

# Project Administration Manual

Project Number: 49320-001  
Grant Number: GXXXX  
November 2015

Vanuatu: Cyclone Pam School Reconstruction  
Project

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## **Project Administration Manual Purpose and Process**

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures. The PAM should include references to all available templates and instructions either through linkages to relevant URLs or directly incorporated in the PAM.

The Ministry of Finance and Economic Management and Ministry of Education are wholly responsible for the implementation of ADB financed projects, as agreed jointly between the recipient and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by the executing and implementing agencies of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Grant Negotiations the recipient and ADB shall agree to the PAM and ensure consistency with the Grant<sup>1</sup> agreement. Such agreement shall be reflected in the minutes of the Grant Negotiations. In the event of any discrepancy or contradiction between the PAM and the Grant Agreement, the provisions of the Grant Agreement shall prevail.

After ADB Board approval of the project's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval they will be subsequently incorporated in the PAM.

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<sup>1</sup> The name of the operational financing document may vary on a project to project basis; this reference shall be deemed to encompass such variations, e.g., a Framework Financing Agreement, as applicable.

## Abbreviations

ADB	=	Asian Development Bank
ADF	=	Asian Development Fund
AFS	=	audited financial statements
DMF	=	design and monitoring framework
DSC	=	design and supervision consultants
EARF	=	environmental assessment and review framework
EMP	=	environmental management plan
ICB	=	international competitive bidding
IEE	=	initial environmental examination
IPP	=	indigenous people plan
IPPF	=	indigenous people planning framework
JFPR	=	Japan Fund for Poverty Reduction
LAR	=	land acquisition and resettlement
MFEM	=	Ministry of Finance and Economic Management
MOET	=	Ministry of Education and Training
NCB	=	national competitive bidding
NGOs	=	nongovernment organizations
PAM	=	project administration manual
PMU	=	project management unit
RRP	=	report and recommendation of the President to the Board
SPS	=	Safeguard Policy Statement
SPRSS	=	summary poverty reduction and social strategy
TOR	=	terms of reference

## I. PROJECT DESCRIPTION

1. The Cyclone Pam School Reconstruction Project will support the Government of Vanuatu (the government) to accelerate recovery and reconstruction following the devastating cyclone Pam in March 2015. The project will support the rebuilding of junior secondary schools in Tafea Province with build back better concepts to strengthen resilience to future disasters and prepare schools and communities in disaster risk management practices. The schools will include a community center feature for communities to have shelter during times of emergency. They will function as demonstration models to be replicated in other parts of Vanuatu.

### 1. Impact and Outcome

2. The impact will be accelerated social recovery in Vanuatu's cyclone Pam affected provinces. The outcome will be critical education services resumed with disaster-resilient infrastructure.

### 2. Outputs

3. In response to and in line with the Post Disaster Needs Assessment Report (PDNA), the project has two outputs: (i) schools are rebuilt and/or upgraded in Tafea Province, (ii) community and MOET management capacities for disaster risk reduction and disaster preparedness are strengthened.

4. **Output 1: Schools are rebuilt and/or upgraded in Tafea Province.** At least five junior secondary schools are rebuilt and/or upgraded to serve 1,200 school children. School reconstruction will be planned to disaster-resilient and climate proof standards. While the level of damage in each school site is different, water and sanitation facilities, and dormitories for students that are all gender inclusive/responsive will be included.<sup>2</sup> In addition, the schools will be designed so that they can be used as temporary shelter during disaster events and emergencies by the surrounding communities. This would ensure that people will have a safe place to retreat in times of emergencies. The buildings will be equipped with water tanks for rain water collection, emergency power back up and communication facilities, and store essential supplies that may be accessed immediately post-disaster. Communities will be consulted throughout the design process to ensure ownership and agreements on proposed school rehabilitation.

5. The PDNA confirmed that Tafea Province was worst hit and the recently approved Vanuatu Reconstruction Plan defines the reconstruction of the education sector as being one of the government's priorities. The total damage and loss in the education sector is estimated at \$36.3 million and the estimated medium to long-term recovery needs were estimated to be \$62.3 million. To this end, the Ministry of Education and Training (MOET) undertook an initial damage assessment with the support of ADB and confirmed that at least five junior secondary schools in Tafea Province are proposed to be rehabilitated. Schools have experienced various degrees of damage. The selection will take into account (i) strategic location, (ii) extent of damage but still feasible and cost effective to repair, (iii) size of school and potential for either rationalization or expansion. They will also have a show case effect and demonstrate best practice standards on build back better concepts that can be replicated for other school reconstruction work in the country.

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<sup>2</sup> 80% of students use dormitory facilities.

6. The selection of junior secondary schools is complementary to other development partners' work in the education sector that support the reconstruction of early childhood education centers and primary schools.

7. A climate risk screening considered the project to be at medium risk. A climate and disaster risk and vulnerability assessments for the project components will inform the detailed design of the school buildings, to ensure that the schools will be rebuilt following the build back better concept for climate and disaster resilient standards, but appropriate to the local context.

8. **Output 2: Community and MOET management capacities in disaster risk reduction and disaster preparedness are strengthened.** MOET staff will be trained on build back better concepts and standards to enable the ministry to replicate the model schools in other locations. Other government ministries will also be invited to participate in the training. School disaster risk management plans will be established, and school curricula will include information on disaster preparedness. Training and awareness will be conducted with MOET staff, schools and communities on disaster risk preparedness. Training and information campaigns will also be carried out for schools and surrounding communities on safer construction and construction standards as well as school maintenance planning.

9. Due to a limited number of technical and engineering staff at MOET, design and supervision consultants will be recruited and financed from the project to supplement gaps and to build MOET capacity. It is envisaged that several workshops with experts will be organized to train, discuss and present on (i) build back better concepts, (ii) disaster resilient and climate change adaptation techniques, and (iii) disaster preparedness.

10. In addition, community engagement pre construction work will be important to have community buy-in for the proposed upgrades, locations of sanitation facilities, community center facilities and class rooms. This will also ensure that gender aspects are taken into consideration.

11. Further, maintenance of schools is important. Junior secondary schools are primarily self-funded through a small government school grant schemes, school fees and community input. MOET provides guidance on setting of school fees, maintenance and financial planning. A maintenance manual and an asset management plan for each school will be prepared during implementation of the project. However, there is a continuous need for school committees and communities to be trained in maintenance planning and budgeting. This will be addressed through the project.

12. Lastly, it will be important to raise awareness and train communities and schools for future disasters. School staff, children, committees and communities will be engaged to prepare a disaster management plan for the school. Training will be provided to the schools and communities on disaster risk reduction and preparedness and a toolkit will be provided afterwards. This will also include adjustment or inclusion of certain disaster preparedness material in the school curricula.

13. The project will therefore be implemented in two phases: phase one will comprise (i) the finalization of design and costing, (ii) the preparation of bidding documents for the civil works contract, and (iii) community consultation to ensure community feedback is taken into consideration for final design and costing. The second phase will be (i) the physical rehabilitation of the schools; and (ii) capacity building of MOET and communities on build back

better concepts, safer construction, disaster risk reduction and preparedness and maintenance planning.

## II. IMPLEMENTATION PLANS

### A. Project Readiness Activities

Indicative Activities	Months (2015–2016)						Who responsible	
	Aug	Sep	Oct	Nov	Dec	Jan		Feb
Establish project management unit				X				MOET
Advance contracting actions for recruitment of consultants					X			ADB/MOET
JFPR approval			X					OCO
ADB Board Approval				X				ADB
Grant agreement Signing					X			ADB and Government
Government legal opinion provided						X		Government
Grant Effectiveness						X		Government
Contract awards and consultant fielding						X		

JFPR = Japan Fund for Poverty Reduction.  
Source: Asian Development Bank.



## B. Overall Project Implementation Plan

	2015		2016				2017				2018	
	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	
<b>Design and Monitoring Framework</b>												
<b>Output 1: Schools are rebuilt and upgraded in Tafea Province</b>												
<b>Indicative Activities (Including Project Monitoring)</b>												
1.1 Recruit design and supervision consultants through advance contracting												
1.2 Finalize engineering designs, costing and bid documents for construction firm												
1.3 Procurement of civil works contract												
1.4 Conduct community and school consultations on proposed school reconstructions, at 40% of participants to be women												
1.5 Rehabilitate selected schools in Tafea Province												
1.6 Carry out quality assurance activities												
1.7 Make schools operational												
1.8 Prepare asset management plan												
1.9 Monitor implementation of environment management plan												
1.10 Set up monitoring and evaluation system that captures relevant data and necessary baselines												
1.11 Report on implementation of the gender action plan												
1.12 Prepare quarterly progress monitoring reports												
1.13 Arrange annual audit of project accounts												
<b>Output 2: Community and MOET management capacity in disaster preparedness strengthened</b>												
<b>Indicative Activities</b>												
2.1 Conduct community awareness training and MOET capacity building activities on disaster preparedness												
2.2 Conduct community consultations for preparation of disaster management plan, at least 40% to be women participants												
2.3 Revise or prepare school disaster risk management plan												
2.4 Conduct school and community training (staff and students) on disaster risk management and disaster preparedness												
2.5 Conduct and/or arrange gender awareness training to all project-related staff												
2.6 In consultation with communities and school committee prepare school maintenance plan and conduct necessary training												

Source: Asian Development Bank.

### III. PROJECT MANAGEMENT ARRANGEMENTS

#### A. Project Implementation Organizations—Roles and Responsibilities

14. The proposed implementation arrangements follow as much as possible established procedures and processes under on-going ADB-finance projects and/or relevant Government established procedures or these of other development partners to enable speedy and efficient implementation. ADB has ongoing projects in the infrastructure and urban development sector. The Australian government works in the education sector.

15. An intra-ministerial reconstruction and recovery committee will guide all of Vanuatu's reconstruction efforts. The committee will have four permanent members, the Director General of the Ministry of the Prime Minister, of the Ministry of Finance and Economic Management (MFEM), of the Ministry of Foreign Affairs and Trade and of the Ministry of Infrastructure and Public Utilities (MIPU). Director General of other line ministries might be asked to join. All recovery projects will need to have approval by the committee to ensure it is in line with the Ni Vanuatu Resilience Plan (2015). The Department of Strategy, Policy Planning and Aid Coordination forms the secretariat of the committee. The committee will be kept informed on project progress.

16. For the project, the executing agency will be MFEM. The implementing agency will be the Ministry of Education and Training (MOET). A project management unit (PMU) for the final design and implementation of the project will be established within the Facilities and Administration Management Unit in MOET to oversee day to day implementation and progress of the project. The PMU will be managed by a MOET counterpart staff and comprise a qualified project accountant and DSC<sup>3</sup>. The PMU will be established in advance. The PMU manager will report to the director general, MOET. The PMU will coordinate activities with other development partners and within MOET to ensure there is no overlap or duplication of activities. MOET's facilities unit will be strengthened by mobilizing DSC to support the existing technical and managerial capacity, in particular in view of build back better concepts with disaster-resilient and climate proof standards. The PMU will be responsible for the final design and costing, preparation of tender documents, bill of quantities, tendering, contract management and supervision and day-to-day implementation, including financial management, monitoring and evaluation. This will include safeguards as well as climate change monitoring. The PMU will maintain separate project accounts, which will be audited by an independent auditor. The PMU will be responsible for procurement and administering of contracts on behalf of MOET. To work within established MOET governance systems, it is suggested to use a similar steering committee composition as in the Vanuatu Education Support Program with an additional representative from MFEM.<sup>4</sup> This will provide synergies in the school rehabilitation efforts.

17. The implementation arrangements are summarized in Table 1.

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<sup>3</sup> This will, among others, also include procurement and safeguards specialists as further detailed in the PAM.

<sup>4</sup> The composition will be decided by the director general of MOET in consultation with ADB. It is envisaged this to comprise representatives from MOET, MFEM and Prime Minister's Office (Policy and Planning, Education).

**Table 1: Implementation Arrangements**

<b>Project implementation organizations</b>	<b>Management Roles and Responsibilities</b>
<ul style="list-style-type: none"> <li>• Reconstruction Committee</li> </ul>	Overall guidance on all reconstruction activities (projects) in Vanuatu
<ul style="list-style-type: none"> <li>• MFEM</li> </ul>	Recipient and executing agency Ministry representing for external borrowing
<ul style="list-style-type: none"> <li>• MOET</li> </ul>	Implementing agency Oversights day to day project implementation, procurement, technical and financial management, withdrawal applications, reporting, audited statements
<ul style="list-style-type: none"> <li>• Project Management Unit (PMU)</li> </ul>	<p>Manages and implements the project</p> <p>Ensures implementation of stakeholder engagement plan</p> <p>Supervises and monitors project consultants and contractors</p> <p>Ensures implementation of gender action plan</p> <p>Prepares the annual work plan and budget</p> <p>Provides annual audited project accounts</p> <p>Ensures compliance with the covenants in the ADB-government grant agreement</p> <p>Compiles quarterly and annual progress reports (physical and financial)</p> <p>Procures services in accordance with government and ADB procedures</p> <p>Prepares withdrawal applications with supporting documentation</p> <p>Monitors and evaluates (M&amp;E) project implementation.</p> <p>Convenes meetings of the Project Steering Committee</p>
<ul style="list-style-type: none"> <li>• Project Steering Committee</li> </ul>	Provides advice and guidance to the PMU on implementation issues
<ul style="list-style-type: none"> <li>• Asian Development Bank</li> </ul>	<p>Conducts field review missions, midterm review mission and project completion review mission to assess project implementation progress</p> <p>Administrator of Japan Fund for Poverty Reduction</p>

MFEM = Ministry of Finance and Economic Management, MOET = Ministry of Education and Training, PMU = Project management unit, VPMU = Vanuatu project management unit.

## B. Key Persons Involved in Implementation

### **Executing Agency**

Ministry of Finance and  
Economic Management

Officer's Name  
Position  
Telephone  
Email address  
Office Address

### **Implementing Agency**

Ministry of Education

Officer's Name  
Position  
Telephone  
Email address  
Office Address

### **ADB**

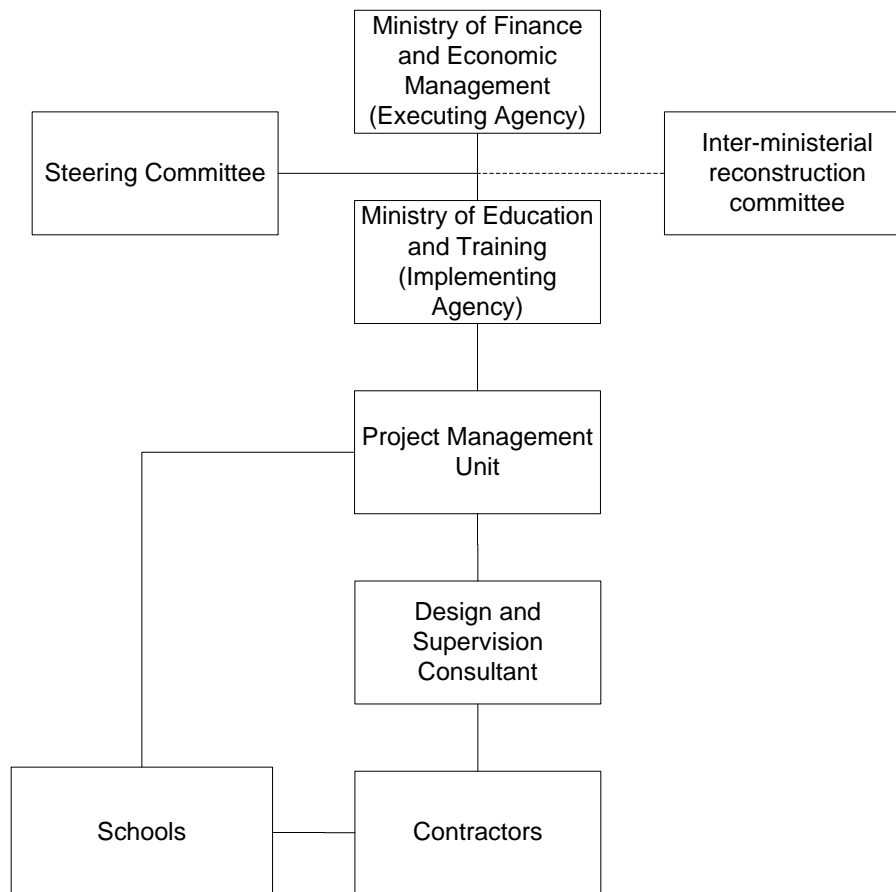
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### C. Project Organization Structure



Source: Asian Development Bank.

#### IV. COSTS AND FINANCING

18. The project is estimated to cost \$5.72 million (Table 2), inclusive of taxes and duties.<sup>5</sup> The government has requested a grant amount of \$5 million.

**Table 2: Project Investment Plan**  
(\$ million)

Item	Amount <sup>a</sup>
<b>A. Base Cost<sup>b</sup></b>	
1. Output 1: School rehabilitation <sup>c</sup>	4.28
2. Output 2: Disaster preparedness <sup>d</sup>	0.62
<b>Subtotal (A)</b>	<b>4.90</b>
<b>B. Contingencies<sup>e</sup></b>	<b>0.82</b>
<b>Total (A+B)</b>	<b>5.72</b>

<sup>a</sup> Inclusive of taxes and duties of \$0.42 million. The Government of Vanuatu will exempt the taxes and duties as its contribution to the project.

<sup>b</sup> In mid-2015 prices.

<sup>c</sup> Includes school furniture, vehicle and equipment; and government in-kind contribution.

<sup>d</sup> Includes workshop expenses, and government in-kind contribution.

<sup>e</sup> Physical contingencies computed at 15% for civil works, community participation and project management. Price contingencies computed at 2% on foreign exchange and local currency costs; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate.

Source: Asian Development Bank.

19. **Financing Plan.** The financing plan is in Table 3. The government has requested a grant to finance the project. ADB will administer the grant to be provided by the Japan Fund for Poverty Reduction (JFPR).

**Table 3: Financing Plan**

Source	Amount (\$ million)	Share of Total (%)
Japan Fund for Poverty Reduction <sup>a</sup>	5.00	87.0
Government of Vanuatu	0.72	13.0
<b>Total</b>	<b>5.72</b>	<b>100.0</b>

<sup>a</sup> Administered by the Asian Development Bank.

Source: Asian Development Bank.

<sup>5</sup> The government has exempted aid projects from value added tax. As soon as the project is approved, a certificate will be issued to this effect. This exempts suppliers of goods and services for project implementation from VAT payments.

**A. Detailed Cost Estimates by Expenditure Category**

Item	Foreign Exchange	(\$ million) <sup>a</sup>		Total Cost	% of Total Base Cost
		Local Currency <sup>b</sup>			
<b>A. Investment Costs</b>					
1 Civil works <sup>c</sup>	2.75	0.27	3.02	62%	
2 Consulting Services					
a. Project management <sup>d</sup>	0.98	0.10	1.08	22%	
b. Community capacity building	0.45	0.05	0.50	10%	
<b>Subtotal (A)</b>	<b>4.19</b>	<b>0.42</b>	<b>4.60</b>	<b>94%</b>	
<b>B. Recurrent Costs<sup>e</sup></b>					
1 Salaries	0.00	0.20	0.20	4%	
2 Accommodation	0.00	0.05	0.05	1%	
3 Equipment Operation and Maintenance	0.00	0.05	0.05	1%	
<b>Subtotal (B)</b>	<b>0.00</b>	<b>0.30</b>	<b>0.30</b>	<b>6%</b>	
<b>Total Base Cost</b>	<b>4.19</b>	<b>0.72</b>	<b>4.90</b>	<b>100%</b>	
<b>C. Contingencies<sup>f</sup></b>					
1 Physical	0.69	0.00	0.69		
2 Price	0.12	0.00	0.12		
<b>Subtotal (C)</b>	<b>0.82</b>	<b>0.00</b>	<b>0.82</b>		
<b>Total Project Cost (A+B+C)</b>	<b>5.00</b>	<b>0.72</b>	<b>5.72</b>		

a Figures may not tally due to rounding.

b In-kind contribution of the Government of Vanuatu in the form of taxes and duties exempted.

c Includes school furniture.

d Includes vehicle and equipment.

e In-kind contribution of the Government of Vanuatu in the form of counterpart staff, office accommodation, and others.

f Includes physical contingency at 15% and price contingency using Vanuatu domestic cost escalation factor of 2.0% (2016) and 2.1% (2017).

**B. Allocation and Withdrawal of Grant Proceeds**

<b>CATEGORY</b>				<b>ADB FINANCING</b>
<b>Number</b>	<b>Item</b>	<b>Amount Allocated</b>		<b>Percentage of Total</b>
		<b>Category</b>	<b>Subcategory</b>	
1	Civil Works and Consulting Services	5,000, 000		100% of total expenditures claimed*
	<b>TOTAL</b>	<b>5,000,000</b>		

\* Exclusive of taxes and duties imposed within the territory of the Beneficiary.



### C. Detailed Cost Estimates by Financier

(\$million)<sup>a</sup>

Item	Asian Development Bank		Government of Vanuatu <sup>b</sup>		Total Cost
	Amount (1)	% of Cost Category (1/3)	Amount (2)	% of Cost Category (2/3)	
<b>A. Investment Costs</b>					
1 Civil works <sup>c</sup>	2.75	91%	0.27	9%	3.02
2 Consulting Services					
a. Project management <sup>d</sup>	0.98	91%	0.10	9%	1.08
b. Community capacity building	0.45	91%	0.05	9%	0.50
<b>Subtotal (A)</b>	<b>4.19</b>	<b>91%</b>	<b>0.42</b>	<b>9%</b>	<b>4.60</b>
<b>B. Recurrent Costs<sup>e</sup></b>					
1 Salaries	0.00	0%	0.20	100%	0.20
2 Accommodation	0.00	0%	0.05	100%	0.05
3 Equipment Operation and Maintenance	0.00	0%	0.05	100%	0.05
<b>Subtotal (B)</b>	<b>0.00</b>	<b>0%</b>	<b>0.30</b>	<b>100%</b>	<b>0.30</b>
<b>Total Base Cost</b>	<b>4.19</b>	<b>85%</b>	<b>0.72</b>	<b>15%</b>	<b>4.90</b>
<b>C. Contingencies<sup>f</sup></b>	<b>0.82</b>	<b>100%</b>	<b>0.00</b>	<b>0%</b>	<b>0.82</b>
<b>Total Project Cost (A+B+C)</b>	<b>5.00</b>	<b>87%</b>	<b>0.42</b>	<b>13%</b>	<b>5.72</b>
<b>% Total Project Cost</b>		<b>87%</b>		<b>13%</b>	<b>100%</b>

a Figures may not tally due to rounding.

b In-kind contribution of the Government of Vanuatu in the form of taxes and duties exempted.

c Includes school furniture.

d Includes vehicle and equipment.

e In-kind contribution of the Government of Vanuatu in the form of counterpart staff, office accommodation, and others.

f Includes physical contingency at 15% and price contingency using Vanuatu domestic cost escalation factor of 2.0% (2016) and 2.1% (2017).

#### D. Detailed Cost Estimates by Outputs/Components

(\$million) <sup>a</sup>						
Item	Total Cost	Output 1: School reconstruction		Output 2: Disaster preparedness		
		Amount	% of Cost Category	Amount	% of Cost Category	
<b>A. Investment Costs<sup>b</sup></b>						
1 Civil works <sup>c</sup>	3.02	3.02	100%	0.00	0%	
2 Consulting Services						
a. Project management <sup>d</sup>	1.08	1.08	100%	0.00	0%	
b. Community capacity building	0.50	0.00	0%	0.50	100%	
<b>Subtotal (A)</b>	<b>4.60</b>	<b>4.10</b>	<b>89%</b>	<b>0.50</b>	<b>11%</b>	
<b>B. Recurrent Costs<sup>e</sup></b>						
1 Salaries	0.20	0.10	50%	0.10	50%	
2 Accommodation	0.05	0.04	80%	0.01	20%	
3 Equipment Operation and Maintenance	0.05	0.04	80%	0.01	20%	
<b>Subtotal (B)</b>	<b>0.30</b>	<b>0.18</b>	<b>60%</b>	<b>0.12</b>	<b>40%</b>	
<b>Total Base Cost</b>	<b>4.90</b>	<b>4.28</b>	<b>87%</b>	<b>0.62</b>	<b>13%</b>	
<b>C. Contingencies<sup>f</sup></b>						
1 Physical	0.69	0.62	89%	0.07	11%	
2 Price	0.12	0.11	89%	0.01	11%	
<b>Subtotal (C)</b>	<b>0.82</b>	<b>0.73</b>	<b>89%</b>	<b>0.09</b>	<b>11%</b>	
<b>Total Project Cost (A+B+C)</b>	<b>5.72</b>	<b>5.01</b>	<b>88%</b>	<b>0.71</b>	<b>12%</b>	

a Figures may not tally due to rounding.

b In-kind contribution of the Government of Vanuatu in the form of taxes and duties exempted.

c Includes school furniture.

d Includes vehicle and equipment.

e In-kind contribution of the Government of Vanuatu in the form of counterpart staff, office accommodation, and others.

f Includes physical contingency at 15% and price contingency using Vanuatu domestic cost escalation factor of 2.0% (2016) and 2.1% (2017).

## E. Detailed Cost Estimates by Year

		(\$million) <sup>a</sup>		
	Item	2016	2017	Total
<b>A.</b>	<b>Investment Costs<sup>b</sup></b>			
	1 Civil works <sup>c</sup>	0.00	3.02	3.02
	2 Project management <sup>d</sup>	1.08	0.00	1.08
	3 Community capacity building	0.50	0.00	0.50
	<b>Subtotal (A)</b>	<b>1.58</b>	<b>3.02</b>	<b>4.60</b>
<b>B.</b>	<b>Recurrent Costs<sup>e</sup></b>			
	1 Salaries	0.10	0.10	<b>0.20</b>
	2 Accommodation	0.03	0.03	<b>0.05</b>
	3 Equipment Operation and Maintenance	0.03	0.03	<b>0.05</b>
	<b>Subtotal (B)</b>	<b>0.15</b>	<b>0.15</b>	<b>0.30</b>
	<b>Total Base Cost</b>	<b>1.73</b>	<b>3.17</b>	<b>4.90</b>
<b>C.</b>	<b>Contingencies<sup>f</sup></b>	<b>0.26</b>	<b>0.56</b>	<b>0.82</b>
	<b>Total Project Cost (A+B+C)</b>	<b>1.98</b>	<b>3.73</b>	<b>5.72</b>
	<b>% Total Project Cost</b>	<b>35%</b>	<b>65%</b>	<b>100%</b>

a Figures may not tally due to rounding.

b In-kind contribution of the Government of Vanuatu in the form of taxes and duties exempted.

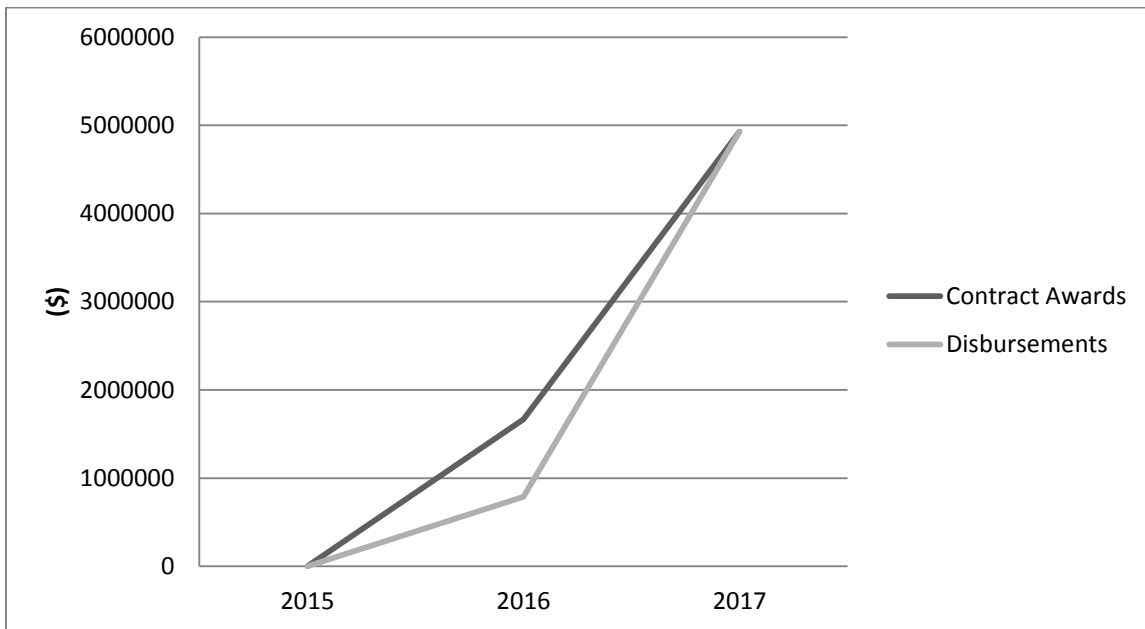
c Includes school furniture.

d Includes vehicle and equipment.

e In-kind contribution of the Government of Vanuatu in the form of counterpart staff, office accommodation, and others.

f Includes physical contingency at 15% and price contingency using Vanuatu domestic cost escalation factor of 2.0% (2016) and 2.1% (2017).

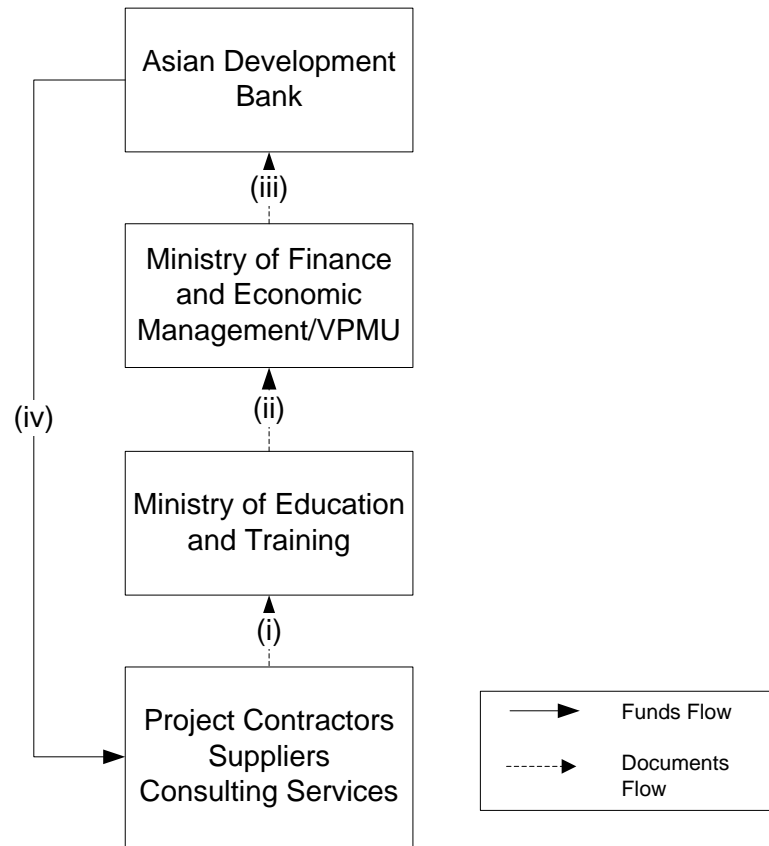
**F. Contract and Disbursement S-curve (ADB only)**



	Cumulative (\$ million)		
	2015	2016	2017
Contract Awards	0	1.67	5.00
Disbursements	0	0.79	5.00

Source: Asian Development Bank.

**G. Fund Flow Diagram**



**Direct Payment Procedure:**

- (i) The project contractor/supplier/consultant issues an invoice.
- (ii) MOET reviews the claim, and prepares the withdrawal application for MFEM's endorsement.
- (iii) MFEM endorses and sends the withdrawal application to ADB.
- (iv) ADB makes the direct payment to the consultant/contractor.

Source: Asian Development Bank.

## V. FINANCIAL MANAGEMENT

### A. Financial Management Assessment

20. The Government of Australia conducted a financial management assessment of the education sector as well as an assessment of national systems in 2013 as part of the design of the Vanuatu Education Sector Program (VESP, funded by the governments of Australia and New Zealand). That assessment is being relied upon for the purposes of this project. The assessment revealed several weaknesses, especially in downstream government systems (treasury, procurement, accounting, reporting, auditing) and recommended several risk mitigating measures. In particular, it was decided not use government processes in relation to the Program. For the VESP a management contractor was appointed which provides the function of the project implementing unit and supports MOET through additional technical assistance to improve systems over time.

21. A financial management assessment was also completed as part of the additional financing for the ADB Vanuatu Interisland Shipping Project. The assessment of the Ministry of Finance and Economic Management (MFEM) is relevant, as MFEM will be the executing agency for this project. That assessment concluded that overall inherent risk and overall control risk was moderate. The financial management process for this project will be as follows. A project management unit (PMU) will be established within the Facilities Unit at MOET and will be responsible for the day to day implementation of the project, including project accounting. The PMU will keep records and prepare withdrawal applications for all payments. MFEM will review and approve all withdrawal applications for onwards transmission to ADB.

22. Taking the above assessments into consideration, the constraints on local capacity, and since the PMU needs to address fiduciary risks in the government systems, the following risk mitigating measures will be put in place: (i) the PMU will be staffed with design and supervision consultants, including a financial management expert who will be familiar with ADB's project accounting processes, (ii) the PMU will be trained on government's and ADB's financial management and procurement rules and guidelines, (iii) project related payments will be primarily through direct payment process, (iv) ADB will provide a statement of audit needs and ensure that reporting and external audit is in line with these requirements, and (v) established and working processes of the VESP program will be used or copied to minimize constraints on the ministry.

23. An ongoing concern will be maintenance of the schools, albeit with the built back better concept and climate resilient features maintenance costs will be low in the first 3-5 years after rehabilitation. Historically the government has spent limited resources on maintenance (in 2014, 75% of MOET's budget is for salary expenses of government officials and teachers, 10% for the schools grant scheme and the remaining budget for scholarships and administrative costs). Part of the school grant scheme money is to be used for maintenance costs but since maintenance is primarily left to the schools there is no supervision on this. The junior secondary schools are therefore primarily self-funded (using grant scheme, receipt of school fees and community support to cover costs). This issue has been discussed with the government and will be included as an assurance covenant in the grant agreement. During implementation an asset management plan for all schools will be prepared to ensure maintenance and part of the NGO engagement will be to work with schools on maintenance planning.

## **B. Disbursement**

24. The grant proceeds will be disbursed in accordance with ADB's Loan Disbursement Handbook (2015, as amended from time to time),<sup>6</sup> and detailed arrangements agreed upon between the Government and ADB. Online training for project staff on disbursement policies and procedures is available at: [http://wpqr4.adb.org/disbursement\\_elearning](http://wpqr4.adb.org/disbursement_elearning). Project staff are encouraged to avail of this training to help ensure efficient disbursement and fiduciary control.

25. The PMU will be responsible for (i) preparing disbursement projections, (ii) requesting budgetary allocations for counterpart funds, (iii) collecting supporting documents, (iii) checking invoice of consultants against project progress, and (iv) preparing and sending withdrawal applications via MFEM (for approval) to ADB.

26. Before the submission of the first withdrawal application, the recipient should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the recipient, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is US\$50,000 equivalent. Individual payments below this amount should be paid by the EA/IA and subsequently claimed from ADB through reimbursement, unless otherwise accepted by ADB.

## **C. Accounting**

27. The Ministry of Finance and Economic Management (MFEM) will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project following International Public Sector Accounting Standard for cash based accounting and the government's financial regulations. The MFEM will prepare consolidated project financial statements in accordance with the government's accounting laws and regulations which are consistent with international accounting principles and practices.

## **D. Auditing**

28. The MFEM will cause the detailed consolidated project financial statements to be audited in accordance with International Standards on Auditing, by an independent auditor whose qualifications, experience and terms of reference are acceptable to ADB. The audited project financial statements together with the auditors' opinion will be submitted in the English language to ADB within six months of the end of the fiscal year by the MFEM.

29. The annual audit report for the project accounts will include an audit management letter and audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether grant proceeds were used only for the purposes of the project; (iii) the level of compliance for each financial covenant contained in the legal agreements for the project.

30. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

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<sup>6</sup> Available at: [http://www.adb.org/Documents/Handbooks/Loan\\_Disbursement/loan-disbursement-final.pdf](http://www.adb.org/Documents/Handbooks/Loan_Disbursement/loan-disbursement-final.pdf)

31. The government, MFEM and the Ministry of Education and Training have been made aware of ADB's approach to delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.<sup>7</sup> ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the recipient), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

32. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011).<sup>8</sup> After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website. The Audit Management Letter will not be disclosed.

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<sup>7</sup> ADB approach and procedures regarding delayed submission of audited project financial statements:

- When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (i) the audit documents are overdue; and (ii) if they are not received within the next six months, requests for new contract awards and disbursement such as processing of new reimbursement, and issuance of new commitment letters will not be processed.
- When audited project financial statements have not been received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as processing of new reimbursement, and issuance of new commitment letters. ADB will (i) inform the executing agency of ADB's actions; and (ii) advise that the loan may be suspended if the audit documents are not received within the next six months.
- When audited project financial statements have not been received within 12 months after the due date, ADB may suspend the loan.

<sup>8</sup> Available from <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>.



## VI. PROCUREMENT AND CONSULTING SERVICES

### A. Advance Contracting and Retroactive Financing

33. All advance contracting will be undertaken in conformity with ADB's Procurement Guidelines (February 2007, as amended from time to time) (ADB's Procurement Guidelines)<sup>9</sup> and ADB's Guidelines on the Use of Consultants (2007, as amended from time to time) (ADB's Guidelines on the Use of Consultants).<sup>10</sup> The issuance of invitations to bid under advance contracting will be subject to ADB approval. The Government has been advised that approval of advance contracting does not commit ADB to finance the Project.

34. Advance contracting is recommended for the design and supervision consultants.

### B. Procurement of Goods, Works and Consulting Services

35. All procurement of goods and works, and recruitment of consulting services will be undertaken in accordance with the simplified and expedient procedures permitted under ADB's Disaster Emergency Assistance Policy (2004), Procurement Guidelines (2015, as amended from time to time), and Guidelines on the Use of Consultants (2013, as amended from time to time). As a general principle, the project's approach to procurement of works and consulting services will be in line with Procurement Guidelines para 3.18, which reads as follows:

**Procurement under Disaster and Emergency Assistance.** *“Procurement of goods and works under disaster and emergency assistance shall incorporate greater flexibility. ICB requirements will be relaxed in favor of NCB with an abbreviated bidding period. LIB will be the norm for procurement of goods with minimum bidding periods ranging from one to two weeks. Direct contracting to contractors and suppliers under existing loans or grants will be allowed for new contracts, with rates negotiated around those in effect for the existing contract with adjustments as required for inflation and physical considerations. Similarly, contractors and suppliers competitively selected under projects financed by other donors will be considered for direct contracting for new ADB-financed contracts.”*

36. Single Source Selection is recommended for the design and supervision consultants due to the following rational: (i) emergency nature of the project which requires fast and flexible procurement, (ii) the absorptive capacity of the MOET is quite low and it will be challenging to manage an additional range of contracts, (iii) consultants are chosen that already work in the education sector in Vanuatu and can progress quickly, and (iv) Australian government only recently went through an open competitive transparent tender process which was publicly and internationally advertised.

### C. Procurement capacity assessment

37. The project procurement classification is B. The Australian Government conducted an assessment of national systems and a public financial management assessment of MOET in 2013, both of which include procurement capacity assessments. The assessments concluded that capacities are low and procurement risk is high and did not recommend using government

<sup>9</sup> Available at: <http://www.adb.org/Documents/Guidelines/Procurement/Guidelines-Procurement.pdf>

<sup>10</sup> Available at: <http://www.adb.org/Documents/Guidelines/Consulting/Guidelines-Consultants.pdf>

procurement systems. Australia is currently funding technical assistance through MFEM and the Central Tenders Board to strengthen national procurement systems, regulatory frameworks, bidding documents, etc. In addition, a procurement advisor was placed with MOET to strengthen systems, procedures, levels of compliance and procurement capacity. Political interference seems to be still a challenge in procurement processes.

38. However, the project recruitment and procurement requirements are not considered complex. To mitigate any risk, ADB will support the government in pre-contractual recruitment activities. In addition, the DSC will include a procurement specialist to complement the design and supervision consultant team. The expert will support and prepare the bidding documents for the civil works contract, evaluation of bids, and prepare the draft contract.

39. An 18-month procurement plan indicating threshold and review procedures, goods, works, and consulting service contract packages and national competitive bidding guidelines is in Section D. The consulting firm will be recruited through single source selection for the design and supervision of the project. International competitive bidding for civil works will be used. Since the project will be completed within 2 years, recruitment and mobilization of consultants will be done expeditiously with the option of reduced proposal submission period of 15 days, for expressions of interest and for requests for proposals.

## D. Procurement Plan

### 1. A. Methods, Thresholds, Review and 18-Month Procurement Plan

#### a. Procurement and Consulting Methods and Thresholds

40. Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

Procurement of Goods and Works		
Method	Threshold	Comments
International Competitive Bidding for Works	US\$ 1,000,000 and Above	
Shopping for Goods	Up to US\$ 99,999	

Consulting Services	
Method	Comments
Single source Selection	

#### b. Goods and Works Contracts Estimated to Cost \$1 Million or More

41. The following table lists goods and works contracts for which the procurement activity is either ongoing or expected to commence within the next 18 months.

Package number	General Description	Estimated Value	Procurement Method	Review (Prior/Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments
01	Civil Works— School Reconstruction	\$2.75 million	ICB	Prior	1S1E	Q2 2016	Prequalification of Bidders: No Domestic Preference Applicable: N Bidding Document:

**c. Goods and Works Contracts Estimated to Cost \$1 Million or More**

42. The following table lists consulting services contracts for which the recruitment activity is either ongoing or expected to commence within the next 18 months.

Package number	General Description	Estimated Value	Recruitment Method	Review (Prior/Post)	Advertisement Date (quarter/year)	Type of Proposal	Comments
02	Design and supervision consultant	\$1.42 million	SSS	Prior	Q4 2015	STP	Assignment: International

STP = simplified technical proposal.

**d. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Less than \$100,000 (Smaller Value Contracts)**

43. The following table lists smaller-value goods, works and consulting services contracts for which the activity is either ongoing or expected to commence within the next 18 months.

Package number	General Description	Estimated Value	Procurement Method	Review (Prior/Post)	Bidding Procedure	Advertisement Date (quarter/year)	Comments
03	Vehicle <sup>a</sup>	\$50,000	Shopping	Post		Q4 2015	1 unit

<sup>a</sup> The vehicle is for use by the DSC to supervise civil works in Tafea Province where vehicle rentals are unavailable. The vehicle will bear the JFPR and ODA logo and will be turned over to the executing agency once the project is complete.

**E. Consultant's Terms of Reference**

**1. Design and Supervision Consultant Firm<sup>11</sup>**

**a. Design and Supervision Expert, Team Leader (international, 12 person-months, intermittent over 24 months, full time during design, then intermittent during construction phase)**

44. The Design and Supervision Expert will have civil engineering or architect masters degrees, or equivalent, preferably 15 years of experience designing school buildings, including experience on climate and disaster proofing, and practical experience of using AutoCAD design software. The expert will support all design modifications and vetting to be done as well as manage the PMU during project implementation. The expert's main tasks will be divided in two groups of activities as follows:

**i. Finalize Design**

- (i) Review the designs of school buildings wherever initial design assumptions need to be revisited and ensure that school designs are conducive to improved teaching and learning processes in junior secondary schools;
- (ii) Ensure that features are included in the design that provide for universal access and gender improvements;
- (iii) Review proposals for adjustments and changes in the designs incorporating best

<sup>11</sup> The firm will subcontract for the community capacity building component and follow ADB's guidelines on the Use of Consultants.

practices;

- (iv) Based on the design engineers work, review costing and prepare final cost estimates and other design documents for bidding together with procurement expert
- (v) Ensure that climate and disaster resilience features and climate proofing standards are incorporated by:
  - a. Review existing information and data on historic climate and projected climate change relevant to Vanuatu; as well as existing information on other disaster risks.
  - b. Produce climate and disaster risk and vulnerability assessment report, which will include climate scenarios, a climate and disaster risk assessment of the project components, and an initial assessment of potential engineering and non-engineering adaptation measures to reduce risks to the project suitable for further detailed analysis by the project team.
  - c. Prepare an initial analysis and recommendations of potential adaptation measures in terms of their effectiveness, cost, technical feasibility and stakeholder acceptance.
  - d. Liaise with the project economist to assess the cost effectiveness of adaptation and disaster risk management options.
- (vi) Ensure implementation of necessary surveys and investigations, as necessary, for any design modifications.
- (vii) Review drawings and cost implications of design modifications; and
- (viii) Advise the procedure of structural inspections and advice on remedial and refurbishment matters associated with existing buildings retrofitting.
- (ix) Engage a civil society organization for the consultation process with communities prior to construction to incorporate their feedback in final design and during construction process for capacity building in safer construction, disaster risk preparedness and school maintenance planning
- (x) Support and build capacity of MOET as needed

## **ii. Project Implementation**

- (i) Set up monitoring and evaluation system according to design and monitoring framework of the project
- (ii) Monitor and supervise construction of schools;
- (iii) Work with the environmental specialist to implement stakeholder engagement plan;
- (iv) Coordinate input of other team members;
- (v) Prepare quarterly progress reports;
- (vi) Work with the environmental specialist to monitor environmental management plan implementation;
- (vii) Supervise financial management expert;

- (viii) Facilitate auditing of project accounts;
- (ix) Coordinate with PMU members to prepare and submit quarterly progress reports to MOET and ADB;
- (x) Manage a functional PMU; and
- (xi) Ensure implementation of the gender action plan.

**b. Construction Supervision Expert (national, 13 person-months, intermittent over 24 months, full time during construction stage, based in Tafea Province)**

45. The Construction Supervision Expert will have preferably a degree in civil engineering, and have preferably five years of experience supervising the construction of civil works, preferably buildings. The expert should preferably have one year experience with ADB or other externally assisted projects. The main tasks of the expert will include:

- (i) Leading the overall supervision of the school reconstructions in Tafea Province;
- (ii) Providing guidance to civil works contracts on-site;
- (iii) Report to the team leader all construction supervision and quality issues and assist in resolving them; and
- (iv) Supervises the contractor's implementation of the environmental management plan.

**c. Design Engineer (international, 2 person-months)**

46. The Design Engineer will have civil engineering masters degrees, or equivalent, preferably ten years of experience designing school buildings and related infrastructure and practical experience of using AutoCAD design software. He will need to have in-depth expertise as quantity surveyor. The Design Engineer will support all design modifications and vetting to be done and support the team leader with the final design work. His main tasks will include:

- (i) Support the team leader on review the designs of school buildings wherever initial design assumptions need to be revisited;
- (ii) Develop proposals for adjustments and changes in the designs incorporating best practices;
- (iii) Plan the necessary surveys and investigations for any design modifications;
- (iv) Prepare drawings and cost implications of design modifications;
- (v) Advise the procedure of structural inspections and advice on remedial and refurbishment matters associated with existing buildings retrofitting.
- (vi) Assume full responsibility of ensuring each of the schools constructed will have adequate water and sanitation facilities, that these are constructed disabled-friendly and gender sensitive;
- (vii) Integrate where possible rain water storage and use in the school water system;
- (viii) Prepare and finalize detailed designs with quantities and ensure detailed designs accommodate water and sanitation requirements of schools. Prepare cost estimates, finalize bill of quantities and drawings for inclusion in bid documents;
- (ix) Ensure that build back better concepts, disaster resilience and climate change

standards are incorporated into the design and costing.

**d. Financial Management Expert (national, 9 person-months, intermittent over 24 months, based in Finance Unit of MOET)**

47. The Financial Management Expert will have preferably a degree in accounting and additional qualifications in finance. Have preferably seven years of experience of which two must be in ADB or other externally assisted projects in disbursement and finance areas. The main tasks of the expert will include:

- (i) Preparing, developing, maintaining and using an accounting database system to maintain all transaction and procurement records of the PMU;
- (ii) Tracking and expediting payments to suppliers, contractors, consultants and others;
- (iii) Preparing and submitting payment invoices and withdrawal applications to PMU and ADB under the appropriate disbursement categories;
- (iv) Book keeping of all expenses, payments and accounts to meet the professional statutory requirements of Vanuatu;
- (v) Facilitating and cooperating with auditors and procurement audits whenever required; and
- (vi) Ensuring all project financial activities are aligned to ADB and Vanuatu disbursement requirement and highest level of integrity is maintained in all financial transactions.

**e. Safeguards Specialist (international, 1.5 person-months in design stage and 1.5 person-months in construction stage, intermittent)**

48. The international safeguards specialist (ISS) will report directly to the team leader. The specialist will work closely with local counterpart staff in the PIU and the national environmental specialist (NES). The ISS will work closely with the local counterpart staff and NES to ensure that site visits, consultations and community meetings will be coordinated to the extent possible. The ISS will assist the team leader in implementing the stakeholder engagement plan and prepare suitable safeguards assessments and due diligence reports following the environmental assessment and review framework (EARF) and resettlement framework (RF) approved for the project. The ISS will lead discussions and consultations with Department of Environmental Protection and Conservation (DEPC), the screening, categorization, assessment/reporting for environmental issues and impact, deliver training as required to the contractor, and establish the system for compliance monitoring that will be implemented during construction stage. The outline TOR includes the following tasks:

- (i) Based on preliminary designs, identify (screen) the impacts of the school reconstruction works proposed, and prepare the application and project description to be submitted to DEPC for determination on the type/ level of environmental assessment required;<sup>12</sup>
- (ii) Prepare an environmental assessment covering all proposed reconstruction activities and repair works at the school sites. As per the EARF the environmental assessment(s) will comply with both the Environmental Protection and Conservation Act and Safeguard Policy Statement 2009 (SPS);

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<sup>12</sup> The DEPC will review the application and project description to determine the type/level of environmental assessment required. Any additional elements as required by ADB Safeguard Policy Statement 2009 must be included in the assessment to fill gaps.

- (iii) Provide the draft environmental assessment to MOET and ADB for review and comment. Following any revision as required by the review, assist MOET to submit the environmental assessment to DEPC for issue of environmental permit;
- (iv) Facilitate disclosure of the environmental assessment and environmental permit issued by DEPC in accordance with government requirements (as per any other relevant laws) and ADB Public Communications Policy 2011;
- (v) Prepare the due diligence report covering land issues (as per the RF);
- (vi) Update, as required, the environmental management plan (EMP) contained in the approved environmental assessment, to reflect detailed designs, and any conditions on the environmental permit issued by DEPC. Assist the project procurement specialist to integrate the updated EMP and other plans and relevant provisions and text from the environmental assessment into the tender/contract documentation;
- (vii) Prior to contractor's preparation of the construction EMP (CEMP), supported by the NES, provide induction training to the contractor on environmental management and monitoring requirements and support the contractor to prepare the CEMP, and assist the NES to review the CEMP and suggest changes or revisions as required, and recommend to PMU that approval of the CEMP may be issued;
- (viii) Assist the NES to put in place environmental monitoring and reporting mechanism for the project and contribute to Quarterly Progress Reports - including compilation of relevant items from monthly reports prepared by contractor - to be prepared by the DSC for PMU and ADB. The monitoring and reporting system will cover CEMP compliance and compliance with any conditions on environmental permit issued by DEPC;
- (ix) Support the NES to monitor the contractor's compliance with CEMP (and other plans) and permit conditions, and as necessary conduct on-site spot-checks of contractor's mitigations and review contractor's monthly reports regular monitoring reports. Prepare inputs to the semi-annual safeguards monitoring reports on environmental safeguard aspects; and
- (x) Ensure compliance with all assurances under the project.

**f. Environment Specialist (national, 6 person-months, construction stage, intermittent)**

49. The national environmental specialist (NES) will have at least three years' experience with preparation and/or implementation of environmental assessments and EMPs. The NES will work alongside the ISS and construction supervision specialist during the construction phase of the project. The NES will provide support and undertake activities as necessary to ensure that the tasks and outputs (vi) to (x) as set out in para. 49 are achieved. The NES will be trained by the ISS to ensure s/he is fully capable of delivering the monitoring and reporting requirements on safeguards in accordance with report template during the implementation phase of the project.

**g. Procurement Expert (international, 4 person-months, intermittent)**

50. An engineering or equivalent degree and over five years of professional experience in public procurement of goods, services and civil works preferably in the education sector; hands-on experience with procurement of public investment projects funded by ADB; in-depth knowledge of ADB's procurement guidelines. The expert should have worked recently in an international organization-financed project. The main tasks are:

- (i) Assume full responsibility for all procurement activities under civil works;
- (ii) Prepare the bidding documents, including budget, for procurement of civil works contract;
- (iii) Support the implementing agency in preparing procurement notices, bidding and contracting documents, considering ADB's and government's procurement guidelines;
- (iv) Support government in bid evaluation and contract negotiations, as required;
- (v) Finalize contract process according to ADB guidelines; and
- (vi) Train and build capacity of MOET counterpart staff on procurement.

**2. Nongovernment Organization (international, 6 person-months intermittent over 24 months)—to be subcontracted by the DSC**

51. The nongovernment organization will be subcontracted by the DSC and be responsible for implementing activities to (i) engage communities during pre-construction activities, (ii) mitigate social-and health related risks associated with post-disaster reconstruction and rehabilitation work, (iii) create awareness in disaster management and (iv) work alongside the DSC to improve overall school management. The organization should have substantial national experience in the education sector, working with communities on related issues and pre- and post-disaster management. It should have international expertise in providing support and appropriate approaches in mitigating social and health-related risks as well as improving disaster preparedness, especially in the context of post-disaster rehabilitation work. The organization will undertake the following tasks:

- (i) Support the DSC in preparing a stakeholder engagement plan with a particular focus on communities;
- (ii) Prepare a detailed outreach plan for engagement with communities pre-construction, ensuring women's participation and considering of gender issues in the proposed infrastructure upgrades;
- (iii) Conduct training with communities and school children and teachers on disaster preparedness;
- (iv) Develop or adjust in consultation with schools curricula incorporating disaster awareness and preparedness components;
- (v) Deliver a disaster preparedness training tool kit which includes female hygiene kits;
- (vi) Develop in consultation with schools and communities a disaster management plans per school and provide necessary training;
- (vii) Ensure that gender aspects are considered in the disaster management plans;
- (viii) Engage with communities and schools to prepare a school maintenance management plan;



- (ix) Ensure regular coordination with DSC, MOET or other relevant departments, community members and schools on project progress;
- (x) Prepare and submit progress and completion reports to the DSC and the ADB.

## VIII. SAFEGUARDS

52. MOET, as the implementing agency, will have overall responsibility for compliance with safeguard requirements. Pursuant to ADB's Safeguard Policy Statement (2009) (SPS),<sup>13</sup> ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS.

53. **Environment.** The project is classified as Category B for environment. Reconstruction of buildings and facilities at existing school sites is expected to have limited, site-specific and--in most cases--temporary adverse impacts on the environment, which can be readily mitigated and managed through a construction focused environmental management plan (EMP). An environmental assessment and review framework (EARF) has been prepared for the project prepared in accordance with ADB's SPS and posted on ADB's website.<sup>14</sup> The EARF requires screening and assessment (including preparation of an EMP) of each of the school following the Environment Protection and Conservation Act (as amended) 2010 supplemented as required so as to also comply with the SPS. Monitoring will be undertaken in line with the monitoring plan included in the EARF. In line with ADB's Public Communications Policy, all relevant safeguards information will be made available in a timely manner and in a form and language understandable to affected people and other stakeholders. ADB will post the monitoring reports on its website. A safeguards specialist will be included in the design and supervision consultant team.

54. **Involuntary Resettlement (IR) and Indigenous People (IP).** The project is classified as category C for both IR and IP following the SPS. The project is not expected to involve physical displacement or involuntary acquisition of land as the schools are to be rebuilt at their existing locations on sites that are already owned by government and designated for education purposes. A due diligence report will be prepared. The project is not expected to impact any distinct and vulnerable group of IP. The beneficiaries in the project areas are mostly Melanesians, native people of Vanuatu. The outputs will be culturally appropriate.

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<sup>13</sup> Available at: <http://www.adb.org/Documents/Policies/Safeguards/Safeguard-Policy-Statement-June2009.pdf>

<sup>14</sup> Environment Assessment and Review Framework (accessible from the list of linked documents in Appendix 2).

## **IX. GENDER AND SOCIAL DIMENSIONS**

### **A. Poverty**

55. Prior to the cyclone, poverty in Vanuatu was characterized by poverty of opportunity, lack of access to basic services and the means to earn cash to meet expenses such as school fees, medical expenses, clothing and transport, and costs associated with important social obligations. For the rural population, particularly those living in more remote outer islands, accessibility to markets, schools and other social services was a major constraint to improving economic opportunities and social service provisions. Poor households in rural areas suffer significantly more multiple deprivations than their counterparts in urban areas. The incidence of food and basic needs poverty is also significantly higher among people with low levels of education (no schooling or primary education only).

56. Education in Vanuatu consists of two sectors, formal and non-formal education. Education is not compulsory nor is it free. Girls and boys both attend primary school in equal numbers but there is a broader issue of retention of both boys and girls at the secondary level. Girls and boys in rural areas also have far less access to education at all levels than those in urban areas.

57. The destruction of critical infrastructure including schools has only exacerbated key poverty and social issues. For example in Tafea Province, only 9 out of 120 early child care centers are operational. It has also created new vulnerabilities by impacting employment and livelihood-generating abilities, personal safety, public health and sanitation, household efficiency, and food production. While the destruction of physical assets by the cyclone occurred in March 2015, production losses and associated higher costs of production will linger for some time. The negative impact of the disaster on overall socio-economic conditions in the country will be felt for many years to come. The project will contribute to reconstruction and repair of schools in Tafea Province and rebuild them to higher standards of disaster and climate resilience.

### **B. Gender**

58. On the gender related development index for 2014, Vanuatu ranks 131 out of 187 countries (down three places from 2013),<sup>15</sup> giving it an equivalent ranking to the human development index according to the Human Development Report 2014 of the United Nations Development Programme. Women's social status means that they form the poorest bracket of the population and struggle the hardest to recover from disaster. While the destruction of critical infrastructure such as health and education facilities, water supply systems, and housing has affected everyone, because tropical cyclone Pam damaged and contaminated sources of drinking water, women and children must dedicate greater time and effort to obtaining water from more distant locations. This increased workload reduces the time they can allocate to income generation, attending school and exposes them to hazards such as violence or disease.

59. After disasters, children are more likely to stay out of school than under normal circumstances, not only because schools have been destroyed, but because demands for family labor (e.g., house clearing and crop planting) and reduced household income mean that children may need to assume domestic duties. Although the literacy gap between women and men is very small, more girls than boys usually support water fetching, cooking, and home

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<sup>15</sup> CARE Canada. 2015. *Rapid Gender Analysis Cyclone Pam Vanuatu*. Port Vila.

cleaning. Thus the disaster impact across the affected provinces could have a temporary negative impact on girls' education.

60. While the difference in the proportion of girls and boys attending school in Vanuatu has narrowed with a higher proportion of girls going to school and staying longer, rural areas such as Tafea province still struggle with retaining girls through the duration of secondary school. Damage to school ablution/toilet facilities and boarding facilities may further exacerbate this. At the same time, equitable post-disaster recovery could help to reduce women and girl's disadvantaged condition and increase their overall resilience. In this sense women as well as men must have access to reconstruction and rehabilitation jobs, and income-generating projects, to support their long-term economic recovery. School reconstruction can address sanitation and safety issues at schools and encourage families to prioritize girl's education. Training in disaster preparedness and community capacity building can build longer-term awareness about gender equality and the specific needs of women and girls in disaster situations.

61. Both women and men will benefit from project activities by: (i) creating opportunities to engage in school maintenance work of the school, (ii) participating in disaster awareness training. School children will benefit from improved school facilities that have specific boys and girls facilities, such as e.g., ablution blocks, dormitories etc. The project has been classified as effective gender mainstreaming and a Gender Action Plan (GAP) has been prepared. A GAP matrix will be prepared for the quarterly progress reports from MOET/PMU to ADB to monitor GAP implementation and achievement of targets and indicators.

**Table 4 : Gender Action Plan**

OUTPUTS	PROPOSED ACTIVITY (TARGET)	PRIMARY RESPONSIBILITY
<b>Output 1: Schools in Tafea Province are rebuilt and upgraded.</b>		
(a) Up to five junior secondary schools are rebuilt or retrofitted in line with school reconstruction plans to disaster-resilient and climate proof standards and equipped with water and sanitation facilities as well as dormitories for students, all sex-disaggregated.	<ul style="list-style-type: none"> <li>• Ensure that the design of ablution/ toilet facilities caters for disabled children in terms of wheelchair access and support facilities</li> <li>• Ensure that the design of ablution/toilet facilities caters for the safety of girls and disabled children. e.g., adequate lighting and proper footpath access.</li> <li>• Ensure women's involvement in community consultations regarding infrastructure upgrades (at least 40% women in consultation meetings)</li> </ul>	<p>PMU/DSC</p> <p>PMU/DSC</p> <p>PMU/DSC</p>
(b) schools will be reconstructed in a way that they can be used as community centers that provide shelter during natural disasters and to store essential belongings, including food, immediately post-emergency. The schools will hold features such as water tanks for rain water collection, emergency power back up and	<ul style="list-style-type: none"> <li>• Education awareness on HIV/AIDS and prevention conducted for construction workers and the community during construction activities</li> <li>• Disaster preparedness materials provided to schools to include female hygiene kits.</li> <li>• Ensure employment of team member with gender expertise in the DSC team who will manage implementation of gender action plan.</li> <li>• Establish sex-disaggregated baseline data for the GAP and DMF</li> </ul>	<p>PMU/DSC/NGO</p> <p>PMU/DSC</p> <p>PMU/DSC</p> <p>PMU/DSC</p>

OUTPUTS	PROPOSED ACTIVITY (TARGET)	PRIMARY RESPONSIBILITY
communication facilities, including providing universal access	performance indicators, if needed, and other gender-related indicators for regular monitoring and reporting during project implementation period. <ul style="list-style-type: none"> <li>• Monitor GAP implementation progress</li> <li>• Coordinate with MOET Gender Focal Point to ensure project activities align with MOET gender policy.</li> </ul>	PMU/DSC PMU/DSC
<b>Output 2: The capacity of communities and MOET management for disaster risk reduction and disaster preparedness is strengthened.</b>		
(a) MOET are trained in disaster standards. Communities trained to prepare them for future disasters.  (b) School disaster risk management plans established, including certain material in the school curricula and training and awareness raising with schools and communities for disaster risk reduction preparedness.	<ul style="list-style-type: none"> <li>• Disaster preparedness training materials and curricula developed for delivery to schools and communities is gender sensitive and includes specific attention to the needs of women in a disaster and post disaster settings.</li> <li>• Both men and women are involved in the delivery of training to schools and communities as trainers (at least one man and one woman deliver training together)</li> <li>• Women and men participate in community disaster preparedness training (at least 40% female participation)</li> <li>• Both men and women are involved in the development of the disaster management plan (at least 40% women).</li> <li>• Women's specific needs addressed in the disaster management plan.</li> <li>• Women comprise of at least 3 of the 20 MOET staff who receive training in disaster risk reduction technical approaches.</li> </ul>	DSC/NGO/PMU  DSC/NGO/PMU  DSC/NGO/PMU  DSC/NGO/PMU  DSC/NGO/PMU  PMU/MOET

DSC = design and supervision consultant; MOET = Ministry of Education and Training; NGO = nongovernment organization; PMU = project management unit.

## XI. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

### A. Project Design and Monitoring Framework

<b>Impact the Project is Aligned with</b>			
Accelerated social recovery in Vanuatu's cyclone-affected provinces (defined by the project)			
<b>Results Chain</b>	<b>Performance Indicators with Targets and Baselines<sup>a</sup></b>	<b>Data Sources and Reporting Mechanisms</b>	<b>Risks</b>
<b>Outcome</b> Critical education services resumed with disaster-resilient infrastructure	By 2019 Enrollment rates in junior secondary schools, for boys and girls, restored to 60% of pre cyclone enrollment level in project location. (2015 baseline: 2,100)	Annual statistical digest report of MOET	Disaster events occur during construction; climate change risks
<b>Outputs</b>  1. Schools in Tafea Province are rebuilt and/or upgraded	By 2018 (1–2.)  1a. At least five schools are rebuilt or retrofitted following build-back-better principles and as community emergency shelters. (2015 baseline: 0)  1b. Community shelters will benefit at least 18,000 inhabitants. (2015 baseline: 0)  1c. School building and associated facilities design work undergoes technical quality assurance by MOET. (Baseline: not applicable)	1a.–c. Periodic project progress reports	Delays arise from the constrained capacity of MOET or the labor shortage of local contractors. School reconstruction material not available in rural areas, delaying implementation
2. The capacity of communities and MOET management for disaster risk reduction and disaster preparedness is strengthened	2a. At least 10 disaster risk management training sessions are conducted for communities living near the schools, with at least 40% of participants being women and children. (2015 baseline: 0)  2b. At least 20 people (at least three women) of MOET and other ministries acquire skills in technical	2a.–b. Period project progress reports	Delays in procurement hinder implementation of key project activities.

Results Chain	Performance Indicators with Targets and Baselines <sup>a</sup>	Data Sources and Reporting Mechanisms	Risks
	approaches to disaster risk reduction. 2015 baseline: 0)		
<p><b>Key Activities with Milestones</b></p> <p><b>1. Schools in Tafea Province are rebuilt and/or upgraded</b></p> <p>1.1 Recruit design and supervision consultants through advance contracting (Q4 2015)</p> <p>1.2 Finalize engineering designs, costing, and bid documents for construction firm (Q1 2016)</p> <p>1.3 Procure civil works contract (Q2 2016)</p> <p>1.4 Conduct community and school consultations on proposed reconstructions as well as on safe construction techniques and construction standards, with 40% of participants to be women (Q1 2016)</p> <p>1.5 Rehabilitate selected schools in Tafea Province (Q3 2016–Q4 2017)</p> <p>1.6 Carry out quality assurance activities (2016–2017)</p> <p>1.7 Make schools operational (Q4 2016–Q1 2018)</p> <p>1.8 Prepare asset management plan (Q 3 2016)</p> <p>1.9 Monitor implementation of environmental management plan (Q1 2016–Q3 2017)</p> <p>1.10 Set up monitoring and evaluation system that captures sex-disaggregated data and necessary baselines (Q1 2016)</p> <p>1.11 Report on implementation of the gender action plan (Q1 2016–Q4 2017)</p> <p>1.12 Prepare quarterly progress monitoring reports (Q1 2016–Q4 2017)</p> <p>1.13 Arrange annual audit of project accounts (2016–2018)</p> <p><b>2. The capacity of communities and MOET management for disaster risk reduction and disaster preparedness is strengthened</b></p> <p>2.1 Conduct community awareness training and build MOET capacity for disaster preparedness (Q1–Q4 2016)</p> <p>2.2 Conduct community consultations for preparation of disaster management plan, at least 40% to be women participants (Q1–Q4 2016)</p> <p>2.3 Revise or prepare school disaster risk management plan (Q4 2016)</p> <p>2.4 Conduct school and community training (staff and students) on disaster risk management and disaster preparedness (Q4 2016)</p> <p>2.5 Conduct and/or arrange gender-awareness training for all project-related staff (2016)</p> <p>2.6 In consultation with communities and school committee, prepare school maintenance plan and conduct necessary training. (Q4 2016–Q3 2017)</p>			
<p><b>Inputs</b></p> <p>Government of Vanuatu: \$0.72 million</p> <p>Japan Fund for Poverty Reduction: \$5 million<sup>b</sup></p>			
<p><b>Assumptions for Partner Financing</b></p> <p>Not applicable.</p>			

MOET = Ministry of Education and Training, Q = quarter.

<sup>a</sup> All information to be monitored will include sex-disaggregated data.

<sup>b</sup> Administered by the Asian Development Bank.

Source: Asian Development Bank.

## B. Monitoring

62. **Project performance monitoring.** The PMU through the DSC will be tasked to perform a monthly progress review of activities as agreed per work plan deliverables. This will include (i) initially the design work and (ii) community consultation and (iii) subsequently the reconstruction of the schools. A simple monitoring and evaluation system will be established with baseline data at the PMU which will include targets and indicators from the DMF as well as the GAP. Data collected will be sex-disaggregated. These reports will provide information necessary to update

ADB's project performance reporting system and to brief JFPR on progress and visibility activities.

63. **Compliance monitoring:** Compliance with project covenants will be monitored through the quarterly progress reports and after each ADB review mission. The PMU through the DSC and will be responsible for monitoring compliance in accordance with the ADB-government grant agreement, issuing warnings to the government and or consulting firms/contractors when covenants are breached, and informing ADB.

64. **Safeguards monitoring: Safeguards monitoring.** Environment and social safeguards will be monitored by international and national specialists within the PMU, in accordance with the IEE and any resettlement plan and/or due diligence report. The results of safeguards activities and monitoring will be reported in the PMPMUU progress reports. Additionally, review missions and semi-annual safeguards monitoring reports will report on safeguard compliance. Review missions will be guided by the checklists contained in Appendix 1. The outline table of contents for semi-annual monitoring reports is also contained in Appendix 1.

65. **Gender and social dimensions monitoring.** The DMF indicators require measurement of the number of women included in consultations and training. Project performance against these indicators will be monitored through the M & E system of quarterly and annual reporting. A GAP matrix will be attached to the quarterly progress reports to this respect.

## **C. Evaluation**

66. Once the grant is effective, ADB will field an inception mission to agree on a checklist on project implementation requirements. ADB and the government will undertake semiannual review mission with the government to review overall implementation of the project. The mission will (i) examine any implementation problems that the project is encountering or is likely to encounter, and work out measures with the EA and IA to resolve them; (ii) review actions required in terms of poverty reduction, environmental impact assessments, and resettlement plans, and where required, consult with nongovernment organizations; (iii) check on availability and timeliness of budgetary allocations and counterpart funding; (iv) review project expenditures, and estimate whether the project can be completed within the original cost estimates; (v) identify cost overruns or savings that may materialize under the project, and ascertain the need to reallocate grant proceeds between categories or cancel surplus grant proceeds; (vi) review progress with procurement and disbursement; and verify, based on a comparison of ADB's and the IA's records, the contracts awarded, and commitments and disbursements made; (vii) review the recipient's compliance with particular grant covenants and, where there is any noncompliance or delay, discuss proposed remedial measures with the recipient (including discussions with the external auditor where relevant; (viii) assess the likelihood of attaining the project's immediate development objectives as indicated in the assumptions and risks sections of the PPR; (ix) examine the need to extend the grant closing date, and where required, work out with the EA the most suitable grant closing date based on a revised implementation schedule, and advise the EA and recipient to submit a formal request for extension to ADB; and (x) examine any other matter related to the project that requires ADB's attention. The midterm review will be made after 1 year of the grant effectiveness date.

## **D. Reporting**

67. MOET will provide ADB with (i) quarterly progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a)



progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions; (c) updated procurement plan and (d) updated implementation plan for next 12 months; and (iii) a project completion report within 6 months of physical completion of the Project.<sup>16</sup> To ensure projects continue to be both viable and sustainable, project accounts and the executing agency AFSs, together with the associated auditor's report, should be adequately reviewed.

## **E. Stakeholder Communication Strategy**

68. The project will comply with ADB's policy of transparency and accountability of the ADB Public Communications Policy (PCP) 20111 through the use of a communications strategy that will ensure (i) available information about the project reaches all people concerned, and (ii) stakeholders, including women and other vulnerable groups, are able to participate, and (iii) a grievance redress mechanism is established through which people can voice their concerns. The strategy will use a range of communication tools and technologies, which will be tailored according to the needs and conditions of specific audiences. Specifically, the stakeholder communications strategy will include the requirements of the Environmental Assessment and Review Framework:

- (i) The PMU will set up a grievance redress mechanism within 6 months after fielding of consultants to receive and resolve complaints/grievances or act upon reports from stakeholders on misuse of funds or other irregularities, including grievances due to the implementation of the environmental management plans per school or related to resettlement.
- (ii) The PMU will circulate quarterly progress reports to steering committee members and ADB and conduct quarterly steering committee meetings to brief members on project progress.
- (iii) The PMU will inform Vanuatu's reconstruction committee on project progress on a quarterly basis.
- (iv) The project will disclose audited financial project statements latest six months after year end.
- (v) The PMU will establish a community engagement and consultation mechanism which is participatory to ensure that community concerns, including these of women, are considered during final design and construction.

69. The final communication strategy will be presented during the first steering committee meeting for final sign off.

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<sup>16</sup> Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

## XII. ANTICORRUPTION POLICY

70. ADB reserves the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the Project.<sup>17</sup> All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing agency and all Project contractors, suppliers, consultants and other service providers. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contracts under the Project.<sup>18</sup>

71. To support these efforts, relevant provisions are included in the grant agreement and the bidding documents for the Project. All contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of the executing and implementing agencies and all project contractors, suppliers, consultants and other service providers.

72. Consultant selection will adopt ADB's Guidelines on the Use of Consultants (2013, as amended from time to time), and disbursement will be made in accordance with ADB's disbursement policies, guidelines, practices, and procedures. The procurement of goods and works will be carried out according to Procurement Guidelines (2015, as amended from time to time).

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<sup>17</sup> Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

<sup>18</sup> ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

### **XIII. ACCOUNTABILITY MECHANISM**

73. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make a good faith effort to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.<sup>19</sup>

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<sup>19</sup> For further information see: <http://www.adb.org/Accountability-Mechanism/default.asp>.

#### **XIV. RECORD OF PAM CHANGES**

- 1. Prepared October 2015.**

## Appendix 1: Safeguards Compliance Checklists and Outline Contents of Monitoring Reports

### Checklist for Safeguard Supervision/Monitoring (Environment)

PARD Safeguards Implementation Checklist: Environment					
Date: _____					
<b>PROJECT INFORMATION</b>					
Loan/Grant No.:	Project Name: _____				
Approval Date: _____	Closing Date: _____	Cumulative Progress (%): _____			
Project Team Leader(s): _____				Implementing Agency: _____	
<b>1) Categorization</b>					
(Original) A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> FI <input type="checkbox"/>					
(additional financing, if any) A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> FI <input type="checkbox"/>					
<i>(Please complete the following sections if the project has been categorized as A, B or FI)</i>					
<b>2) Planning</b>					
Documents: EARF <input type="checkbox"/> IEE/EIA <input type="checkbox"/> No. of IEE/EIA _____ EMP <input type="checkbox"/>					
IEE/EIA Disclosed and Posted on ADB Website: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
EMP Finalized or Updated after Detailed Design: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
CEMP submitted, reviewed and approved: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
<i>(Attach a list of subprojects and status if necessary.)</i>					
<b>3) Institutional Setup</b>					
PIU/PMU Environment Staff Assigned: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If yes, Name: _____ Since: ____/____/____ (month) (year)					
Environmental Specialist/Consultant Mobilized: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If yes, National Specialist's Name: _____ Since: ____/____/____ (month) (year)					
If yes, International Specialist's Name: _____ Since: ____/____/____					
Participation of Gov. Environment Agency/Division: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If yes, Name: _____ Since: ____/____/____ (month) (year)					
Grievance Redress Mechanism Established: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, why? _____					
Allocation of Government Budget: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If yes, amount\$: _____					
<b>4) Monitoring and Reports</b>					
Internal Monitoring System Established: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
Compliance monitoring incorp. into Q Progress Reports: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
External Monitor Engaged (if needed): Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If yes, Name: _____ Since: ____/____/____ (month) (year)					
Monitoring Report Submitted to ADB: Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If Yes, provide information below					
	<b>Baseline Report</b>	<b>Report 1</b>	<b>Report 2</b>	<b>Report 3</b>	<b>Report 4</b>
Submission Date (m/yr)					
ADB Review Date (m/yr)					
Web-posting Date (m/yr)					
Name of ADB Reviewer					
<b>5) Field Review with Participation of Safeguard Specialist/Officer/Staff Consultant</b>					
Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions? _____					
If Yes, provide information below					
Mission Date (m/yr)					
Type of mission:					
Participants (safeguard specialist/officer/staff consultants)					

6) Compliance with Loan Covenants			
List of key covenants in loan and project agreement			
Item #	Covenant	Compliance rating*	Describe status of compliance
*Note: Yes ; No; Not yet due			
Overall safeguard rating (e-Operation):			
S = Satisfactory; PS = Partly Satisfactory; US = Unsatisfactory			
7) Status of Implementation of EMP Activities (Please provide a cross reference if it is already covered under Section 6 above)			
	Items	Yes/No	Describe Implementation Status
8) Major Issues or Complaints (Cumulative)			
	Item		Description
1	Issue		
	Proposed Action(s)		
	Follow-up Issues/Actions		
	Final Resolution of Issue		
2	Issue		
	Proposed Action(s)		
	Follow-up Issues/Actions		
	Final Resolution of Issue		
*Add rows as needed.			
Prepared by:	Confirmed by:	Confirmed by:	
Date:	Team Leader:	Safeguard Specialist/Officer:	
	Date:	Date:	
To: Sector Director/Country Director			
cc: Project Team Leader, PARD Safeguard Specialist			
IEE = initial environmental examination; EIA = environmental impact assessment; EMP = environmental management plan; FI = financial intermediary; MTR = mid-term review; PCR = project completion review; PIU/PMU = project implementation/management unit; TL = team leader; EARF = environmental assessment and review framework; SS = safeguard specialist			

## Checklist for Safeguard Supervision/Monitoring (Resettlement)

Checklist for Safeguard Supervision: Involuntary Resettlement					
<b>PROJECT INFORMATION</b>					
Loan/Grant No.:	Project Name:				
Approval Date:	Closing Date:		Cumulative Progress (%):		
Project Team Leader(s):			Project Analyst:		
<b>1) Resettlement Categorization</b>					
(Original)	A	B	C	FI	
(additional financing, if any)	A	B	C	FI	
<i>(Please complete the following sections if the project has been categorized as A, B or FI involving land acquisition/resettlement issues)</i>					
<b>2) Resettlement Planning</b>					
Resettlement Planning Documents:	RF <input type="checkbox"/>	RP <input type="checkbox"/>	Number of RPs	ESMS <input type="checkbox"/>	
RP Finalized or Updated after Detailed Design: (Attach a list of subprojects and status if necessary.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
Final/Updated RP Disclosed and Posted on ADB Website:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
Compensation Rates Approved by the Government:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
<b>3) Institutional Setup for Resettlement</b>					
PIU/PMU Resettlement Staff Assigned:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		Since: /
	If yes, Name:				(month) (year)
Resettlement Specialist Consultant Mobilized:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		Since: /
	If yes, Name:				(month) (year)
Grievance Redress Mechanism Established:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, why?		
Allocation of Government Budget:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
	If yes, amount\$:				
<b>4) Resettlement Monitoring and Reports</b>					
Internal Monitoring System Established:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
External Monitor Engaged (if needed):	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		Since: /
	If yes, Name:				(month) (year)
Monitoring Report Submitted to ADB:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If no, actions?		
	If Yes, provide information below				
	<b>Baseline Report</b>	<b>Report 1</b>	<b>Report 2</b>	<b>Report 3</b>	<b>Report 4</b>
Submission Date (m/yr)					
ADB Review Date (m/yr)					
Web-posting Date (m/yr)					
Name of ADB Reviewer					
<b>5) Resettlement Field Review with Participation of Safeguard Specialist/Officer/Staff Consultant</b> Yes <input type="checkbox"/> No <input type="checkbox"/> If no, actions?					
If Yes, provide information below					
Mission Date (m/yr)					
Type of mission					
Name of safeguard specialist/officer/staff consultants					

6) Compliance with Loan Covenants			
List of key covenants in loan and project agreement			
Item #	Covenant	Compliance rating*	Describe status of compliance
*Note: Yes ; No; Not yet due			
Overall safeguard rating (e-Operation):			
S = Satisfactory; PS = Partly Satisfactory; US = Unsatisfactory			
7) Status of Implementation of Resettlement Activities (Please provide a cross reference if it is already covered under Section 6 above)			
	Items	Yes/No	Describe Implementation Status
1	<b>Satisfactory Consultation:</b> clear responsibility; identification of stakeholders; consultations undertaken; and documentation		
2	<b>Information of APs:</b> database/inventory; ID cards		
3	<b>Land Acquisition:</b> Notification, survey, approvals		
4	<b>Payment of compensation</b> and allowances		
5	<b>Relocation of affected assets and structures</b>		
6	<b>Rehabilitation</b> income generation, employment		
7	.....		
8) Major Resettlement Issues or Complaints (Cumulative)			
	Item	Description	
1	Issue		
	Proposed Action(s)		
	Follow-up Issues/Actions		
	Final Resolution of Issue		
2	Issue		
	Proposed Action(s)		
	Follow-up Issues/Actions		
	Final Resolution of Issue		
*Add rows as needed.			
Prepared by:		Confirmed by:	Confirmed by:
Project Analyst:		Team Leader:	Safeguard Specialist/Officer:
Date:		Date:	Date:
To: Sector Director/Country Director			
cc: PAU Head; PARD Safeguard Specialist			
ESMS = environmental and social management system; FI = financial intermediary; MTR = mid-term review; PCR = project completion review; PAU = Project Administration Unit; PIU/PMU = project implementation/management unit; TL = team leader; RP = resettlement plan; RF = resettlement framework; SS = safeguard specialist			



## EA/IA Checklist for Gender Action Plan (GAP) Implementation & Reporting

EA/IA Checklist for Gender Action Plan (GAP) Implementation & Reporting			
PROJECT INFORMATION			
Loan/Grant No. & Country:		Project Name:	
Approval Date:		Closing Date:	Checklist Date:
Executing Agency:		Implementing Agency:	
Project Director:		Project Management (Implementation) Unit (PMU/PIU) Team Leader:	
ADB Project Officer:		Co-financing partners (other than ADB):	
GENDER CATEGORIZATION			
Gender Equity (GEN)	( )	Effective Gender Mainstreaming (EGM)	( )
GAP IMPLEMENTATION STATUS			
1. Institutional Arrangement			
a. PMU/PIU gender/social specialist recruited?			
	International:	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, when and other actions? _____
	National:	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, when and other actions? _____
b. PMU/PIU gender/social specialist mobilized?			
	International:	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, when and other actions? _____
		If yes, Name: _____	
		Since when: _____	Assignment duration (months): _____
	National:	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, when and other actions? _____
		If yes, Name: _____	
		Since when: _____	Assignment duration (months): _____
c. Budget allocated for GAP activities from the project?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, what actions? _____
d. Contract/procurement packages reflect gender designs (e.g., labor-based work targets for male/female)?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	Not applicable <input type="checkbox"/>
2. GAP Implementation			
a. GAP activities currently being implemented?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, from when? _____
b. GAP implementation progress matrix updated regularly?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
		If yes, date of latest updates: _____	
<b>Please attach the GAP progress matrix with this checklist.</b>			
c. Any GAP activities being adjusted or modified?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	
		If yes, state reasons: _____	
		If any GAP activities were adjusted or modified, were those agreed with ADB?	
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, when? _____
			Name of ADB Officer: _____
d. All project-related data being collected and disaggregated by sex? (including GAP and other project-related data)			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
3. GAP Reporting			
a. GAP implementation progress matrix included in regular progress reports?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
		If yes, date of latest progress report: _____	
b. DMF indicators related to GAP being monitored and reported in regular progress reports?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
		If yes, date of latest progress report: _____	
c. Are contractors required to report on number of workers (local) being employed by sex?			
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
		Has this been included in progress reports?	
		Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, actions? _____
		If yes, date of latest progress report: _____	
d. How many jobs have been created by project initiatives other than civil works?			
		Men <input type="checkbox"/> Women <input type="checkbox"/> Don't know <input type="checkbox"/>	
		If not known, what actions are taken for data collection?	_____

## Outline Contents of Safeguards Monitoring Report

Heading/Section	Contents
Introduction	Brief background on the project and subproject; Institutional arrangements for project management and environmental management;
Monitoring Activities	Who participated in the monitoring; Methodology for monitoring (whether checklists prepared etc); When the monitoring was undertaken and what period it covers; Summary of other monitoring undertaken in the period (i.e. form contractor's monthly reports and if any survey/sample monitoring undertaken); Main activities – observations/inspections, consultations, interviews with contractor staff etc
Works in Progress	Details of the works being undertaken, (with photographs); Include whether any environmental training/awareness has been provided to contractor staff in the period (what, by whom etc)
Monitoring Results and Actions Required	Whether works and measures comply with the approved EMP/CEMP and RP; Should follow sequence of items identified in EMP/CEMP and RP and verify that all mitigations measures noted are being implemented; Corrective actions cited (date to be resolved and person responsible on contractor team and verification by IA/PMU)
Summary and Conclusions	Summary of main findings; Main issues identified and corrective actions noted; Can include summary table which can be updated each period to track completion of actions required
Attachments	Monitoring checklist (based on items identified in the EMP/CEMP and RP) refer annex 1 Additional photographs Additional information as required