



Dedicated Freight Corridor Corporation of India Limited
(A Government of India Enterprise)
Ministry of Railway

**CALL FOR QUOTATION FOR SELECTION OF CONSULTING SERVICES FOR:
ENVIRONMENTAL AND SOCIAL AUDIT: GAP ANALYSIS
AND ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN (ESCP)**

Quotation No.: HQ/SEMUAudit/Rail logistic/2021

Country: INDIA

**Project Dedicated Freight Corridor Corporation of India Limited
Rail logistics project**

Client: Dedicated Freight Corridor Corporation of India Limited

Issued on: 16.12.2021

Quotation Notice

Dear Sir/Madam,

Country: INDIA

Date: 16.12.2021

Quotations are invited by GM/LA&SEMUR on behalf of Dedicated Freight Corridor Corporation of India (DFCCIL) for Selection Of Consulting Services For: Environmental And Social Audit: Gap Analysis And Environmental And Social Commitment Plan (ESCP)

Sub: - SELECTION OF CONSULTING SERVICES FOR: ENVIRONMENTAL AND SOCIAL AUDIT: GAP ANALYSIS AND ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN (ESCP).

GM/LA&SEMUR /Dedicated Freight Corridor Corporation of India Limited (herein after called DFCCIL), a Government of India Undertaking under Ministry of Railways, invites sealed quotations for the above mentioned work as per terms & conditions (Part-II) & Terms of Reference (TOR)–Part-III mentioned below. The required proposal must be submitted along with all relevant documents as specified in Scope of Work of proposed study. The quotation must reach the office of undersigned by 15.00 Hrs. on 23.12.2021 which shall be opened soon thereafter.

Encl: - Terms of Reference Part-III

(M.N.Hoda)
GM/LA&SEMUR
For & on Behalf of DFCCIL

PART –II

TERMS AND CONDITIONS

Name of Assignment: Selection of Consulting Services for: Environmental and Social Audit: Gap Analysis and Environmental and Social Commitment Plan (ESCP)

Quotation No.: HQ/SEMU/Audit/Rail logistic/2021

1. Dedicated Freight Corridor Corporation of India Limited (DFCCIL) is a Special Purpose Vehicle of the Ministry of Railways (MOR), Government of India for construction, operation, and maintenance of the dedicated freight corridors across the country. The World Bank has been supporting MOR and DFCCIL since 2011 for the infrastructure development of the Eastern Dedicated Freight Corridor (EDFC). The Western and Eastern Dedicated Freight corridors (WDFC and EDFC, respectively) once completed over the next two years, would open possibilities of efficient multimodal transport service delivery. The DFCCIL has been entrusted with developing 6 more corridors over Indian Railways (IR) and leverage ongoing IR initiatives to partner with private sector to develop multimodal infrastructure facilities. Considering MOR's initiatives to involve private sector in both creation of infrastructure assets and infrastructure service provision, DFCCIL, given its independence as a corporation, can set the course for private sector to play a larger role in the rail sector.
2. As fundamental requirements of the three previous World Bank operations with MOR and DFCCIL, there were E&S instruments developed and approved under the World Bank E&S Safeguard requirement which are currently being successfully applied, namely an Environmental Management Framework (EMF) and a Resettlement Policy Framework (RPF)¹.
3. However, after a global, multispectral, extensive and lengthy stakeholder consultation process, in 2016 the World Bank updated its E&S Policy and Requirements. Therefore, as part of this transition, any project conceived after October 2018 will no longer apply E&S Safeguards but the new Bank Environmental and Social Framework (ESF)² which includes application of ten Environmental and Social Standards (ESS) that guide the logic behind how the Bank assesses and ensures financed projects can meet Bank's sustainability objectives.
4. The Dedicated Freight Corridor Corporation of India now invites eligible consulting firms (Consultants) to submit their proposal for providing the consultancy services for this work namely "**Selection of Consulting Services for: Environmental and Social Audit: Gap Analysis and Environmental and Social Commitment Plan (ESCP)**". Selected consultants required to submit their proposal enclosing all the required relevant documents showing their "Qualification of consultants" along with the CV of

¹ That would apply to the balance works for EDFC2/3.

² <https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf>

proposed key position mentioning all relevant experience to perform the services as specified in Terms of Reference (TOR).

5. Eligibility Criteria (Least-Cost Selection (LCS)), the Client will select the Consultant based on the maximum technical criteria achieved by the consultants followed by lowest total price among those consultants that achieved the highest relevant consultant's qualification and Key expert qualification and experience. Award of work would be to such Consultant.

6. Documents Comprising the Proposal

6.1 Consultant is required to submit all relevant documents supporting the "consultant qualification" along with the CV of proposed key position mentioning all relevant experience to perform the services as specified in Terms of Reference (TOR).

6.2 The Consultant shall submit a signed and complete Proposal comprising the all documents as desired in Terms of Reference of Proposed study.

6.3 Payment under the Contract shall be made in the Indian currency or currencies.

7. Submission, Sealing of Proposals:

7.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with Clause 6 (Documents Comprising Proposal). An authorized representative of the Consultant shall sign the original submission letters in the required format and shall initial all pages.

7.2 The signed Proposal shall be marked "Original", and its copies marked "Copy" as appropriate. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.

7.3 Consultants must enclosed all the documents as per Annexure 1 & 2 in prescribed formats along with certificate of project experience.

8. The Proposals must be submitted no later than:

Date: 23.12.2021

Time: 15:00 local time

The Proposal submission address is:

**M.N Hoda, General Manager /LA &SEMUEC,
Room No-513, 5th Floor, Corporate Office, DFCCIL,
Supreme Court Metro Station Buldng. Complex, New Delhi (INDIA) – 110001,
Telephone: 011-23454796, E-mail: hoda@dfcc.co.in**

(And Mr. Y.K.Tyagi, GM/Land &PG; email-yktyagi@dfcc.co.in;Tel:- 011-23454694)

8.1 The Proposal must be received to the address indicated received by the Client no later than the specified timelines. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.

8.2 The submission can be done by mail or by hand.

9. Taxes

9.1 All taxes, income tax and any other leviable tax (except GST) in connection with the execution of the contract levied by the statutory Authorities/State/Central Govt. of India/State Govt. or any local authorities on the Consultant in accordance with the applicable law shall be borne by the Consultant and are deemed to be included in their quoted rates. The consultant shall note that the Tax Deduction at Source (TDS) as per applicable law shall be made from the payments due/made to the Consultants and which shall not be reimbursed.

9.2 The GST as applicable shall be reimbursed by DFCCIL on actual production of receipt of deposit. However, Consultant has to mention GST Number in the invoice and amount of GST should be shown separately in the bill.

9.3 Any enhancement of taxes/duties (except GST) by the authorities/Government of India/State Government, during currency of this contract shall be borne by the Consultant only and which shall not be reimbursed by DFCCIL.

9.4 The Consultant will be responsible for taking out any appropriate insurance coverage

10. Additions, Alterations and Variation:

10.1 If the work in full or part is withdrawn by DFCCIL from the scope of work of Consultant then proportionate consultancy fee shall be paid only up-to the stage for which the consultancy work has been completed and the Consultant shall have no further claim whatsoever on this account on DFCCIL.

10.2 The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent

10.3 If any additional work(s) are awarded by DFCCIL, the Consultant shall carry out additional work. However, this will be considered subject to the satisfactory performance of the Consultant and Consultant shall have no further claim whatsoever on this account on DFCCIL.

10.4 No price variation shall be applicable in this contract.

10.5 No mobilization advance shall be applicable in this contract.

11. Performance Security/Guarantee:

No performance Security/guarantee shall be applicable in this contract

12. Commencement of Work:

The commencement of consultancy work will be considered on the day of letter of award of proposed study. The Consultant has to submit inception report within 7 days of letter of award issued by the Client.

13. Schedule of Work & Payment Schedule

The Consultant after award of work by the client , need to submit the deliverable as per schedule mentioned under Scope of Work of Terms of Reference (TOR) without any failure in meeting the scheduled time period. Complete scope of work of study along with payment schedule is mentioned in enclosed Terms of Reference (TOR).

14. Compensation for Delay:

- 14.1 The time allowed for carrying out the work by the consultants as specified in Clause 13 above shall be strictly observed by the Client and shall be deemed to be the essence of the contract on the part of the Consultant. The work shall throughout, the stipulated period of the contract, be processed with all diligence.
- 14.2 In case the Consultant fails to complete the work within the Contract period, liquidated damages @ 1% per week of the total fees subject to a maximum of 10% of the total fees payable shall be levied on the Consultant.
- 14.3 DFCCIL shall be entitled to deduct such damages from the dues that may become payable to the consultant. If the work is held up at site due to non- availability of Key positions, penalty proportionate to the value of the work, which is held up, shall be imposed on the consultant.

15. Termination:

The Client may terminate this Contract with at least ten (10) working days prior written notice to the Consultant after the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause:

- (a) If the Consultant does not remedy a failure in the performance of its obligations under the Contract within seven (7) working days after being notified, or within any further period as the Client may have subsequently approved in writing;
- (b) If the Consultant becomes insolvent or bankrupt;

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- (c) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.

16. Responsibilities for Accuracy of Project Proposals:

- a. The Consultant shall be responsible for the accuracy of the data collected and the reports prepared by him as a part of the project. He shall indemnify DFCCIL against any inaccuracy in the work, which might surface out at the time of ground implementation of the project. In such an eventuality, the Consultant will be responsible to correct the all reports etc. as required without any extra cost implication on DFCCIL.
- b. The Consultant shall fully indemnify the DFCCIL from and against all claims and proceedings for or on account of any infringement of any patent right, design, trade mark or name or other protected rights in respect of any construction plant, machinery work or material used for or in connection with the work or temporary works.

17. Laws and Regulations:

- a) Resolving the disputes: In case of disputes, between Consultant and the DFCCIL, regarding this decision of the General Manager/LA&SEMU, DFCCIL HQ Unit shall be the final and binding.

18. Foreclosure of Contract By DFCCIL:

If at any time after the commencement of the work the DFCCIL shall for any reason whatsoever if required to foreclose the work or is not require the whole work thereof as specified in the proposal to be carried out, DFCCIL shall give notice in writing of the fact to the Consultant, who shall have no claim to any payment of compensation whatsoever on account of any profit or advantage which he might have derived from the work in full, but which he did not derive in consequence of the foreclosure of the whole or part of the works.

19. General:

- I. The Consultant shall supply to the DFCCIL copies of all documents, reports and also other documents as may be required.
- II. The Consultant hereby agree that the fees to be paid as provided herein will be in full discharge of function to be performed by him and no claim whatsoever shall be against the DFCCIL in respect of any proprietary rights or copy rights on the part of any party relating to the plans, models and drawings.
- III. While providing consultancy services, the Consultant shall ensure that there is no infringement of any patent or design rights and he shall be fully responsible for consequences/any actions due to any such infringement. Consultant shall keep

DFCCIL indemnified all the times and shall bear the losses suffered by DFCCIL in this regard.

- IV. All reports shall be the property of DFCCIL. The name and logo of DFCCIL shall be pre-dominantly displayed on all the documents and reports.

PART III

Terms of Reference (TOR)

Environmental and Social Audit: Gap Analysis

and

Environmental and Social Commitment Plan (ESCP)

For

DEDICATED FREIGHT CORRIDOR CORPORATION OF INDIA LIMITED

RAIL LOGISTICS PROJECT

1.0 Introduction

1.1 Background

Dedicated Freight Corridor Corporation of India Limited (DFCCIL) is a Special Purpose Vehicle of the Ministry of Railways (MOR), Government of India for construction, operation, and maintenance of the dedicated freight corridors across the country. The World Bank has been supporting MOR and DFCCIL since 2011 for the infrastructure development of the Eastern Dedicated Freight Corridor (EDFC). The Western and Eastern Dedicated Freight corridors (WDFC and EDFC, respectively) once completed over the next two years, would open possibilities of efficient multimodal transport service delivery. The DFCCIL has been entrusted with developing 6 more corridors over Indian Railways (IR) and leverage ongoing IR initiatives to partner with private sector to develop multimodal infrastructure facilities. Considering MOR's initiatives to involve private sector in both creation of infrastructure assets and infrastructure service provision, DFCCIL, given its independence as a corporation, can set the course for private sector to play a larger role in the rail sector.

As fundamental requirements of the three previous World Bank operations with MOR and DFCCIL, there were E&S instruments developed and approved under the World Bank E&S Safeguard requirement which are currently being successfully applied, namely an Environmental Management Framework (EMF) and a Resettlement Policy Framework (RPF)³.

However, after a global, multisectoral, extensive and lengthy stakeholder consultation process, in 2016 the World Bank updated its E&S Policy and Requirements. Therefore, as part of this transition, any project conceived after October 2018 will no longer apply E&S Safeguards but the new Bank Environmental and Social Framework (ESF)⁴ which includes application of ten Environmental and Social Standards (ESS) that guide the logic behind how the Bank assesses and ensures financed projects can meet Bank's sustainability objectives. These ESS⁵ are:

- a. Assessment and Management of Environmental and Social Risks and Impacts (ESS1);
- b. Labor and Working Conditions (ESS 2);
- c. Resource Efficiency and Pollution Prevention and Management (ESS 3);
- d. Community Health and Safety (ESS 4);
- e. Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (ESS5);
- f. Biodiversity Conservation and Sustainable Management of Living Natural Resources (ESS 6);

³ That would apply to the balance works for EDFC2/3.

⁴ <https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf>

⁵ <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards>

- g. Indigenous Peoples (Tribal) /Sub-Saharan African Historically Underserved Traditional Local Communities (ESS 7);
- h. Cultural Heritage (ESS 8);
- i. Financial Intermediaries (ESS9); and
- j. Stakeholder Engagement and Information disclosure (ESS 10)

Similarly, projects are classified according to E&S risks and expected impacts, but instead of using previous Safeguard A, B or C E&S categorization, the ESF requires operation to be assigned an Environmental and Social Risk (ESRC) Classification as High, Substantial, Medium or Low, to add more granularity to the assessment, approval conditions, and supervision process.

The Rail Logistics Project has been assigned a High ESRC. Therefore, E&S impact and risk assessments and management will need to be conducted in line with legal and regulatory framework of Government of India (GoI) as well as the new World Bank's Environmental & Social Framework (ESF). Based on preliminary assessment, all Environment and Social Standards (ESS) are deemed relevant, except ESS9, as there is no involvement of Financial Intermediaries envisioned.

1.2 Project Description

The development objectives of this proposed Rail Logistics Project are (i) to enhance green multimodal logistics service along the EDFC and (ii) to develop institutional capacity of DFCCIL and MOR to deliver commercially sustainable rail infrastructure and freight transport services. Specifically, the project will achieve its objectives by providing finance and technical assistance under the following components or pillars:

1. Pillar 1: Infrastructure to deliver multimodal logistics services including both rail track and rail-linked terminals. This pillar involves:
 - a. *Completing the Eastern Dedicated Freight Corridor*: This would include the remaining activities of design, construction, and commissioning of the Khurja – Ludhiana section and Kanpur Mughalsarai section of the EDFC. The financing of these activities was partially supported under EDFC3, the last Bank-financed project to this Client following E&S Safeguards. EDFC3 is expected to close in March 2022, and therefore any remaining works will be finalized under this Project.
 - b. *Creating last mile connectivity of DFCCs*: This would include terminal facilities and connecting tracks. Design, construction, and commissioning of last mile connectivity of freight corridor to multimodal logistics terminals on the DFCC.
2. Pillar 2: Institution Capable of Delivering Customer-oriented Infrastructure and Services. It would continue development of DFCCIL/IR's institutional capacity to provide rail freight connectivity and multimodal logistics service. Identified critical areas of support include having operational, commercial, and financial plans and having staff trained to deal with the emerging nature of business including E&S risk management.

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3. Pillar 3: Mobilization of Private Capital to deliver creation of tracks, terminals, and run multimodal rail services.

1.3 Assignment Objectives

In line with the requirements of the World Bank's ESF, DFCCIL now wishes to engage a Consulting Firm (hereafter named "the Consultant") for the preparation and/or update of E&S framework, plans, and other relevant instruments required to address/manage the Rail Logistic Project's E&S risks and impacts in compliance with the Bank's ESF. This is expected to result in the development of an environmentally & socially sound and sustainable rail logistic system which continues to contribute for India to meet its environmental & social development goals. This shall involve upgrading the Client's mechanisms for assessing and monitoring the environmental and social risks and impacts of the Project throughout the project life cycle, including management of any potential environmental and social liabilities from existing operations.

The Consultant will need to:

- (a) Conduct an E&S Audit: Gap Analysis between existing ESMF and RFP, E&S Policies and Practices currently applied by DFCCIL and MOR vis-à-vis the requirements under the ESF and relevant ESSs, and
- (b) Based on E&S Audit develop an Environmental and Social Commitment Plan (ESCP) for the Rail Logistics Project to correct identified gaps, outlining the milestones / instruments required prior to consideration of the World Bank Board for approval, effectiveness, and during project implementation.

In addition to the E&S Audit: Gap Analysis and the ESCP, the Consultant will also be required to:

- (c) Prepare the Project's:
 - (c.1) Stakeholder Engagement Plan (SEP), that presents a list of potential stakeholders for all project activities, besides strategies for information disclosure, communication, and engagement mechanisms with citizen and all stakeholders – segregated by three categories Affected Persons, Other Interested Persons, and Disadvantaged and Vulnerable Groups. SEP should briefly describe the grievance redressal mechanism for the project, and
 - (c.2.) Labor Management Procedure (LMP) which per ESS2 shall include, but not be limited to:
 - (i) Human Resources Policies and Procedure – covering among other aspects prohibition of any kind of child and/ or forced labor, or discrimination based on religion, gender, age, sexual preferences, or any other socio-economic

characteristic; and full respect of the ILO Fundamental Principles and Rights at Work⁶; and

(ii) Occupational Health and Safety (OHS) Policies and Procedures.

(d) And to update the existing:

(d.1) Resettlement Policy Framework (RFP) and

(d.2) Environment and Social Management Framework (ESMF)

The Consultant shall:

- Undertake a desk review and consolidation of existing E&S frameworks, policies, and practices to assess if these adequately cover the aforementioned ESS, identify shortcomings / areas of improvement at the Corporate Level and sub-project specific follow-on requirements and mitigation measures, including detailed guidance on how to prepare ESAs and consequent ESMPs for any new sub-projects under consideration by the Rail Logistics Project.
- Provide clear and concrete actions needed, with sufficient guidance, to fill the gaps identified and demonstrate conformance with the ESF/ESS;
- Develop an Environmental and Social Commitment Plan (ESCP) that summarizes the actions that must be taken by the Client to ensure the Project meets all applicable requirements; and
- As required by the Client, prepare an additional / complementary E&S instruments to fill the gaps identified, following the ESCP guidance / timeline and in conformance with the ESSs. The latter may involve preparation of specific sub-project's E&S instruments such as Resettlement Action Plans (RAP), Security Management Plans (SMP), Sexual Harassment and Gender-based Violence Prevention Plan (SH/GBV), Biodiversity Management Plans (BMP) and/or Indigenous and Vulnerable Peoples Management Plans (IPMP), to name a few.

Work undertaken by the Consultant should be based upon the World Bank E&S Standards as a framework of good international industry practice (GIIP). GIIP is defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.

As noted above the World Bank ESS establish the requirements for environmental and social risk management of projects and are directed towards clients, providing guidance on how to identify risks and impacts, and are designed to help avoid, mitigate, and manage risks and impacts as a way of doing business in a sustainable way, including stakeholder engagement and disclosure obligations of the client in relation to project-level activities.

⁶ <https://www.ilo.org/declaration/lang--en/index.htm>

The ESS reference other GIIP, such as the World Bank Group Environmental, Health and Safety Guidelines and also include as a requirement, compliance with applicable national law, including those laws implementing host country obligations under international law.

Annex A provides a list of standards that should be considered when conducting the E&S Audit: Gap Analysis.

2.0 Scope of Work

The Consultant should undertake the audit / gap analysis following the general structure presented below.

- 2.1 Documentation Review:** The Consultant will conduct a review of all relevant environmental, social, labor, occupational health and safety documents and information (e.g., environmental impact assessments, environmental licenses and associated studies and applications) and subsequent to the Site Visit, review of any additional information obtained or collected.

In order to perform the audit and determine the gaps, the consultant will need to rely upon information that is publicly available, and which has been developed by the Client. Therefore, the consultant should request the necessary documentation for review from the Client in coordination with Bank. **Annex B** presents a typical document request list.

- 2.2 Site Visit:** A site investigation will be performed consisting of visual observation of relevant areas directly and indirectly affected by the Project, meetings with relevant individuals/entities associated with the Project to discuss the environmental and social issues and obtain any additional information required. The Consultant should assume the site reconnaissance will include [*insert estimated number*] technical specialists (with the skills and experience necessary to address the environmental, social, health and safety and labor aspects of the Project) and will last approximately [*indicate number*] days.

- 2.3 Inception stage:** At this stage, the consultant shall familiarize with the project details. Specifically, the Consultant shall:

- Study the available project information – ESMF, RFP, EIAs, ESMPs, RAPs, CIA to appreciate the context within which the framework and plan documents need to be carried-out;
- Identify the sources of secondary information on the project and on the project area;
- Take cognizance of existing state and national's social and environmental acts, rules and regulations, the Consultant shall review environmental and social legal requirements set forth per

local regulations to assess their applicability to the project during its entire cycle (pre-construction; construction stage e.g. labor laws and O&M phase). The permissions and clearances required shall be listed beforehand for implementation of the Project and any sub-projects.

- Review the WB ESF 2016 and understand the scope of each Environment and Social Standard (ESS) and requirements there in.
- Understand / review any E&S Audit of the ongoing works in EDFC3 and status of the corrective actions, if any. This will cover inter-alia, review of reports from PMC, SESMRC and QSAC to the extent relevant to the ES standards. Interviews will be conducted with key stakeholders virtually and in the field. Field visits will be undertaken to salient locations where work is on-going to confirm extent to which ESF requirements are being met in the field. Existing corrective action plans, if any, will be assessed to ensure they include clear timelines, deliverable / KPIs, and responsibilities. Any gaps, liabilities or significant delays will be identified and reported.
- Collect broad socio-economic profile of the direct and indirect Project's area of influence from review of relevant secondary literature.
- Collect information on the existing environment & social setting from authentic secondary sources, and identify gaps to be filled, relevant to the environmental & social screening needs from primary surveys.
- Carry out preliminary identification of stakeholders, categorize these stakeholders into: affected persons, other interested persons, and/or disadvantaged and vulnerable persons/groups; and also document previous history of consultations.

2.4 E&S Audit: Gap Analysis and Environmental and Social Commitment Plan (ESCP): The E&S Audit: Gap Analysis will:

- assess existing institutional capacity and structure of DFCCIL to deal with overall project's E&S aspects as well as currently firm plans for its (increased) responsibilities; current levels and modes of engagement with various stakeholders; availability and access to grievance redressal mechanisms for communities to seek redressal, etc. Based on this assessment, Consultant shall identify and recommend commensurate mitigation measures in the form of in house capacity enhancement, external support in the form of PMC; contracting/hiring of E&S staff; training and capacity building measures, etc.

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- Undertake desk review of previous Social and Environmental Compliance Reports for previous Bank operation with the same Client (from PMC and SESMRC, QSAC);
 - Cover both, activities currently underway with this Client as well as those programmed as part of the Rail Logistics Project.
 - Determine the adequacy of the Cumulative Impact Assessment (CIA) performed by DFCCIL in 2016 to cover the EDFC 1, EDFC 2 and EDFC 3. Given the current configuration of the project, the consultant shall identify activities with likely cumulative impacts under the Project that may not have been covered under the 2016 CIA. The consultant shall confirm that the findings are valid and update where there are substantial changes. The main objectives of this study are to: (i) validate the potential impacts and risks of a proposed and other developments over time on a chosen Valued Environmental Component (VECs), (ii) confirm that the proposed developmental value and feasibility are not limited / jeopardized by the potential cumulative social and environmental impacts it may cause, (iii) verify that the proposed development's cumulative social and environmental impacts and risks will not exceed a threshold that could compromise the sustainability or viability of selected VECs, (iv) support/strengthen the development of governance structures for making decisions and managing cumulative impacts at the appropriate geographic scale (e.g., airshed, river catchment, town, regional landscape); and (v) manage potential reputation risks. The Consultant shall engage with the stakeholders, including project proponents, relevant government departments, local NGOs etc., to estimate the magnitude and significance of such impacts within the Project area. The Consultant shall prepare recommendations to ensure that these cumulative impacts are managed in line with the requirements of ESF as well as with applicable requirements at the central, state, or local levels. For this deliverable, the consultant will review and use from relevant reports such information as may already be available for the assessment of cumulative impacts.
 - Identify deviations from existing requirements as per the currently approved instruments and guidance developed under Safeguards.
 - Highlight any gaps between existing E&S policies and practices and the requirements under each relevant ESS.
 - Present these gaps to the Client and the Bank.
 - Develop and agree with the Client and the Bank an achievable ESCP to ensure the Project will fully comply with all relevant ESSs within a reasonable period of time; and

- Provide detail guidance to the Client on how to prepare / execute the actions described and agreed under the ESCP.

2.5 Stakeholder Engagement Plan (SEP)

- Identify modes for stakeholder engagement and information disclosure: Revise the preliminary stakeholder analysis undertaken at inception stage. The Consultant shall identify modes, frequency, and mechanisms for holding consultations with the identified set of stakeholders. Also, the consultant shall identify types of information that needs to be disclosed by DFCCIL, mechanisms for dissemination and the duration within which feedback is provided and feedback loop is completed.
- Hold consultations with stakeholders: Undertake consultations with stakeholders such as local government, associations, who could play a role in the project implementation process (including R&R). Carry out meaningful consultations as outlined under ESS 10 with each stakeholder category having positive/negative influence on the outcomes. It shall record and analyze people's perception of the project, its adverse impacts, and minimum acceptable mitigation measures. As part of this process, disadvantaged and vulnerable groups will be identified and separate focused group discussions (FGDs) with such groups including women will be held.
- Assess existing Grievance Redressal Mechanism (GRM) and procedures: Assess existing grievance redressal mechanisms (as already utilized by DFCCIL in its various other corridor projects) in terms of: (i) whether it is accessible to all different stakeholders en-route the various corridor; (ii) if there is evidence of GRM mechanism receiving grievances in other corridors; (iii) nature of grievances received; (iv) time taken to resolve grievances; (v) if there is an escalation provision of grievances to next level for redressal; and (vi) identify measures to strengthen existing GRM.
- Based on the above actions, the Contractor shall prepare a Stakeholder Engagement Plan (SEP) **(See Annex H for TOC).**

2.6 Labor Management Procedures (LMP): In accordance with ESS2, the consultant shall develop and implement written labor management procedures applicable to the Project. These procedures will set out the way in which project workers will be managed, in accordance with the requirements of national law and this ESS. It will cover the following aspects: (i) provisions on the treatment of direct, contracted, community, and primary supply workers; (ii) requirements on terms and conditions of work, non-discrimination and equal opportunity and workers organizations;

(iii) provisions on child labor and forced labor; (iv) requirements on Occupational Health and Safety (OHS), in keeping with the World Bank Group's Environmental, Health, and Safety Guidelines (EHSG); (v) grievance mechanism for these workers; and (vi) estimate the total number of workers including contracted and migrant workers, the skill requirement and timing and the associated risks and the facilities to be provided as per the World Bank Group occupational health and safety guidelines' requirements. It will also highlight considerations adopted in each of the above of the aspects in respect of COVID pandemic⁷. Based on the above considerations, the Contractor shall prepare a Labor Management Plan (See Annex I for TOC). The Consultant shall also prepare a detailed management plans with specific actions to be taken by the contractors and sub-contractors with regard to working conditions and management of workers, management of chemical, hazardous and non-hazardous material/waste, noise, occupational health and safety of workers and community, labor influx (workers accommodation, HIV/ AIDS prevention etc.) and other key impacts under contractors' control.

2.7 Update of Resettlement Policy Framework: The existing Resettlement Policy Framework will be updated by taking into account the experiences and lessons learned. It shall also clarify on how additional impacts, liabilities and/or legacy issues, if any, are to be encountered during implementation of unfinished civil works carried forward into this new Project.

2.8 Update Environment and Social Management Framework (ESMF): Based on the outcome of the E&S audit and gap analysis, the Consultant shall:

- update Legal and Institutional Framework and Implementation Experience: the Consultant shall review and assess applicability of existing national and state's laws relating to Environmental and Social issues as well as the institutional framework relevant to environmental and social aspects.
- make suitable recommendations for addressing the gaps identified above, in accordance with the requirement of each relevant ESS.
- redraft the updated ESMF as per the outline provided in Annex G, and include, inter-alia, guidance for undertaking ESIA – and/or any other relevant E&S instrument- for the sub-projects as these get identified. The ESMF will also include guidance for incorporating into sub-projects ESMP measures specifically targeted to address their contribution to cumulative impacts.

2.9 Additional Consultant Tasks

The Consultant will be responsible for completing the tasks and fulfilling the objectives set out in these Terms of Reference. The Bank and the Client will provide reasonable support when required to facilitate the smooth execution of the E&S Audit: Gap Analysis, completion of the recommended ESP and other required instruments.

The Consultant will be responsible for interpretation and translation requirements, including translating relevant documents or ensuring they are reviewed by appropriately qualified speakers/readers. Relevant Bank and Client records will be made available for review and (as needed) selected copying. These records have not been fully confirmed, but could include design reports, screening documents, permits, monitoring results, consultation records, etc.

- **Public Disclosure:** The Consultant will support DFCCIL for in-country disclosure, specifying the timing and locations; translate the key documents, such as the executive summary of Environmental and Social Impact Assessment, Environmental and Social Management Framework, CIA and relevant mitigation plans such as SEP, RAP, BMP, etc. or any other documents in local language.

The draft frameworks and plans should also be available in a public place accessible to affected groups and local NGOs for appropriate consultation such as the District offices of the district that lie en-route the corridor to solicit feedback. Relevant materials will be provided to affected groups in a timely manner prior to consultation and in a form and language that is understandable and accessible to the groups being consulted. The Consultant should maintain a record of the public consultation and the records should indicate, means other than consultations (e.g, surveys) used to seek the views of affected stakeholders; the date and location of the consultation meetings, a list of the attendees, and their affiliation and contact address; a video of the consultation workshop and summary minutes.

- **Environment, Social, Health and Safety Requirements for Bidding Document:** Based on the special environmental clauses (SECs) prepared as above – which need to be included in the Bidding documents - the Consultant shall prepare detailed specifications for environmental, social, health and safety (ESHS) requirements for the bidding documents. These would also cover DFCCIL's ESHS policies that will apply to the Project, minimum requirements for bidder's code of conduct, and requirement of

contractors ESHS staff and other aspects identified as relevant to civil works.

- **Coordination and Assistance to DFCCIL:** The Consultant will coordinate with the Client, the World Bank, Indian Government, State Government & Local concerned bodies, and the technical and engineering design consultant as well as legal council hired by the Client to ensure fulfillment of the Scope of Work requirements as outlined above. The Client will facilitate initial contacts with each agency and should be invited to all subsequent meetings so that they have the opportunity to attend. The Consultant will furnish any relevant information required for obtaining clearance from various state and central government agencies

3.0 Deliverables and Reporting

The assignment covering the entire Scope of Work is to be completed in a period of five months (5 months) from the Date of Letter of Acceptance by the Consultant (D), as per the following schedule:

S. No.	Activity to be performed	Time schedule
1	Submission of an inception report covering Consultant's understanding of the scope of work, proposed methodology, E&S screening, resources to be deployed for carrying out the complete scope of work, work plan in the form of bar chart etc. and approval of the same by the Employer	D + 7 days
2	Submission of E&S Audit: Gap Analysis Report–desk and field work based ⁸ Draft Environmental and Social Commitment Plan (ESCP)	D + 45 days
3	Submission of Draft SEP, LMP, updated RPF, and final ESCP,	D + 75 days
4	Submission of Draft ESMF and any other framework documents or instruments determined by the ESCP (e.g. TDF, BMO, etc).	TBD (D+120)
5	Submission of the Final Report after incorporating the comment, suggestion of the employer & WB	TBD (D+150)

⁸ **Annex C** presents a proposed outline for the Gap Analysis Report and **Annex D** presents a proposed gap analysis tabular form and a Gap Analysis Tool (**MS Excel**).

The Consultant should include recommendations covering the proposed actions to fill the gaps associated with any major deficiencies/issues identified in the Project and mechanisms and timing to achieve full alignment / compliance with the relevant ESS.

The Draft Environmental and Social Commitment Plan (ESCP) should describe the recommended actions identified in a tabular format for completion by the Client in coordination with the Bank, including action description, time-frame, responsibility, and estimated budgets. The actions proposed should be very specific and clear as to what is required to align with the applicable standards. General actions, such as implement a management system aligned with ESS1, does not provided the Client with clear steps or understanding. As this is the first time for the Client to be subjected to the ESF they do not have as much familiarity with the ESS and therefore it is the Consultant's role to help craft a thoughtful and realistic path to alignment. **Annex E** presents a proposed ESCP table.

Only on approval of the final Report plan by the employer the work shall be considered as completed. For each report, if required by the employer, the Consultant shall arrange for the presentation to the employer and incorporate the comments of employer/employer's experts in its report and re-submit the reports.

4.0 Consultant Qualifications

The Consultant is expected to demonstrate the range of qualifications, skills, knowledge, and experience to effectively conduct the E&S Audit: Gap Analysis and design the ESCP, including:

- Previous experience and working familiarity with the World Bank ESF / ESS;
- Host country-specific resource knowledge and experience;
- Past experience in railways and/or similar industry sectors;
- A multidisciplinary team of professionals trained in applicable fields of study, such as in environmental engineering, environmental sciences, biology, geology, social sciences, civil engineering, and/or archaeology;
- The project manager is required to have a minimum of 15 years of relevant experience conducting gap analysis in similar projects;
- For international consultants, association with host country specialists is encouraged unless the international consultant can demonstrate significant host country knowledge and experience.
- Qualifications for all proposed staff must include relevant technical capabilities, specific previous project experience similar to this Project, specific country/ regional experience and language skills.

The suggested key positions and their minimum qualifications and suggested time inputs are below:

-
1. **Team Leader (5 months):** The Team Leader shall have a post graduate degree in a relevant field (Environmental or Social) with experience of at least 15 years. S/he should have undertaken at least 5 ESIA's for multilateral funding agencies with at least 1 in Team Leader position. Preference will be given to hands-on experience of delivering ESIA conforming to the ESF.
 2. **Environmental Expert (5 months):** The Environmental Expert shall have a post graduate degree in a related field (Environmental Science, Engineering or Technology) and at least 15 years of working on Environmental Impact Assessment, including cumulative strategic and/or regional assessments. S/he should have led the preparation of environmental aspects and documentation of at least 5 projects independently. Experience of working in the project area will be an advantage. Preference will be given to hands-on experience of delivering ESIA conforming to the ESF
 3. **Resource Efficiency and Sustainability Specialist (2 months):** The Resource Efficiency and Sustainability specialist will have an advanced degree in environmental engineering / science and at least 10 years of experience of monitoring and modelling pollution pathways. S/he should have hands on experience of improving efficiency of resource use, including water, energy, light, etc. in industrial/public building settings. Working on Rail projects will be an advantage.
 4. **Social Expert (5months):** The Social Expert shall have a post-graduate degree in a related field (Social Development, Anthropology, or Social Work) and at least 15 years of working on Social Impact Assessment of development projects. S/he should have led the preparation of social aspects and documentation (including RAP) of at least 5 projects independently. Experience of working in the project area will be an advantage. Preference will be given to hands-on experience of delivering ESIA conforming to the ESF.
 5. **Communication/Stakeholder engagement expert (3 months):** The Consultation / Stakeholder Engagement expert will have an advance degree in development related aspects with at least 15 years of experience in Development Communication, including stakeholder identification and engagement. S/he should have undertaken stakeholder identification and interaction as well as consultation in an urban/peri-urban setting for at least 3 projects with multilateral funding support. Working on linear projects would be an advantage.
 6. **Railway Expert (2 months):** The Railway Expert will have a relevant post-graduate degree in Engineering/Planning of Railways with at least 15 years of experience of infrastructure building. S/he should be able to guide the team on various technical aspects of project components, including forms of contracting, types of facilities supported. Previous work in the project area will be an advantage.
 7. **Health and Safety Expert (2 months):** The Health and Safety Expert will have post graduate degree in Safety related aspects with at least 15 years of experience of large infrastructure projects. S/he should have undertaken safety audits for

linear infrastructure project implementation in at least 3 projects. Preference will be given to work encompassing both worker and community safety experience. Previous work in the project area will be an advantage.

8. **Gender Expert (2 months):** The expert should have a master's degree in social sciences with 7 to 10 years' experience. S/he should have undertaken gender studies in urban/semi-urban settings independently or as part of social assessments. Previous experience of working on linear projects would be an advantage

5.0 Duties and Responsibilities of the Consultant

The Consultant shall initiate in consultation with DFCCIL, and actively pursue and involve itself in all investigations and enquiries, consultations, studies, collection and compliance with pertinent information and data, convening of and attendance at meetings, and in any other activities as are or may be necessary for completing the assignment and submission of reports, documents to the specified requirements.

The Consultant shall carry out the Services in accordance with its own methods, in compliance with the provisions of the Agreement. Any and all changes necessary to ensure that the Consultant's documents conform to the intent and purpose set out in the Agreement, shall be made at the Consultant's own expense.

The Consultant represents that it is a professional and experienced consultant providing full consultancy services, and hereby agrees to bear full responsibility for the correctness and technical merit of the services performed.

6.0 Existing data available with the Employer

DFCCIL shall provide to the Consultant copies (hard or soft form as available) of all earlier relevant reports as required.

7.0 Standard of Services

- 7.1 General: The Consultant shall be responsible for the correctness and merits of its submissions. The Consultant shall ensure that qualified and experienced professionals are employed in sufficient number and that accurate, consistent, clear and easily read documents are produced in time.

Various documents shall be submitted by the Consultant in a timely manner so as to give sufficient time for review and approval. All the documents provided by the Consultant shall be issued under the signatures of its authorized signatory.

- 7.2 Responsibility: Notwithstanding approval/acceptance by the Employer, the Consultant shall remain responsible for the quality and correctness of the documents submitted by the Consultant.

8.0 Payment Schedule

The payment shall be made as per the following payment schedule

S No	Activity to be performed	Payable % of total accepted lumpsum price
1	Submission of E&S Audit: Gap Analysis Report – desk and field work based ⁹ Draft Environmental and Social Commitment Plan (ESCP)	15%
2	Submission of Draft SEP, LMP, updated RPF, and final ESCP,	20%
3	Submission of Draft ESMF and any other framework documents or instruments determined by the ESCP (e.g. TDF, BMO, etc).	20%
4	Submission of the Final Report after incorporating the comment, suggestion of the employer & WB	45%

⁹ **Annex C** presents a proposed outline for the Gap Analysis Report and **Annex D** presents a proposed gap analysis tabular form and a Gap Analysis Tool (**MS Excel**).

Annex A – Environmental and Social Standards

Good International Industry Practice (GIIP) is defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally. Below is a list of most widely used GIIP that the Consultant would be expected to apply during the E&S Audit: Gap Analysis¹⁰.

- [World Bank 2016 Environmental and Social Framework \(ESF\)](#)
- [World Bank 2016 Environmental and Social Standards \(ESS\) and Guidance Notes \(GN\)](#)
- [IFC 2012 Performance Standards on Environmental and Social Sustainability and Guidance Notes:](#)
- [World Bank Group Environmental, Health and Safety General Guidelines](#) (“WBG EHS General Guidelines”),
- [WBG Industry Sector EHS Guidelines](#)
- [IFC Good Practice Note: Managing Retrenchment](#)
- [IFC Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets](#)
- [IFC Good Practice Guidebook on Stakeholder Engagement](#)
- [IFC Good Practice Note on Addressing Grievances from Project Affected Communities](#)
- [IFC Good Practice Note on Addressing Child Labor in the Workplace and Supply Chain](#)
- [IFC Good Practice Note on Addressing the Social Dimensions of Private Sector Projects](#)
- [IFC Good Practice Note on HIV/AIDS in the Workplace](#)
- [IFC and EBRD Good Practice Note on Workers Accommodation](#)
- [IFC Projects and People – A Handbook for Addressing Project-Induced In-Migration](#)
- [IFC Handbook for Preparing a Resettlement Action Plan](#)
- [IFC Environmental and Social Management System Implementation Handbook](#)
- [IFC Doing Better Business Through Effective Public Consultation: A Good Practice Manual](#)
- [UN Declaration on the Rights of Indigenous Peoples](#)
- [ILO Convention 169, Indigenous and Tribal Peoples Convention](#)
- [ILO Fundamental Principles and Rights at Work](#)
- [UN Voluntary Principles on Security and Human Rights](#)
- Applicable requirements of the host country, including, but not limited to, those related to environmental impact assessment, environmental permitting, labor, public consultation, resettlement and compensation, occupational health and safety, community health and safety, and emergency response;
- Relevant international treaties to which the host country is a signatory;

¹⁰ Note: This is not a comprehensive list and should be expended by the Consultant based on the applicable guidelines and standards for a specific project.

Annex B - Typical List of Document Request

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

- Current ESMF and ESMPs
- ESIA's / CIA's / SEA and Alternatives analysis studies
- Existing Audits and Corrective Action Plans
- Management plans
- Organizational Structure
- Environmental and Social management system (ESMS)
- Stakeholder Engagement mapping and Management Plans
- External Communication materials
- Consultation and disclosure documentation
- Records of grievance mechanism
- Routine internal and external E&S reports
- Emergency Preparedness and Response Plans
- Concession and contractor contracts
- Contractor management plans
- Any other additional environmental, social, health, and safety studies

ESS2 Labor and Working Conditions

- Occupational Health and safety plans
- HR policies
- Labor contracts
- Collective bargain agreements
- Training materials and records

ESS3 Resource Efficiency and Pollution Prevention

- Specific resource assessment / saving or efficiencies measures
- Specialist studies, models, evaluations
- Specialized measures for emissions and waste
- Integrated Pest and Pesticide Management Plan

ESS4 Community Health, Safety and Security

- Security contracts / Security Risk Assessments / Security Management Plans
- Traffic management plans
- Public Health Assessment

ESS5 Land Acquisition and Involuntary Resettlement

- Land acquisition process and records
- Resettlement Action Plan
- Influx Management plans
- Compensation records for physical and economic displacement

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

- Lists of endangered species
- Critical Habitat Assessments
- Biodiversity Action Plans / Biodiversity Management Plans
- Specific plans for protected areas
- Ecosystem services assessment

ESS7 Indigenous Peoples

- FPIC documentation
- Specific plans and procedures for Indigenous People
- IP-specific grievance mechanism

ESS8 Cultural Heritage

- Cultural heritage studies and reports
- Chance find procedure
- External communications plans

ESS10 Stakeholder Engagement and Information Disclosure

Annex C – ES& Audit: Outline for the Gap Analysis Report

1. Executive Summary
2. Project Description
3. Company Description
4. Objectives and Scope of Review
5. Identification of applicable ESS
6. Summary Current Status / Environmental, Social, Labor, Occupational Health and Safety, Security Existing Conditions.
7. Summary of environmental and social impacts and mitigations
8. Summary of management plans and management system
9. Conclusions and Recommendations: Summary of Key Gaps identified
10. Tabular Assessment against ESS [*Please refer to **Annex D** for Gap Analysis Table*]
11. Environmental and Social Commitment Plan [*Please refer to **Annex E** for ESCP Table*]
12. References
13. Appendices

Annex D ESS Gap Analysis Table

Below is an indicative table format to present the gap analysis assessment.

Reference	Requirements	Findings	Gap
E&S Standard			
ESS and Paragraph numbers and titles	Indicates the specific ESS requirement (or requirement of other applicable standard)	Indicate the finding associated to the requirement. This should be a brief description of how the project aligns with GIIP, using the ESS and other standards as the reference framework. The findings should briefly describe the evidence presented by the project Sponsor that demonstrates how the specific requirement will be met throughout the life of the project. The finding can be divided in phases (e.g., planning, construction, operation, decommissioning).	Where the requirement is not met by the Project, indicate the specific gap that needs to be filled in order to adequately conform to the performance standards.

Annex E Environmental and Social Commitment Plan

Item #	Reference	Action Item	Indicator of completion	Completion date	Responsibility	Estimated Cost
1	ESS1 Para. 1 (this reference should correlate with the reference in the Gap Analysis table)	Include a brief, concrete and clear description of the action(s) that need to be undertaken to fill the gap and reach conformance with the requirement.	Include specific deliverable(s) that are auditable and measurable and that will be supported with evidence.	Indicate the specific date(s) associated with the action item. These dates should be associated with a project milestone (e.g., 60 days prior to construction completion).	Indicate the company(ies) and individual(s) responsible for the delivery of the action item.	Indicate an estimated cost for the development and implementation of the action item. The Bank and Client will agree on a threshold above which this estimation needs to be considered.
2						
3						

Annex F General Environmental and Social Issues to Review in the Gap Analysis

Below is generic questionnaire or checklist to be considered when conducting the gap analysis based on IFC. The tabular questions below using IFC PS paragraphs, intends to illustrate methodology and allow the Consultant to follow a similar approach and determine the Project's alignment with the requirements of the WB ESS and GIIP. Please refer to the Gap Analysis Tool (**MS Excel**), which also uses IFC PS. The Gap Analysis Tool should be customized and/or expanded to include ESS and any relevant host country regulations.

The questions below should assist and guide the Consultant in assessing the Project's conformance with the ESS. As part of the Gap Analysis review, the Consultant should seek documented evidence to support the analysis.

A. General Information	PS : Para	Yes
1. Location information, using maps as appropriate, including the names and approximate sizes and proximity to the project of any affected communities / villages / residences.		
2. List any E&S factors that have influenced site selection or technology choice for the project.		
B. Environmental and Social Management System (ESMS)	PS : Para	Yes
1. Does the company/project have an ESMS in place?	1	
2. Does the ESMS incorporate the following elements:	1:7	
a) An overarching E&S policy that defines the company/project's E&S objectives and principles?	1:6	
b) A process for identifying the E&S risks and impacts of the project? (see Section C)	1:7-12	
c) A management program that describes mitigation and performance improvement measures for the identified E&S risks?	1:13-16	
d) An organizational structure that define roles, responsibilities and authority to implement the ESMS?	1:17-19	
e) An emergency preparedness and response system? (see Section D)	1:20-22	
f) Stakeholder engagement processes	1:26-35	
g) Procedures to monitor the effectiveness of the management program (including compliance with any related legal, contractual, and regulatory requirements)?	1:22-24	
3. Are periodic performance reviews of the effectiveness of the ESMS (based on systematic data collection and analysis) conducted?	1:36	
4. Provide company/project EHS, Labor or OHS Policies, and summarize any proposed or existing E&S management systems, including certification status if applicable.		
C. Identifying Environmental & Social Risks and Impacts	PS : Para	Yes

1. Has then been a review of relevant plans, studies, or assessments prepared by government authorities or other parties regarding the project and its area of influence?	1:11
2. Will disadvantaged or vulnerable individuals or groups be either directly or disproportionately affected by the project? If yes:	1:12
a) Has the client proposed or implemented measures so that impacts do not fall disproportionately on these individuals or groups?	1:12
3. Are there risks and impacts in the project's area of influence which are caused by third party actions? If yes:	1:9
a) Has the client taken steps to address those risks and impacts?	1:9
4. Has the client evaluated the risks and impacts to the health and safety to its workers?	2:23
5. Has the client considered resource efficiency and pollution prevention measures as described in PS 3?	3
a) Provide all available GHG emissions data for the project (e.g., avoided emissions per annum)	
6. Has the client evaluated the risks and impacts to the health and safety to the Affected Communities during the project life-cycle?	4:5
a) If the client will require security, is this described in detail, including:	4:12-14
a. Use of public versus /private security personnel, whether or not personnel will be armed, name of provider(s) if available, and number of personnel to be/being deployed?.	
b. A description of the screening process, rules of hiring, rules of conduct, training, equipping and monitoring personnel; and whether these processes are aligned with good international practice, such as the United Nation's (UN) Code of Conduct for Law Enforcement Officials, and UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials.	
c. A description of process for investigation of allegations of abusive or unlawful acts by security personnel.	
b) Have the risks of accidents and injuries associated with transportation and/or construction activities that could affect public safety been evaluated?	4:6
c) Have air contaminates, including particulate matter, resulting from construction activities and project transportation been assessed for potential acute and chronic health effects for nearby communities?	4:7
d) Is there an assessment of potential water and sanitation-related health effects (e.g., water- or food-borne diseases, food insecurity) that could result from:	4:8-9
a. reduction in the availability or access to community water resources (surface or groundwater) from water extraction, diversion or impoundment	
b. degradation of water quality of community water resources (used for drinking water, irrigation) due to land clearing and stormwater runoff	
c. creation of inadequate housing conditions for workers and/or low-income residents (e.g., overcrowded mobile home parks) that can facilitate infectious disease outbreak.	
e) Have potential impacts to infectious disease transmission and incidence been assessed, including:	4:9

a.	Are there new roads that facilitate human and animal pest migration in ways that can increase the transmission of new and existing infectious diseases?	
b.	Are there any significant project changes to the natural hydrologic regime (dams and irrigation) that could increase community exposure to water-related and vector-related diseases?	
c.	Could land disturbing activities inadvertently create pools of standing water that increase vector-breeding sites?	
d.	Will there be an influx of temporary or permanent workers that spend time in the communities?	
f)	Has the client assessed potential community safety-related risks resulting from land use changes or diminution or degradation of natural resources (e.g., the loss of natural buffer areas such as wetlands, mangroves, and upland forests) that mitigate the effects of natural hazards such as flooding, landslides, and fire?	4:8
g)	Have impacts on priority ecosystem services that may be exacerbated by climate change been assessed for potential impacts to community health and safety?	4:8
h)	Has the client assessed potential for community exposure to any hazardous materials in the event of a spill or leak during transportation, storage, or disposal?	4:7
7.	Will the project result in unavoidable physical/economic displacement? If yes:	5
a)	Has a Resettlement Action Plan (for the physically displaced) been developed?	5
b)	Has a Livelihood Restoration Plan (for the economically displaced) been developed?	5
c)	Describe past and current land use of the project site and summarize the status of land acquisition, i.e. how much land (public vs private), acquired from whom, summarize compensation payments, describe any pending legal issues or complaints related to land acquisition.	5
d)	Describe any economic and/or physical displacement associated with the project and provide any associated planning documentation, e.g. Resettlement Action Plan, Livelihood Restoration Plan, or equivalent.	
8.	Are there communities of Indigenous Peoples within the project area of influence who may be affected by the project? If yes:	7
a)	Are the requirements of PS7 being fulfilled?	7
b)	Describe any Indigenous Peoples within the project area of influence who may be affected by the project (name, number, location/type of impact).	7
9.	Will the project result in impacts to cultural heritage? If yes:	8
a)	Are the requirements of PS8 being fulfilled?	8
b)	Describe any impacts on cultural heritage such as grave/burial sites, archaeological (prehistoric) sites, sites with historic cultural, artistic and/or religious values. List any provisions for managing subsequently discovered cultural heritage.	8
10.	Will the project cause direct or indirect impacts on biodiversity and ecosystem services? If yes:	6
a)	Are the requirements of PS6 being fulfilled?	6
b)	Has a Biodiversity Action Plan been established?	6
c)	Has a systematic review of priority ecosystem services been conducted?	6:24

- d) Provide a brief site characterization, i.e. main habitat type(s) impacted, whether habitat is natural or modified. 6
- e) Indicate if the project is within, or close to, or is likely to impact any areas with high conservation values for birds, e.g. Important Bird Area (IBA), National Park, IUCN Protected Area, UNESCO World Heritage site, Key Biodiversity Area. Specify distances to such areas and provide map(s) if possible.

D. E&S Impact Assessment (ESIA) and E&S Management Plan (ESMP)	PS : Para	Yes
1. Provide the EIA/ESIA and EMP/ESMP (or equivalent documentation) for the project, together with any government approval(s). This should include any related plans, e.g. Resettlement Action Plan, Stakeholder Engagement Plan, and Emergency Response Plan. If no impact assessment documentation is available, explain why.	1	
2. Describe if there has been any effort (by any party or agency) to assess cumulative impacts, and whether the ESMP incorporates the outcomes of such an assessment.	1:20-21	
E. Emergency Preparedness and Response	PS : Para	Yes
1. Does the client's emergency and preparedness response plan include the following components:	1:20-21	
a) Identification of areas where accidents and emergency situations may occur	1:20-21	
b) Response procedures	1:20-21	
c) Identification of which communities and individuals that may be impacted	1:20-21	
d) Provision of equipment and resources	1:20-21	
e) Designation of responsibilities	1:20-21	
2. Does the client perform periodic training on its emergency preparedness and response policies?	1:20-21	
3. Is the emergency preparedness and response plan regularly updated?	1:20-21	
4. Do the local governments within the project's area of influence have little or no capacity to effectively respond to emergency situations?	1:20-21	
5. Has the client provided its emergency and preparedness response documentation to relevant government agencies?	1:20-21	
6. Has the client provided its emergency and preparedness response documentation to potentially Affected Communities?	1:20-21	
F. Stakeholder Engagement	PS : Para	Yes
1. Has the client developed a Stakeholder Engagement Plan that is scaled to the project risks and impacts and development stage?	1:27	
2. Summarize community/stakeholder engagement activities to date, including a brief timeline, list of key stakeholders, key issues raised to date and any changes in project design resulting from stakeholder input.	1	
3. If applicable, does the Stakeholder Engagement Plan include measures that allow effective participation of disadvantaged or vulnerable individuals and groups?	1:27	
4. Is the location of the project unknown and expected to have significant impacts on local communities?	1:28	

a) If yes, has the client prepared a Stakeholder Engagement Framework that outlines general principles and a strategy to identify Affected Communities and other relevant stakeholders?	1:28		
5. Has the client provided Affected Communities with access to the following information:	1:29, 5		
a) Purpose, nature, and scale of the project	1:29		
b) Duration of proposed project activities	1:29		
c) Any risks to and potential impacts on such communities and relevant mitigation measures	1:29		
d) The envisaged stakeholder engagement process	1:29		
e) The grievance mechanism	1:29		
6. Has the client undertaken consultation with the Affected Communities to gather their views on project risks, impacts and mitigation measures?	1:30, 5		
7. Does the project have potentially significant adverse impacts on Affected Communities?	1:31		
a) If yes, the client shall conduct an Informed Consultation and Participation (ICP) process that builds upon the steps outlined above that will result in the Affected Communities' informed participation.			
8. Does the project have potentially adverse impacts on Indigenous Peoples?	1:32		
a) If yes, the client is required to engage them in a process of ICP.	1:32		
b) Is the client required to obtain Free, Prior, and Informed Consent (FPIC) from the potentially affected Indigenous Peoples? (See PS7: Indigenous Peoples)	1:32		
9. If stakeholder engagement is the responsibility of the host government, has the client collaborated with the responsible government agency to achieve outcomes that consistent with the objectives of the PS?	1:33		
G. External Communication and Grievance Mechanisms	PS :	Yes	
	Para		
1. Does the client have an external communication procedures that include methods to:	1:34		
a) Receive and register external communications from the public	1:34		
b) Screen and assess the issues raised and determine how to address them	1:34		
c) Provide, track and document responses	1:34		
d) Adjust the management program as appropriate	1:34		
2. Has the client established a grievance mechanism to receive and facilitate resolution of Affected Communities' concerns and grievances about the client's E&S performance?	1:35, 5		
3. Describe any existing grievance mechanisms(s)			
4. Does the client provide periodic reports (at least annually) to the Affected Communities that describe progress with implementation of the project Action Plans and how their concerns and grievances are being addressed?	1:36		
5. If the company/project generates public reports on its E&S performance (e.g. Sustainability Report) share the most recent report or weblink.			
H. Labor and Working Conditions	PS :	Yes	
	Para		
1. Has the client provided workers with documented information regarding their rights under national labor and employment law?	2:8		

2. Is the client a party to a collective bargaining agreement? If yes:	2:9
a) Has the client provided workers with applicable collective agreements?	2:9
3. Are migratory workers engaged on substantially equivalent terms and conditions to non-migrant workers carrying out similar work?	2:11
4. Will accommodation services be provided to workers? If yes:	2:12
a) Has the client put in place policies on the quality and management of the accommodation and provision of basic services?	2:12
5. Has the client provided a grievance mechanism for workers?	2:20
6. Does the client employ children? If so, refer to PS 2:21, 27.	2:21,27
7. Does the client employ forced labor?	2:22
8. Has the client established policies and procedures for managing and monitoring the performance of third party employers?	2:24-26
9. If the Project is on a Greenfield site:	2
a) Describe the anticipated size of the construction workforce during peak construction.	
b) Provide details on whether migrant workers are expected – if so how many, what origin(s)?	
c) Share any available E&S, HR and/or OHS policies of the EPC / lead contractor, as well as any EPC contract clauses containing E&S, HR or OHS requirements.	
d) Provide a summary description of worker camp design, as relevant.	
e) Name the EPC contractor and list likely sub-contractors (#, names if possible).	
f) Describe any Owner's oversight mechanisms for compliance with EHS & labor matters.	
10. If the Project is on a Brownfield site:	2
a) Provide a copy of company / project Human Resources (HR) policy.	
b) Describe any worker grievance mechanisms if in place. If the company received complaints through internal grievance mechanism for workers or through national regulatory agency/courts, please provide a summary of those, particularly about issues of labor union membership, non – discrimination, involuntary retrenchment, local employment and occupational health and safety.	
c) Confirm that workers are able to form or join workers organizations. Where possible describe these organizations and confirm existence of collective bargaining agreements.	
d) If the company undertook any involuntary retrenchment recently, provide retrenchment data including a copy of the retrenchment plan.	
e) If accommodation services are provided to workers, please provide information on the scale, quality and provision of basic services.	
f) Provide occupational health and safety (OHS) performance statistics, including operations and maintenance (O&M) contractors, for the past year	

Annex G – Environment and Social Management Framework

1. INTRODUCTION

- 1.1 Background
- 1.2 Project Description
- 1.3 Purpose of ESMF
- 1.4 Methodology for development of ESMF
- 1.5 Structure of the ESMF **Error! Bookmark not defined.**

2. POLICY, LEGAL AND REGULATORY FRAMEWORK

- 2.1 Applicable National Policy, Rules and Regulations
- 2.2 Applicability of WB ESS
- 2.3 Comparison of National legislation and Bank' ESF

3. ASSESSMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

- 3.1 Summary of E&S risks and impacts
- 3.2 Overall Project E and S Risks and Impacts Identified by each ESS
- 3.3 Institutional Assessment

4. ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

- 4.1 Application of ESMF
- 4.2 Stage I: Environmental and Social Impact Assessment
- 4.3 Stage II: Preparation of ESMP
- 4.4 Mitigation instruments to meet requirements of each ESS
- 4.5 Addressing concerns of disadvantaged or vulnerable individuals or groups

5. STAKEHOLDER CONSULTATIONS AND DISCLOSURE

- 5.1 National legal & Regulatory and WB ESS 10 requirements
- 5.2 Consultations on ESMF
- 5.3 Information Disclosure

6. IMPLEMENTATION ARRANGEMENTS

- 6.1 Institutional arrangements
- 6.2 Monitoring and evaluation
- 6.3 Stakeholder Engagement Framework
- 6.4 Grievance Redressal Mechanism
- 6.5 ESMF implementation budget
- 6.6 Linkage to the ESCP
- 6.7 Contingency Emergency Response Component
- 6.8 Updating of ESMF

Annexures

- 1. Applicability Analysis of National Policy, Legal and Regulations; WB ESF Standards

2. Environmental and Social Screening Process
3. Formats for Census & Socio-Economic survey
4. Format for Consultations, FGDs with vulnerable groups
5. GBV/SEAH Risk Mitigation Framework (ESS 1)
6. Guidance Framework for Occupational Health & Safety Management for Workers and Community (ESS 2 & ESS 4)
7. Guidance Framework for Pollution Prevention and Environmental Quality Management Plan (ESS 3)
- 8.
9. Guidance Framework for Cultural Heritage Protection Plan (ESS 8)
10. Consultations on ESMF
11. Summary of Stakeholder Consultations at Sub Project Sites
12. Template for Environmental and Social Management Plan (ESMP)

Annex H – Indicative Table of Contents for Stakeholder Engagement Plan

1. Project Description
2. Types of facilities to be created (Corridor, station, associated facilities)
3. Purpose of the Stakeholder Engagement Plan
4. Applicable legal and regulatory framework and World Bank ESF
5. Brief Summary of previous stakeholder Engagement activities
6. Stakeholder identification across corridor
7. Stakeholder Engagement and Project cycle
8. Timelines for Information disclosure and Feedback
9. Stakeholder engagement in future phases of project
10. Implementation arrangements
11. Grievance redressal mechanism
12. Budget for implementation
13. Monitoring and Reporting (including Annual reporting back)
14. Training

Annex I – Indicative Table of Contents for Labor Management Procedure

- 1 Project Description
- 2 Assessment of Key Labor Risks – including and risks associated with Unionized Workforce.
- 3 Brief Overview of Labor legislation – Terms and conditions
- 4 Brief Overview of Labor legislation – OHS
- 5 Responsible Staff
- 6 Policies and Procedures: Including prohibitions (e.g. child/force labor, non-discrimination) and coverage of ILO Fundamental Principles of the Rights at Work.
- 7 Age of Employment
- 8 Grievance Mechanisms
- 9 Contractor Management
- 10 Community Workers
- 11 Primary Suppliers

(Organization) Consultant Qualification
All relevant Document must be enclosed and dully signed from Competent Authority.

S.No	Years of experience working with World Bank on ESS/ESMF	Name of Project worked with World Bank	Years of Relevant experience (Working with Railways)	Name of Project

Annexure 2

Experience of Key Experts dully signed by Competent Authority along with C.V.

S.No	Name of Key Position	Name of Consultant	Total Number of Years of Experience	Total No of Desirable Experience of the Consultant
	Team Leader			
	Environment Expert			
	Recourse efficiency and sustainability expert			
	Social Expert			
	Communication Expert			
	Railway Expert			
	Health & Safety Expert			
	Gender Expert			

