds carrying over to the next auction period. Limited restrictions are placed on how the subsidies are used by Fis.
- JSIF disburses against agreed fixed payment for each loan. Only new clients are counted as qualified loans eligible for payment of the performance-based subsidy.
- JSIF makes disbursement for the first tender as follows: 50 percent upon the presentation of a list of qualified and approved loans from the FIs, 30 percent after three months provided that the loan is not over 30 days past due, and 20 percent when the client is approved for a second loan.
- MFI submits required reports to JSIF.
- JSIF reviews the performance of the selected MFI and of the component generally and applies any lessons learned to follow-on tenders. Bidding documents and procedures will be amended as deemed necessary to enhance competition amongst potential bidders and drive down subsidy levels as FIs begin to understand the market.
- JSIF Micro-finance Accountant verifies loan reports on a semi-annual basis by reviewing a sample of loans to assess performance
- PCC periodically reviews results of the process and oversee changes to the follow-on tenders and oversight mechanisms.
- JSIF processes follow-on subsidies to the same institutions at a lower subsidy rate

Reports Required from MFI

Report	Purpose	Frequency
List of approved loans	Triggers performance-based disbursement	Monthly
Breakdown of approved qualified loans by types of business	Track business activities in communities	Monthly
List of qualified follow-up loans	Triggers performance-based disbursement	Monthly
List of qualified loans repaid in full	Track repayment rate	Monthly
Aging schedule of qualified loans	Triggers performance-based disbursement	Quarterly
Financial statements	Review financial condition	Quarterly
Report of loan recovery activities	Review overall asset quality	Quarterly
Audited financial statement	Review financial condition	Annual

Forms to be used in implementing this sub-component are included in the Operations Manual Annexes.



4.10 Land Tenure Regularization

Objective:

- This subcomponent will finance the implementation of a pilot land titling initiative and technical assistance to the Government of Jamaica for the preparation of a national policy on squatter management and informal urban settlements. This will target residents of ICBSP communities on public land only – given the lack of a clear, cost-effective and expeditious legal framework for private land acquisition for the regularization of informal occupants on private parcels.⁵⁹ The project will investigate with specialized agencies of the Government alternatives or interim methods to increase tenure security on private land inclusive or short of formal titling.⁶⁰ The subcomponent will not finance land acquisition or the actual payment of the fee to receive a title – but rather only technical assistance and services.

Tasks:

- JSIF hires consultants to develop information campaigns and mechanisms for extensive public consultations in targeted communities to ensure the benefits and costs of titling as well as the rights and obligations of current occupants of the affected land, are well understood and to ensure 'buy in' to the process
- JSIF conducts a cadastral audit for all ICBSP communities based on cadastral data obtained from the National Lands Agency (NLA). The audit will analyze approximately 13,000 parcels which will be overlaid on an aerial map of each community and combined with attribute data (i.e. ownership and title details). The audit will enable JSIF and partners to quantify the exact number of parcels eligible for titling and assess requirements for the transfer of ownership of public lands.
- JSIF assesses the feasibility of undertaking titling programme in each community based on the findings from the audit.
- JSIF develops a clear and transparent strategy and program for titling based on the results of the complete cadastral audit including agreement with the Ministry of Housing and the Ministry of Land and Environment as to the procedures for transfer and pricing of lots to be transferred to current occupants.
- JSIF procures the services of Land Surveyors to conduct surveys of the relevant parcels and prepare subdivision plan and a boundary plan and technical description of all lands in ICBSP communities selected for tenure regularization under the Project.
- JSIF conducts verification of occupancy information including names, addresses, leasing and sub-leasing arrangements

⁵⁹ During preparation the National Lands Agency conducted a cadastral analysis for a sample of ICBSP communities: Jones Town, Tawes Pen and Bucknor. The analysis found that both Tawes Pen and Bucknor are located on single, non-subdivided public parcels while Jones Town is located on private land with detailed cadastral data available on ownership for all parcels. A rapid analysis of this data, overlaid on aerial maps, suggests that these parcels have been subdivided informally.

⁶⁰ A complete assessment of the legal framework for regularization on public lands will take place during implementation and prior to disbursements under the component.



- JSIF enters into formal operating arrangements with partner agencies eg National Housing Development Corporation (NHDC) and Ministry of Housing and Water (MOHW) to effect transfer of lands and obtain splinter titles.
- JSIF provides pre-checked boundary plans and technical description of lands to the Ministry of Housing.
- JSIF arranges for transfer of title of all affected Government lands to the Ministry of Housing and requests Minister of Housing to declare the areas as Housing Areas.
- JSIF CLOs and SDC, work with occupants to make arrange for payment for lands to be transferred to them.
- JSIF arranges an appropriate ceremony for the handing over of titles.



4.11 Memoranda of Understanding

JSIF has entered into memoranda of Understanding with major service providers, National Water Commission (NWC), National Solid Waste Management Authority (NSWMA), the St Catherine, St. James and Clarendon Parish Councils and the Rural Electrification Programme Ltd. (REP) and Jamaica Public Service Company Ltd. (JPS). These MOUs will guide the relationship between JSIF and these agencies in respect of the delivery or services under the ICBSP. The main provisions of these MOUs are outlined below.

The obligations of communities in respect of these services will be document in subsequent MOUs to be signed between the service providers and the Community Committees. These MOUs will clearly outline the obligations of each party, mechanisms for monitoring the relationship between the parties and handling disputes, and the recourse of each party in the event of a breach committed by the other party.



5.0 MONITORING AND EVALUATION FRAMEWORK

The JSIF M&E framework detailed in Chapter 11 of this manual defines the methodology for monitoring and evaluating JSIF activities. The approach to monitoring and evaluation of ICBSF follows the principles and procedures set out in Chapter 11 and integrates process monitoring with medium- and longer-term project evaluation based on a results framework which captures direct social, physical and human capital benefits in the beneficiary communities.

5.1 METHODOLOGY AND OBJECTIVES

The M&E framework for the ICBSF aims to integrate process monitoring and both medium- and longer-term project impact evaluation, utilizing in the results framework a mixture of outcome and process indicators. The framework aims to capture direct social, physical and human capital benefits in the selected communities.

Monitoring will be carried out on a regular basis in all 12 ICBSF communities through a combination of technical supervision, participatory focus group discussions, consumer satisfaction surveys and ongoing project information management. The JSIF MIS will be the central vehicle through which the project will track key operational and process monitoring indicators. A sample household baseline survey has been conducted in the 12 project areas and three control communities to serve as a basis for effective impact evaluation. Mid-term and end-of-project impact evaluations planned under the project will enable Jamaica to effectively assess the overall success of the project and that of discrete components. These lessons will be valuable in aiding the Government to identify critical investments and reforms that reduce poverty, build community capacity and increase public safety in inner-city and peri-urban communities.

Baseline Household Survey: A socio-economic household baseline survey has been carried out in a representative sample of households in the 12 ICBSF communities and in four control communities with characteristics similar to the project communities. The survey measures the beneficiaries' current status and perception of the availability and use of infrastructure services and utilities, level of social and human capital, income (by proxy) and perceptions and incidence of crime and violence in their community. Results from the survey are reflected in this project document and a complete report included in the project files. Control communities were selected and surveyed based upon five key factors of similarity with ICBSF communities including: (i) form and type of housing; (ii) population density; (iii) location and location type (e.g. urban, peri-urban, rural); (iv) level of basic services available; and (v) prevailing socio-economic conditions. The control communities for the ICBSF are Hayes (Clarendon), Ellerslie Pen (St. Catherine), Delacree and Swallowfield (Kingston and St. Andrew). The baseline survey in project and control areas enables the effective measurement of impact.

Process Monitoring and Evaluation: Continuous project monitoring will be based primarily on inputs recorded in a Management Information System (MIS) and through quarterly participatory rapid appraisals (PRA), focus group discussions and annual sample consumer satisfaction surveys of beneficiaries through Community Committees and JSIF Liaison Officers. Results will be formally presented in Bi-annual Project Progress Reports. These will measure progress against a series of key indicators summarized in the results framework below and other key management and operational indicators to be identified between JSIF and critical external stakeholders.

Mid-Term Evaluation: The mid-term evaluation will include an audit of the bi-annual Project Progress Reports and a sample household survey in ICBSF communities. Progress and primary data will be analyzed against key indicators in the results framework. In an effort to minimize costs, the mid-term household survey will utilize a reduced survey instrument – as compared with that used for the baseline study –focusing on key impact indicators. Additionally, the evaluation will be conducted in a reduced sample of ICBSF communities.



Impact Evaluation: The Government aims to conduct two impact evaluations – at project completion and five years after completion – to assess project impacts on beneficiary households and communities over time. The end-of-project impact evaluation will be conducted in all 12 project areas and the control groups. This survey will form the basis of an ICBSF impact evaluation and will be supplemented by a mix of data sources including focus group discussions with beneficiaries and selected secondary sources such as reported crime statistics, hospital admittance for violence-related injury in project areas.

Jamaica also aims to conduct a second impact evaluation five years after project completion to measure the sustainability of project outcomes. A methodology for this impact evaluation will be developed during project implementation.

Assessing Impact on the Incidence of Crime and Violence: The Project does not explicitly include as a development objective the reduction of crime and violence in project areas given the complexity of causal factors that influence crime and violence trends. Nonetheless, the Government does aim to measure the impact of public safety enhancement activities under Component 2 of the Project on the incidence crime and violence in project areas through the system of process monitoring and impact evaluation methods described above. The baseline survey conducted during preparation did collect data on the incidence of crime and violence in project and control areas thereby enabling subsequent evaluations to estimate the real impact of project interventions that aim to enhance public safety. Additionally, the Project will aim to develop during implementation a community-based system for monitoring the incidence of crime and violence in project areas. This data could then be triangulated with official statistics and findings from household sample surveys.

5.2 DATA COLLECTION INSTRUMENTS

The key data resources to be used for monitoring and evaluation are outlined below:

- *MIS.* JSIF currently uses a project MIS for the NCDP. This system will be updated and developed further for the ICBSF project. The system will include complete information on disbursements, material inputs, number of beneficiaries, numbers of CBOs involved with the project and a range of additional operational indicators to track project status. This information system will be available on a current basis and will feed into the process monitoring and evaluation system.
- *Focus Group Discussions.* As part of process monitoring and evaluation, focus group discussions will be held with beneficiaries in project communities (who may not be part of the Community Committees) to build a profile of project impact. Bi-annual focus group discussions will take place in each ICBSF community.
- *Citizen Report Cards.* JSIF will implement Citizen Report Cards to monitor beneficiary perceptions of project implementation. The report cards will be implemented at the end of years one and three of project implementation – years in which either mid-term or end-of-project evaluation will not be conducted. The report cards will serve as a bridge between the ongoing monitoring and impact evaluation exercises. JSIF will develop during project implementation a methodology for conducting citizen report card surveys based on international experience with the instrument.
- *Household Baseline and Impact Evaluation Surveys.* A socio-economic household baseline survey has been carried out for representative sample households in ICBSF communities and four control communities as described above. A limited module or survey will be conducted at the mid-term. Complete surveys to assess impact will be conducted at the end of the project and five years after project completion.
- *Secondary Data.* Existing data from the National Census, PIOJ, police records and other agencies will be used to supplement the primary data collected from ICBSF communities and control communities for process monitoring and impact evaluation.



5.3 INDICATORS

A set of indicators for process and impact monitoring have been outlined in the results framework below. Additional key management indicators will be integrated into the MIS. The impact evaluation framework also includes a series of indicators organized into the following areas:

Impact Indicator Areas
Household Composition
Housing
Tenure
Water and Sanitation
Solid Waste
Electricity
Roads and Street Lighting
Community Infrastructure
Health
Education
Social Capital and Community Participation
Employment, Income and Access to Financial Services
Crime, Violence and Public Safety

5.4 INSTITUTIONAL ARRANGEMENTS FOR M&E

The JSIF Social Development Manager will be responsible for the overall management and implementation of the Monitoring and Evaluation framework. This will include ensuring field teams provide timely monitoring reports with operational data. JSIF Community Liaison Officers will be responsible for carrying out periodic focus group and participatory exercises and the citizen report card surveys. Technical supervision for the mid-term and end-of-project evaluations will be conducted by the Social Development and Research Department of the Planning Institute of Jamaica (PIOJ) with support from consultants to be financed under the ICBSF project. PIOJ will assume the role of technical supervision for project evaluation in order to ensure the independence of the impact evaluation process. PIOJ will coordinate with and involve STATIN on design and technical issues associated with the evaluations.

Mechanisms for Feedback: Results from ongoing process monitoring, focus group discussions, citizen report cards and impact evaluations will be discussed at three levels. First, results from ongoing operational monitoring and focus group exercises will be discussed at bi-weekly Community Organizer meetings held with JSIF management and community liaison officers. At this stage key lessons from monitoring will be reflected in revised work programs or special initiatives to address identified operational weaknesses. Important results from ongoing operational monitoring and focus group discussions will also be discussed during monthly JSIF management meetings, involving the ICBSF Project Manager, key senior project staff and other JSIF management. The meetings will reflect lessons from monitoring exercises in revised monthly work programs for the project and staff. Lastly, findings from citizen report card surveys, impact evaluations and key lessons from ongoing operational monitoring will be discussed at quarterly ICBSF Steering Committee meetings. The steering committee will include JSIF management, notable figures and representatives from key agencies including PIOJ, Ministry of Land and Environment, Ministry of National Security, National Lands Agency, Ministry of Housing and Water, NWC, NSWMA, NWA and Parish councils. The Steering Committee will take decisions on project implementation strategy based on findings from operational monitoring and impact evaluations.

Results Framework

Project Development Outcome	Project Outcome Indicators	Use of Project Outcome Information
Improve quality of life in inner cities and poor urban informal settlements through improved access to basic services, enhanced community capacity and improvements in public safety.	<ol style="list-style-type: none"> 1. Provide access to improved basic infrastructure and financial services and security of tenure for 60,000 inner city residents 2. % of beneficiaries that feel safe or very safe (differentiated between inside and outside the home) 	Adapting and developing public expenditures, programs and policies targeting inner city and peri-urban areas to reflect lessons from the ICBSF project
Intermediate Outcomes	Intermediate Outcome Indicators	Use of Intermediate Outcome Monitoring
<p>Component One: Access to Services</p> <p>Increase access and improve the quality of basic infrastructure services for inner city residents in project areas</p> <p>Improve access for formal financial services for productive, incremental housing improvements and community infrastructure investments</p> <p>Increase tenure security in project areas</p>	<ol style="list-style-type: none"> 3. % of households that report access to water with 'good' pressure 4. % of beneficiaries satisfied with the quality and pressure of water service 5. % of households in project areas with access to in-house sanitation facilities 6. % of households satisfied with quality of sanitation facility 7. % beneficiaries receiving solid waste collection service at least once per week 8. Km of paved road surface rehabilitated and maintained 9. % of street lights constructed under the project in working order over time 10. Increase in levels of community satisfaction with community and recreational facilities 11. # of formal microfinance loans disbursed in project communities 12. # of beneficiaries having opened bank accounts 13. # of repeater loans provided in project areas 14. Number of titles provided to project beneficiaries 	<p>Measure effectiveness of physical infrastructure sub-component and adapt implementation strategy accordingly</p> <p>Measure the sustainability of project investments and adapt arrangements for O&M developed in collaboration with NWA, NSWMA, NWC, JPS Co., Parish councils and other related service providers.</p> <p>Inform GoJ strategy and parallel efforts on best practice in providing basic infrastructure services in inner city areas</p> <p>Develop improved strategies to provide financial services in inner city areas</p> <p>Design tenure regularization programs targeting inner city and urban informal settlements</p>
<p>Component Two: Public Safety</p> <p>Improve the perceptions of public safety among beneficiaries through strengthening human and social capital</p>	<ol style="list-style-type: none"> 15. % of beneficiaries who feel safe or very safe (differentiated between inside and outside the home) 16. % increase in CBO membership 	Inform Jamaican government programs that aim to enhance public safety in inner city areas
<p>Component Three: Project Management</p> <p>JSIF, parish councils and community organizations increase capacity and effectively implement and supervise project interventions</p>	<ol style="list-style-type: none"> 17. JSIF obtains and adheres to ISO 14000 certification 18. CBOs effectively implement community-based subprojects 	<p>Identify actions and measures to strengthen JSIF management and quality control systems</p> <p>Adapt and improve approach to strengthening CBO capacity</p>



Arrangements for results monitoring

Project Outcome Indicators	Baseline	Target Values				Data Collection and Reporting		
		YR1	YR2	YR3	YR4	Frequency and Reports	Data Collection Instruments	Responsibility for Data Collection
1. Provide access to improved basic infrastructure and financial services and security of tenure for 60,000 inner city residents	0	7,500	18,000	40,000	60,000	Annual	JSIF MIS	JSIF
2. % of beneficiaries who feel safe or very safe	27.75% ⁶¹	35.0%	45.0%	60.0%	75.0%	Mid-Term, End of Project and End-of-Project + 5 Years ⁶²	Impact Evaluation	JSIF in consultation with STATIN
Intermediate Outcome Indicators								
3. % of households that report access to water with 'good' pressure	43.2%	50.0%	55.0%	60.0%	65.0%	Six-Monthly, Mid-Term and End of Project	JSIF Technical Supervision and Impact Evaluation	JSIF
4. % of beneficiaries satisfied with the quality and pressure of water service	43.2%	50.0%	60.0%	75.0%	90.0%	Annual, Mid-Term and End of Project	Consumer Satisfaction Surveys and Impact Evaluations	JSIF
5. % of households in project area with access to in-house sanitation facilities	51.0%	55%	60.0%	70.0%	80.0%	Six-Monthly, Mid-Term and End of Project	JSIF Technical Supervision	JSIF
6. % of households satisfied with quality of sanitation facility	TBD	TBD	TBD	TBD	TBD	Annual	Consumer Satisfaction Survey	JSIF
7. % beneficiaries receiving solid waste collection service at least once per week	71.7%	75.0%	80.0%	85.0%	90.0%	Six-Monthly, Mid-Term and End of Project	JSIF Technical Supervision, Impact Evaluations	JSIF
8. Km of paved road surface rehabilitated and maintained	0	TBD	TBD	TBD	TBD	Six-Monthly	JSIF Technical Supervision	JSIF
9. % of street lights constructed under the project in working order over time	0	70.0%	75.0%	80.0%	85.0%	Six-Monthly	JSIF Technical Supervision	JSIF

⁶¹ Data is based on responses from the Household Baseline Survey in which respondents were asked about perceptions of physical safety based on a subjective 5 point scale ranging from 'not safe at all' to very safe. Results from the baseline survey suggest that 27.7 percent of respondents feel either 'safe' or 'very safe'.

⁶² Control groups will be surveyed as part of the end of project and end-of-project + 5 year impact evaluations.



10. Increase in levels of community satisfaction with community and recreational facilities	TBD	TBD	TBD	TBD	TBD	Annual	Consumer Satisfaction Survey	JSIF
11. % of households in which members have accessed loans from a formal lending institution	4.4%	7.5%	10.0%	12.5%	15.0%	Six-Monthly	JSIF MIS	JSIF and participating MFIs
12. # of beneficiaries having opened bank accounts	TBD	TBD	TBD	TBD	TBD	Six-Monthly	JSIF MIS	JSIF and participating MFIs
13. # of repeater loans provided in project areas	0	TBD	TBD	TBD	TBD	Six-Monthly	JSIF MIS	JSIF and participating MFIs
14. Number of titles provided to project beneficiaries	0	TBD	TBD	TBD	TBD	Six-Monthly	JSIF MIS	JSIF
15. % of beneficiaries who feel safe or very safe (differentiated between inside and outside the home)	27.7% ⁶³	35.0%	45.0%	60.0%	75.0%	Annual	Consumer Surveys	JSIF
16. % of households that report membership of a CBO	13.6%	25.0%	35.0%	50.0%	65.0%	Annual	Consumer Surveys	JSIF
17. JSIF obtains and adheres to ISO 14000 certification	N/A	N/A	N/A	Yes	Yes	Annual	JSIF Reports	JSIF
18. CBOs effectively implement community-based subprojects	N/A	Yes	Yes	Yes	Yes	Annual	JSIF MIS	JSIF

⁶³ Data is based on responses to a question in the Baseline Survey conducted during preparation. The question does not differentiate between ‘inside’ and ‘outside’ the house perceptions of safety. Subsequent data collection exercise will differentiate between the two types of safety perceptions.



Appendix B - COMMUNICATIONS STRATEGY

BACKGROUND

As part of its poverty alleviation strategy the Government of Jamaica established the Jamaica Social Investment Fund (JSIF) in 1996. The organisation was mandated to address the needs of the country's poorest communities.

While it executes its mandate the organisation faces the challenge of communicating with its numerous and diverse publics. Depending on the occasion, the event or the project, JSIF's target audience can vary from individuals in the country's poorest communities to executives at an international funding agency.

As a result, the organisation needs a multi-faceted communications strategy to reach its stakeholders as well as the external public. This strategy should be designed to meet the following objectives:

Increase JSIF's visibility in the local print, electronic and online media

Increase public awareness about the work being carried out by JSIF and highlight the organisation's contribution to the eradication of poverty

Illustrate the impact of the organisation's work on the communities which it serves

Keep Funding Agencies, Government Ministries and other critical organisation abreast of JSIF's work and informed of any developments which may affect the Fund's interfacing with them

Generate interest from the Private Sector, NGOs and other organisations in JSIF's work with a view to forming partnerships

Increase awareness among potential sponsor groups about the types of projects which JSIF will fund

Encourage ownership on the part of JSIF's beneficiaries particularly in regards to social and economic infrastructure with a view to promoting maintenance and sustainability

Generate at least 10 media exposures for JSIF on a monthly basis

Engender support and good will from the general public for JSIF's work

Strategies

To achieve the stated objectives, the following strategies should be employed:

Timely release of news articles on projects, contracts and ceremonies

Utilisation of milestones and achievements to generate maximum publicity



Capitalising on special events, eg. project launches, tours by high level international delegations etc, to highlight JSIF's work.

Selective targeting of special areas of the media as they relate to particular projects, initiatives etc.

Quick responses to request from the media for information on projects or any other aspects of the organisation's work

Greater emphasis on media attendance at in-house contract signing events which are in close proximity to most media houses as opposed to rural events which often don't enjoy a high level of coverage if they are far from regional locations of the media's offices

Meetings with media managers and editors to discuss specialised projects tailored to their publications or programmes.

Target Groups

The stated strategies will be employed to target particularly groups, more specifically:

- Community Based Organisations
- Partner Organisations
- Funding Agencies
- Private Sector Entities
- Non-Governmental Organisations
- Government Ministries and Agencies
- Members of Parliament
- Councilors
- The Media
- The General Public

UTILISATION OF MEDIA

COVERAGE

One of the primary functions of the Communications Officer/Staff should be to ensure that the organisation receives good media coverage for its events and activities. To ensure this the Communications Officer should:

Aggressively seek full media coverage for all events in the Corporate Area and major urban centres in the rural parishes where the larger media houses have news bureaus or correspondents.

Place emphasis on generating media coverage for in-house contract signings which are likely to have more media in attendance because of proximity

Directly target parish correspondents and regional media offices for events in rural areas.



Issue news releases on any events or projects which have not attracted coverage.

RADIO AND TELEVISION

The Communications Officer and any supporting staff must ensure that JSIF has a sustained presence on local radio and television stations by providing news worthy information to media houses on a regular basis. The provision of news and current information should be enhanced by regular interviews with relevant spokespersons on radio and television programmes which attract a wide audience.

In addition, the Jamaica Information Service (JIS) which has broadcast time on most if not all radio and television stations and which also has a network of regional news reporters, should be provided with schedules of sponsor and/or contract signing and handing over ceremonies to ensure coverage and widespread broadcasting.

PRINT MEDIA

The print media is critical to any effort to maintain JSIF's visibility but has the additional benefit of providing a means by which the organisation can ensure that there is archival material about its impact and activities. Information should be provided for the local newspapers in a manner which ensures that news and current affairs articles, features and photographs about JSIF's work appear in these publications on a regular basis.

This means that the Communications Officer and other relevant staff must keep the print media abreast of the Organisation's current and upcoming activities.

Also, the diversity of JSIF's interventions lends itself to the Organisation providing news worthy information for several specialised sections of the local papers. For eg: the **Western Observer** and the Gleaner's **Cornwall Edition** can be targeted to publicise projects and initiatives aimed at citizens in the Western part of the island. The Observer's **All Woman** magazine and its Gleaner counterpart **The Flair** are ideal vehicles for news and information on projects which are aimed at female beneficiaries. Also the **Education Observer** can be targeted for school projects.

Regular photographs in the print media is also essential for maintaining visibility. Photos of ceremonies, projects in progress, tours and visits from overseas delegations, completed projects and in-house contract signings should be captioned and sent to newspapers on a regular basis.

OUTSIDE BROADCASTS

An outside broadcast on a popular radio programme presents a good opportunity for different aspects of JSIF and its work to be highlighted. JSIF can utilise this vehicle, perhaps on an annual basis.

Ideally an outside broadcast should be tied to a specific event e.g. the handing over ceremony for a particularly large project, an expo or the official launch of a new programme. JSIF personnel versed in different aspects of the organisation can be interviewed, giving the listening public a deeper insight into the organisation. Beneficiaries associated with the particular project can also be interviewed about their involvement and the benefits to their community.



PROVISION OF INFORMATION

On occasion, journalists and other media personnel will request information from the Communications Officer on JSIF's work, projects, investments etc. It is important that these requests be dealt with in a timely manner.

The Communications Officer should consult with the relevant manager or officer to obtain this information and it should be approved by at least one manager before it is dispensed to the media.

INTERNAL AND EXTERNAL COMMUNICATION VEHICLES

WEBSITE

The website should be the first point of call for anyone seeking information about JSIF and its activities. Information posted on the website should include:

- Schedules of events
- Reports and Papers issued/published/presented
- Statistical information
- Project information
- Advertised bids
- News releases issued
- Historical information on JSIF

EXTERNAL NEWSLETTER

An external newsletter should be published on a bi-annual basis or at an interval to be decided upon depending on the availability of financial and human resources. The publication should be used as a vehicle to communicate with the Organisation's external publics including:

- Existing and Potential Sponsors
- Community Based Organisations
- Partner Organisations
- Funding Agencies
- Non-Governmental Organisations
- Government Ministries and Agencies

The material selected for inclusion in this publication should aim to:

Highlight the organisation's contribution to the eradication of poverty

Publicise the achievements and accomplishments of JSIF

Illustrate the impact of the organisation's work on the communities which it serves

Highlight the contribution of the benefiting communities



Show the faces and tell the stories of JSIF's beneficiaries

INTERNAL NEWS LETTER

The newsletter should be published at a regular interval to be decided depending on human and financial resources available. It should be a vehicle for:

- Communicating internal information to staff members and JSIF's closest partners.
- Highlighting the organisation's achievements
- Boosting moral and building team spirit
- Keeping staff up to date on the business of the organisation

CRISIS MANAGEMENT AND DAMAGE CONTROL

In the event of crisis or negative publicity JSIF must be prepared to provide information in a forthright and timely manner. In doing so, however every effort must be made to ensure that the organisation's positive image is maintained.

In situations where it is possible that a crisis may develop, e.g. if there is work stoppage on a project due to conflicts within communities or if the organisation is unable to meet a financial commitment in a timely manner, the Communications Officer and the highest level of management should prepare a "standby statement" ahead of time. In this way, if the information emerges in the media, the organisation is prepared to answer.

In instances where a crisis emerges suddenly, the organisation's management and/or Board of Directors along with the Communications Officer must decide on the best line of communication and the best spokesperson/s to carry the message.

It is critical that in times of crisis the organisation speaks with one voice and therefore, anyone engaging the media be it through the provision of information to journalists or participating in interviews, must be well versed with the organisation's position on the issue or event in question.



APPENDIX C. Specific Procurement Arrangements

All procurement is to be done in keeping with the Government of Jamaica (GOJ) Handbook or Public Sector Procurement Procedures (May 2001 or as amended) and any additional specific provisions as agreed with external funding agencies.

Whenever the World Bank funds are used, the procurement is to be done in keeping with the World Bank Guidelines and the Loan/Project Agreement and the Government of Jamaica (GOJ) Handbook or Public Sector Procurement Procedures (May 2001 or as amended). In case of contradiction between this Operations Manual and the World Bank guidelines, the World bank guidelines will prevail.

In keeping with the GOJ procurement rules, contractors desiring participation in public sector procurement opportunities must be registered with the National Contracts Commission (NCC) and must have a valid Tax Compliance Certificate (TCC) at the time of bid opening. The bids should not be rejected due to the lack of the Tax Certificate or NCC registration up front. If evidence of a valid TCC or NCC registration is not submitted with the tender, clarification should be requested within a period of 2-3 working days. If after this period, clarifications provided by the bidders do not fulfill JSIF's requirements, their proposal should be rejected.

Summary of Procurement Methods

1.1 Summary of GOJ Procurement Methods

(See Handbook of Public Sector Procurement Procedures (May 2001))

Categories of Expenditure

Civil Works

<u>Categories of Expenditure</u>	<u>Procurement Methods</u>
- Below J\$250,000	Limited tender (Three quotations)
- Above J\$250,000 but less than J\$1M	Limited tender (local advertising)
- Above J\$1M but less than J\$4M	Selective Tender (local advertising)
- Over J\$4M	Selective Tender (National advertising)

Equipment and Goods

- Below J\$250,000 (US\$4,167)	Limited tender (minimum 3 qualified bidders)
- Above J\$250,000 but less than J\$1M	Limited tender (minimum 5 qualified bidders)
- Above J\$1M but less than J\$4M	Selective Tender (local advertising)
- Over J\$4M	Selective Tender (National advertising)



Consultant Services/Technical Assistance

- Under J\$4M Minimum 3 qualified consultants
- Over J\$4M National advertising

1.2 Summary of World Bank Procurement Methods – National Community Development Project (NCDP)
(See Project Agreement dated October 31, 2002)

- (US\$1,000 – US\$5,199) quotations)
- J\$250,000 – J\$1M Limited tender (local advertising)
 (US\$5,200 - US\$20,800)
- J\$1M - J\$4M (US\$20,800 – US\$83,300) Selective Tender (local advertising)

1.3 Summary of World Bank Procurement Methods – Inner City Basic Services Project (ICBSP)
(See Loan Agreement XXX and Project Appraisal Document dated February 28, 2008)

Categories of Expenditure
Civil Works

Procurement Methods

- Below US\$ 100,000 Procurement of small works – 3 Quotations
- Above US\$ 150,000 – US\$1.5M National Competitive Bidding
- Above US\$1.5M International Competitive Bidding

Equipment and Goods

- Below U\$ 25,000 Shopping (minimum 3 qualified bidders)
- Above J\$50,000 but less than U\$ 150,000 National Competitive Bidding
- Above U\$ 150,000 International Competitive Bidding

Consultant Services/Technical Assistance

- Under J\$4M (US\$66,667) QCBS, LCS, CQ or IC per Procurement Plan



- Over J\$4M (US\$66,667)	QCBS, LCS, CQ or IC per Procurement Plan National advertising required by GOJ
- Under US\$ 50,000 (except audit services).	QCBS, LCS, CQ or IC per Procurement Plan
- Audit Services	Least cost selection.
- Individual Consultant	Consultant qualifications
Non-Consultant Services	
- Under US\$50,000	Shopping
Community executed sub-projects	
- Under US\$150,000	Shopping
Electrification Programme	
Under US\$200,000	Force Account
Financial Institutions	
- Under US\$200,000	Least cost selection



APPENDIX D. ISO 14000 certification process

Jamaica Social Investment Fund

Terms of Reference for Consultant Services for the ISO14000 Certification

General Introduction

The Jamaica Social Investment Fund (JSIF) was established in December 1996 as a component of the Government of Jamaica's strategy to reduce and eradicate poverty. Recognising the limited capacity of existing government institutions to implement small-scale projects at the community level, Cabinet in December 1995 approved the establishment of the JSIF as a key component of the Government's National Poverty Eradication Programme (NPEP). JSIF invests in community based projects as a means for empowering communities and building social capital. By involving communities fully in identifying, prioritising, planning, managing and monitoring their own development projects, JSIF helps to build local capacity to sustain and extend development initiatives.

The JSIF is an autonomous government company designed to provide investments in community-based projects island wide and is a demand-driven financial intermediary. It works in partnership with communities, the private sector, non-governmental organizations (NGOs), and donor agencies, in seeking to channel benefits to the poorest communities across the country.

The JSIF promotes, appraises, finances and supervises sub-projects in the following areas:

Social Infrastructure - includes the rehabilitation, expansion, construction & equipping of facilities such as schools, health centres, community centres, homes for the elderly and persons with disabilities, infirmaries; it also includes the construction and rehabilitation of public sanitary conveniences, drains, canals and community-based water systems.

Economic Infrastructure - includes the rehabilitation and up-grading of parochial, feeder and urban access roads and the construction and rehabilitation of community-based agro-processing facilities.

Social Services - includes assistance to programmes offering services in career guidance and job placement, counselling (including conflict resolution & drug abuse), parenting and family life education, and skills training to the un/under employed and persons with disabilities.

Organizational Strengthening - includes technical assistance and training for community-based organisations to assist them in developing and managing community-based projects and organisations, to governmental and non-governmental institutions in participatory project cycle management and improving the support they can provide to communities in managing community development initiatives.



The Government of Jamaica has recently prepared an Inner-City Basic Services Project (ICBSP) to be financed by the World Bank. The ICBSP aims to:

- improve access in targeted poor inner-city communities to basic services including reliable potable water, sanitation, solid waste management, road infrastructure and related community-based services demanded in these communities.
- reduce the incidence of crime and violence in targeted inner city communities.
- strengthen community capacity to develop, manage and maintain basic infrastructure in targeted communities.

Specific objectives include: (i) significantly increasing coverage in poor households within the selected communities to water and sanitation facilities, and storm water drainage; (ii) strengthening human and social capital in poor neighborhoods through increasing community participation in the planning, delivery and maintenance of works and services; and (iii) improving community safety as measured by reduced crime rates and public perceptions of safety. The project will be implemented by the Jamaica Social Investment Fund (JSIF).

Over the next 3 years, as part of the implementation of the Inner City Basic Services Project, the Jamaica Social Investment Fund (JSIF) intends to develop an environmental management system consistent with ISO 14,000 registration. The management system would codify critical JSIF services and provide the underpinnings for future ISO certification and consistency with World Bank, and other donor assistance programs.

Background

ISO 14000 is the world's first series of internationally accepted standards for environmental management. The standards were originally established for industry, although increasingly they are widely applied to governments and institutions. ISO 14000 provides a structure within which proponents establish, achieve and control whatever level of environmental performance they set for themselves.

ISO 14000 is a voluntary series of standards that can coexist with the laws and regulations of individual countries. The International Organization for Standardization, a worldwide federation of over 110 member nations based in Geneva, Switzerland developed the ISO 14000 series of standards.

ISO 14000 provides the means to comply with laws and regulations, and continually supports new ideas, opportunities for preventing pollution and reducing environmental compliance costs. In doing so, the standards do not dictate specific solutions, but rather they encourage a continuous cycle of identifying problems; identifying opportunities for improvement; implementing changes; reporting results; and monitoring overall performance.

Implementing an ISO 14000 environmental management system provides the framework for an organization to achieve a high level of environmental performance that fosters ongoing compliance. ISO 14000 offers a systematic approach for organizations to manage their environmental obligations in a consistent and orderly manner.

ISO 14000 is a management standard, not a product standard. The environmental management standards don't prescribe performance levels. Instead, the expectation is that better



management will provide better performance. The ISO 14000 series of standards is comprised of several 'guideline' standards and one 'compliance' standard, i.e., **ISO 14001 Environmental Management Systems (EMS)**⁶⁴.

Environmental Management helps an organization to, (i) be aware of the interactions that its activities, services and products have with the environment and, (ii) achieve and continuously improve performance levels.

A public sector agency may work towards ISO 14000 certification in order to:

- Develop a model for an Environmental Management System
- Demonstrate environmental compliance
- Obtain local customers and international donor recognition
- Publicly declare their commitment to good environmental management

Benefits accruing to a public sector agency when implementing an ISO 14001 EMS may include:

- Enhanced compliance with local legislation and donor expectations
- Increased efficiency of resource use
- Greater ability to adapt to changing circumstances
- Valuable motivational factor for management and staff.

Recent experience from local authorities and government agencies in Europe, North America and Japan highlights the clear link between enactment of an EMS and improved service delivery. The scope of implementation of an EMS can cover direct and indirect effects arising from policies, decisions, ordinances, services and other actions by public sector agencies. Many agencies see EMS as a key tool of sustainable development. A comprehensive EMS, as adopted through ISO 14001 certification, should improve an organization's overall environmental performance, especially over the medium and longer term.

JSIF provides an excellent opportunity for initiating the use of structured EMS within Jamaican government agencies. Several businesses in Jamaica already have ISO 14000 certification, and the National Airport Authority has started the process. JSIF's service delivery aspects fit well with an EMS. The Project intends to use the Operating Manual. JSIF is expected to be the government's pilot agency, with more agencies expected to follow. The project intends to develop local capacity, which in turn will lower costs for future agencies.

Scope of Work

ISO 14001 Certification Methodology, Implementation and Maintenance

⁶⁴ The better known ISO 9000 series of Quality Management standards, with over 100,000 registrations around the world, is used by businesses and organizations as a model for a quality management system. It is aimed at meeting clients' requirements, control of the process and continuous improvement. ISO 14000 is aimed at these, and more: 'clients' requirements' has expanded to include regulatory and other mandatory environmental requirements; and 'continuous improvement' is not only driven by customer expectations but also by priorities and objectives generated internally by the organization.



ISO 14001 methodology is based on the 'plan-do-check-act' (PDCA) approach which also serves as the basis for more widely used ISO 9000 standards for Total Quality Management Systems. The table below outlines the methodology for implementing an ISO 14001 process. The Consultant will be required to guide JSIF through the various stages culminating in the certification of the organization.

<p><u>Stage 1:</u> Identify clear 'champions' within management and articulate a clear mission statement</p>	<ul style="list-style-type: none"> • Senior management should lead the effort and strongly articulate the organizational commitment to the process • Orient staff to the EMS process demonstrating how the EMS process will help achieve better quality and client satisfaction • Create opportunities for all staff to participate
<p><u>Stage 2:</u> Review program and identify potential environmental impacts</p>	<ul style="list-style-type: none"> • Carry out gap analysis to identify major limitations • Outline a process for addressing gaps and bringing existing procedures and processes into the ISO 14001 structure
<p><u>Stage 3:</u> Set environmental objectives and targets</p>	<ul style="list-style-type: none"> • Communicate to the clients how the organization intends to address environmental issues and concerns • Measure and reporting on achievements • development of annual and capital works programs • Link operations and activities to the goals of the mission statement.
<p><u>Stage 4:</u> Establish and clarify responsibilities, policies, procedures and records</p>	<ul style="list-style-type: none"> • Develop a corporate EMS manual to guide EMS implementation (to be reviewed and updated periodically) • Establish implementation groups for different areas of activities • Review and confirm arrangements for service delivery, environmental impacts and applicable legal requirements • Identify which mechanisms, such as standard operating procedures, technological changes, inspection and monitoring, staff training and capital improvements currently exist or are being implemented for controlling the environmental impacts and maintaining regulatory compliance • Restructure existing systems as needed to meet the requirements of the corporate EMS manual • Develop an environmental management plan to address the objectives and targets
<p><u>Stage 5:</u> Create systems for regular evaluation and improvement of the management system</p>	<ul style="list-style-type: none"> • Review procedures and systems developed by implementation teams • Prepare an action plan, as part of the annual budget process, for achieving the agreed objectives and targets • Conduct training and awareness programs about the EMS requirements for all personnel • Establish an internal management system audit process • Implement an annual management review of EMS effectiveness



A 'fast track' approach is proposed so that the ICBSF can reinforce the certification process, and the ISO 14000 certification process can provide independent verification of project requirements and integrate with the use of country systems.

The Consultant will use the JSIF Operating Manual as the basis for EMS development. The EMS will also be aligned with the use of country systems (see Annex 1).

Summary of Deliverables and Dates

The consultant will be responsible for the following key activities and deliverables:

Deliverable	Date
Inception Report outlining timetable of activities including budgeted JSIF staff time to complete the ISO14000 certification process	April 2007
Training of JSIF management and staff who will be I) involved in the documentation of procedures and ii) responsible for the management and maintenance of the EMS.	May 2007
Gap analysis Report including details of major limitations and a process for addressing gaps and bringing existing procedures and processes into the ISO 14001 structure	July 2007
Report detailing key operating procedures - estimating the number of operating procedures that will be incorporated in an overall EMS	September 2007
Comprehensive corporate EMS manual to guide EMS implementation, including a clear regime for monitoring, evaluation and continuous improvement once the EMS is in place.	May 2008
Guidance to JSIF to complete the certification process.	June 2008

Reporting

The Consultant will report to the JSIF EMS Manager and will be required to provide monthly updates to the JSIF Management Team on the progress of the assignment.