

TERMS OF REFERENCE

PREPARATION OF A STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT AND AN ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

FOR

INTER-AMERICAN DEVELOPMENT BANK (IADB) INCUBATOR FACILITY CARIBBEAN CHILD PROJECT (PROJECT PREPARATION GRANT PHASE)

AS PART OF

THE GLOBAL ENVIRONMENT FACILITY IMPLEMENTING SUSTAINABLE LOW AND NON-CHEMICAL DEVELOPMENT IN SIDS (ISLANDS) PROGRAMME

TOR REF. NO: #BCRC_10258_2021_001B

BACKGROUND

The Basel Convention Regional Centre for Training and Technology Transfer (BCRC Caribbean) and the Inter-American Development Bank (IDB) have signed the Technical Cooperation (TC) agreement RG-T3548. The objective of this TC is to prepare the Caribbean Incubator Facility for the Sustainable Management of Hazardous Chemicals and Wastes (RG-O1674) under the Global Environment Facility (GEF) ISLANDS global programme funded by GEF's Chemical and Waste focal area. The GEF ISLANDS program's overarching objective is to support small island developing states (SIDS) to enter a safe chemical development pathway by strengthening their ability to control the flow of chemicals, products, materials into their territories and to unlock resources for the long-term management of chemicals and waste, including integrated chemicals and waste management, in SIDS.

The general objective of the facility is to support the sustainable management of hazardous Chemicals and Wastes (C&W) in the Caribbean. The specific objectives are: (i) to finance the development and strengthening of policy, legal, regulatory, and financial frameworks, tools, and instruments; and (ii) to channel financing to the private and public sectors to advance the sustainable management of hazardous C&W. The facility will support the following countries (Participating Countries): **Barbados, Bahamas, Belize, Dominican Republic, Guyana, Suriname, and Trinidad and Tobago**, in improving the management of hazardous C&W identified in multi-lateral environmental agreements such as the Basel, Rotterdam, Minamata, and Stockholm Conventions, the Montreal Protocol and Strategic Approach to International Chemicals Management (SAICM). For purposes of this facility, other SIDS countries recognized by GEF's Global Island Program, namely **Antigua and Barbuda, Saint Kitts and Nevis and**

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Saint Lucia could also be eligible for support and financing under the “de-minimis” approach.

The Caribbean Incubator Facility includes the following Components:

- **Component 1: Financing policy and regulatory enabling processes to safely manage hazardous C&W (US\$700,000).** The goal of this component is to strengthen the policy, regulatory and legal enabling environment and build institutional capacities in participating countries to support, guide and facilitate public and private sector investments. This component will focus on working with regional, national, sub-national or local government counterparts such as ministries, statutory bodies, municipalities and/or waste management agencies responsible for hazardous C&W management. Activities eligible under this component will include¹: (i) regional, national, sub-national or local level activities that foster an enabling environment that allows participating countries better management of their C&W. Special attention will be given to priority waste streams identified under the facility; (ii) regional, national, sub-national or local level activities that will support market-based laws and regulations for transitioning to circular economy. Activities could include the development of legal or regulatory frameworks to overcome barriers in existing legal framework for transitioning to a circular economy found in legal provisions regulating hazardous C&W management in participating countries that typically discourage the use of waste as a resource; (iii) development of legislation and standard operating procedures for the creation and improvement of public sector financing mechanisms to ensure resources are allocated to C&W management in participating countries, including the review of existing mechanisms with the objective of optimizing their use and expanding its financing options to ensure C&W activities are included as well as the creation of new innovative financial instruments; (iv) development of in-depth analyses on current challenges related to the enforcement of C&W or relevant environmental laws and regulations. “Books of rules and principles of enforcement” can be developed for participating countries to provide guidelines and tools for enforcement officers (environmental officers in environmental protection/management, customs, or border control agencies, among others), including the development of tracking systems and the strengthening of analytical capabilities; (v) adoption and customization of sustainable procurement practices and tools such as green procurement guides, extended producer responsibility approaches, among others, with the objective of controlling and decreasing the amount of goods and services imported that contain hazardous materials; and (vi) strengthening of institutional capacities, coordination, consultation, and collaboration mechanisms, including the clarification and identification of responsibilities and mandates of all agencies and institutions involved in C&W management. This includes undertaking institutional capacity assessments and developing recommendations to improve the current technical capacities and coordination mechanisms of existing agencies as well as identifying ways of improving current processes and operations.

¹ These thematic areas are also aligned with the recommendations offered by the national project counterparts in the participating countries who were surveyed at the end of the design phase of this project, in addition to the validation workshops and other consultative sessions held as part of the PPG phase. More information on this data collection exercise can be consulted in Annex I.

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- Component 2: Improving the bankability of hazardous C&W public sector projects (US\$1.2 million).** The goal of this component is to increase financing for public sector projects targeting hazardous C&W. This component will focus on working with regional, national, sub-national or local government counterparts such as ministries, statutory bodies, municipalities and/or waste management agencies responsible for hazardous C&W management. Financing will target the design, implementation and scaling up of public sector investments in the transition towards sustainable management of C&W. Activities eligible under this component will include, among others, the development of pre-feasibility and feasibility studies, environmental impact analyses, C&W management plans, data collection, technical designs and other types of studies that improve the bankability of C&W public sector projects.
- Component 3: Supporting small and medium size private sector investments in sustainable management of C&W (US\$5 million).** The goal of this component is to advance and accelerate the sustainable management of C&W by shifting from a funding perspective to a long-term financing perspective among Small and Medium Size private sector Enterprises (SMEs). Funding under this component will address existing technical and financial barriers to unlock new investments in C&W in Participating Countries. Technical assistance grants and/or investments grants will be provided to SMEs, including startups, willing to invest in business models that promote the safe management of C&W. Activities eligible under this component will include: (i) the development of technical designs, trainings and capacity building activities to increase productivity and incorporate sustainability best practices and technologies, improve occupational safety and health, environmental assessments and mitigation plans, acquisition and development of cutting edge and affordable technologies, building of small infrastructure to improve C&W management, market studies, linkage to high-value markets or to value chain actors, and other assessments to support private sector engagement in the C&W sector. This component will focus on financing projects/investments aligned with the priority waste streams as well as on ready-to-implement solutions.
- Component 4: Supporting large private sector investments in sustainable management of C&W (US\$2.5 million).** The goal of this component is to advance and accelerate the sustainable management of C&W by shifting from a funding perspective to a long-term financing perspective among large private sector companies operating in participating countries. Funding under this component will address existing technical and financial barriers to unlock new investments in C&W. Technical assistance grants and/or investments grants will be provided to large private sector companies from the hotel or cruise industry, among others, willing to invest in the safe management of C&W within its operations and/or supply chains. Activities eligible under this component will include: the development of technical designs, pre-feasibility analyses, trainings and

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capacity building activities to increase productivity and incorporate sustainability best practices and technologies, improve occupational safety and health, environmental assessments and mitigation plans, acquisition of cutting edge and affordable technologies, building of suitable infrastructure to improve C&W management, market studies, linkage to high-value markets or to value chain actors, and other assessments to support private sector engagement in the C&W sector. This component will focus on de-risking the financing of projects/investments aligned with the priority waste streams. Funding from this component could be used as technical assistance or investment grants to design specific interventions or finance pilot interventions around C&W.

- **Component 5: Designing applied knowledge mechanisms for partnership building (US\$200,000).** The goals of this component are: (i) to advance knowledge management around C&W in the Caribbean; and (ii) build partnerships around the C&W agenda. This component will focus on supporting the facility's knowledge management requirements, including the facility intermediate and final evaluations, and bridge the knowledge generated by IDB's and UNEP/FAO's child projects². Specific activities to be funded under this component include: (a) managing knowledge as an asset by identifying knowledge needs from stakeholders, mainly from private investors and donors, and working on the knowledge generated by the sub-projects to address needs from strategic stakeholders; (b) systematizing knowledge produced under this facility's subprojects by creating communication channels with counterparts involved in the execution of the sub-projects; (c) sharing knowledge obtained by creating effective sharing and communication channels with relevant stakeholders; (d) bridging the knowledge obtained in the IDB and UNEP/FAO child projects by monitoring the knowledge generated in both projects and building combined knowledge products to be offered to stakeholders; (e) communicating with GEF's global platform to ensure that the knowledge generated by the IDB's child project is shared with global stakeholders; and (f) supporting partnership building and new resource mobilization strategies to accelerate the transformational change in sectors involved in hazardous C&W.

Key Potential Environment, Social, Health and Safety (ESHS) Risks and Impacts

The main risks and impacts envisaged during the construction and operation phases of future projects designed under this Facility may include the following:

- Solid waste, hazardous waste and chemical management (handling, transportation, disposal) during demolition and removal of damaged components and during construction;

² As mentioned, in the Caribbean, GEF's Global Islands Program will support two child projects: i) a UNEP/FAO-implemented child project (for US\$ 11 million) that will focus on working with government agencies such as regulators, customs, and import departments on the regulatory framework for chemical and waste management; and ii) IDB's child project described in this Container Document for US\$ 10 million. It is critical that all knowledge generated under both child projects is complementary and not overlapping. This component would be executed by the [Basel Convention Regional Center for the Caribbean Region](#) (BCRC). This component will also support the coordination between IDB's child projects and GEF's child project (also under the Global Islands Program) on Coordination, Communication and Knowledge Management (CCKM) designed to coordinate, communicate, and manage all knowledge produced under the Global Islands Program's child projects.

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- Land-use conversion;
- Potential risk of pollution from uncontrolled emissions during construction; uncontrolled emissions may include dust, noise and potential spills;
- Impact to natural habitats;
- Impact to water resources;
- Traffic impacts and access restrictions;
- Impacts from expropriations and easements (not envisaged at this stage and, ideally, projects should be designed to avoid these impacts);
- Potential impacts on livelihoods and other economic activities; opportunities for capacity training, job creation.
- Gender equality;
- Workers influx;
- Occupational health and safety;
- Climate Change and Natural Disaster Risk Management
- Transboundary impacts (potential impacts connected to export of certain hazardous materials, and requirements associated to applicable conventions in such cases); please see directive B.8, IDB's operational policy OP-703.
- Community health and safety.
- Impact from the inadequate identification, labeling, handling, storage, use and disposal of different types of hazardous C&W.

An analysis on climate change and natural disaster risks (example: tsunamis, earthquakes, volcanic, morpho-climatological hazards) and, if applicable, the identification of appropriate mitigation measures must be incorporated into the SESA and ESMF documents.

I. Activation of IDB Policies

In accordance with the Environment and Safeguards Compliance Policy (OP-703), the development of the Facility likely triggers the following directives and policies:

- Directives B.1, B.2, B.3, B.4, B.5, B.6, B.7, B.8, B.9, B.10, B.11, B.12, B.13, B.17 of the OP-703 (Environment and Safeguards Compliance Policy);
- OP-102 (Access to Information Policy);
- OP-704 (Natural and Unexpected Disasters Policy);
- OP-761 (Gender Equality Policy);
- OP-710 (Involuntary Resettlement Policy) (not envisaged at this stage as future projects should be designed to avoid resettlement).

SCOPE OF CONSULTANCY

In light of the IDB's policies that are likely to be activated, the general objective of the E&S Consultant ("The Consultant" or "the E&S Consultant") is to develop the following documentation for the Facility (RG-O1674) in consideration of the C&W in the participating and potentially eligible countries:

- Prepare a high-level **Strategic Environmental and Social Assessment (SESA)**, applicable to those elements of the Facility that are deemed to present potential

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environmental and social impacts and opportunities (positive or negative, direct or indirect) AND a high-level **Environmental and Social Management Framework (ESMF)**;

- Include a Climate Change and Natural Disaster Risk Assessment as part of the SESA/ESMF
- Develop a Stakeholder Engagement Plan

KEY ACTIVITIES FOR CONSULTANCY

I. Preparation of a Work Plan

The Work Plan shall contain:

- specific methodologies and proposed logistics to be adopted for completing each of the proposed key activities;
- additional information requirements needed to meet the objective of the Consultancy;
- schedule of activities; and
- proposed coordination mechanisms with the IDB and the Executive Agency.

II. Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF)

The Consultant shall develop a SESA and an ESMF for those elements of the Facility that are deemed to present significant environmental and social impacts and opportunities (positive or negative, direct or indirect) with the objective to establish strategic principles and procedures for an adequate environmental and social management of the Program deployment. In particular, the Consultant shall:

- Prepare, for both the SESA and ESMF documents, a section on Climate Change and Natural Disaster Risk Assessment;
- Conduct a high-level analysis of the local institutional capacity in respect to the deployment of the Facility, highlighting gaps and recommending corrective actions;
- Identify potential bottlenecks (regulatory, infrastructure, capacity, etc) in the E&S aspects of the execution of the facility;
- Conduct a high-level analysis and diagnosis of the local legal framework of the sector, highlighting potential impact in the local social and environmental context;
- Identify the potential social and environmental aspects of the Facility, and determine their level of social and environmental risk;
- Establish an ESMF that defines adequate guidelines for the future preparation of project-specific Environmental and Social Management Plans (ESMP) for the components of the Facility that are deemed to present significant environmental and social impacts and opportunities. This should include high-level management and mitigation measures to prevent, control and/or mitigate the potential adverse impacts and optimize positive impacts for affected communities and stakeholders;

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- Design proposed instruments and tools to manage the social and environmental performance throughout the operations of the Program.

III. Stakeholder Engagement Plan (SEP)

The Consultant shall develop a SEP for the relevant components of the Operation that are deemed to present significant environmental and social impacts. The SEP should identify relevant stakeholders and when feasible potentially affected communities and should include recommended procedures and methodologies to be utilized for future consultation activities required for potential future projects to be developed under the Facility (the actual consultation events will not occur under this consultancy). The SEP should outline how future consultations should: 1) follow a transparent process according to the principle of proportionality, engage in a two-way dialogue and participation, and involve people in the affected communities and other interested stakeholders; 2) involve a significant number of participants and ensure equal availability to women and men; 3) detail the information obtained in the public consultations in a Consultation Report that will include the topics discussed, the questions asked, the answers obtained, photos of the events and attendance sheets and; 4) ensure outcomes of the consultation should be reflected in key Environmental and Social documentation, such as future Environmental and Social Assessment or Environmental and Social Management Plans.

The SEP should also include guidelines for the development of Grievance Redress Mechanisms (GRM) in those subprojects that may have relevant adverse E&S impacts. It should also help identify the characteristics which would make a project require a GRM.

The execution of consultations is the responsibility of the Executive Agency, however, the Consultant will provide support for its execution, preparing and providing the required documentation for consultation and disclosure. In particular, the Consultant should support the Executive Agency in undertaking consultations activities applicable to the Operation and provide feedback and suggestions for the implementation of the stakeholder engagement strategies.

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OUTPUTS AND DELIVERABLES

The Consultant shall present the following deliverables according to the schedule reported in the table below:

Activity / Deliverable (draft version)	Estimated Timeframe
1. Work Plan	One (1) to two (2) weeks after contract signature
2. Draft Strategic Environmental and Social Assessment	Eight (8) weeks after contract signature
3. Draft Environmental and Social Management Framework	Eight (8) weeks after contract signature
4. Draft Stakeholder Engagement Plan	Eight (8) weeks after contract signature
5. Final Strategic Environmental and Social Assessment	Twelve (12) weeks after contract signature
6. Final Environmental and Social Management Framework	Twelve (12) weeks after contract signature
8. Final Stakeholder Engagement Plan	Twelve (12) weeks after contract signature

It should be noted that:

- Following submission of the draft versions of each deliverable, an iterative process of internal review, will be undertaken.
- All the products to be delivered will be accompanied by the corresponding tables, figures and photographs to better interpret the information generated. All documents will be prepared in English, in editable file (preferably Word), with publishable versions provided also in PDF format.
- This consultancy will be supervised by Jewel Batchasingh (jewel.batchasingh@bcrc-caribbean.org).

QUALIFICATIONS AND EXPERIENCE

- Minimum academic qualification: *Post-graduate degree in environmental management, natural sciences or any other related field*
- Experience: *At least five (5) years working experience in the waste and chemicals sector; experience working in the Caribbean; experience preparing and implementing multi-sectorial and regional projects.*
- Specific skills, knowledge: *Knowledge of conducting environmental and social assessments.*

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Only individuals who meet the minimum qualifying requirements shall be considered.

- Other Criteria: *Knowledge of rules and procedures used by multilateral financial organizations; knowledge and command of the English language, knowledge and command of the Spanish language or evidence of treating with the language barrier.*

DURATION OF THE CONSULTANCY

The duration of the consultancy is anticipated to be split over the course of fourteen (14) weeks tentatively scheduled to begin in June 2021 and is open to Individual Consultants ONLY.

MODE OF WORK

Cognizant of the ongoing COVID-19 pandemic, the Consultant will be expected to conduct all work **virtually** from their own location of business.

COMPULSORY COMPLIANCE

- Eligibility: Open to applicants from IDB-member countries.
- No Conflict of Interest: as per 1.9 of GN-2350-9 March 2011/1.11 of GN-2350-15.
- Not Sanctioned by the Bank: IDB's Group List of sanctioned firms and individuals – <https://www.iadb.org/en/topics/transparency/integrity-at-the-idb-group/sanctioned-firms-and-individuals%2C1293.html>

PAYMENT

Payment shall be made in instalments based on key deliverables identified within the contract. The anticipated consultancy fees shall not exceed a sum total of USD \$17,500.00 inclusive of operational expenses.

Disbursements shall be made in accordance with the following plan:

Products	%
1. Work Plan	20%
2. Draft Strategic Environmental Social Assessment 3. Draft Environmental and Social Management Framework 4. Draft Stakeholder Engagement Plan	40%
5. Final Strategic Environmental Social Assessment 6. Final Environmental and Social Management Framework 7. Final Stakeholder Engagement Plan	40%

Compensation will be determined in accordance with the Bank's policies and procedures.

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DOCUMENTS TO BE INCLUDED WHEN SUBMITTING:

1. Curriculum Vitae inclusive of contact information of 2-3 referees where applicable.

Please submit CVs with an attached cover letter to tahlia.alishah@bcrc-caribbean.org and cc. Info@bcrc-caribbean.org

The deadline for the submission of CVs is **11:59 pm (Trinidad and Tobago, GMT - 4) on June 23, 2021.**

QUERIES

Interested bidders may submit all queries via email to both personnel listed below:

Ms. Janine Boodram Project Officer BCRC-Caribbean Email: janine.boodram@bcrc-caribbean.org	Ms. Tahlia Ali Shah Project Execution Officer BCRC-Caribbean Email: tahlia.alishah@bcrc-caribbean.org
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NOTES:

- *The BCRC-Caribbean reserves the right to reject any application if any information provided is found to be a misrepresentation, exaggeration or complete falsification and to cancel the bidding process and reject all bids, at any time prior to the award of Contract, without thereby incurring any liability to the affected bidder.*
- *The successful consultant will be notified in writing of the award of contract and provided with an authorization to proceed.*
- *The successful candidate will be expected to start work as of June 2021.*

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