

SELECTION OF CONSULTANTS

Re- Notification of REQUEST FOR PROPOSALS (DIRECT RFP WITHOUT EOI) (by e-procurement)

RFP No.: *IN-SUCM-396344-CS-QCBS*

**Consulting Services for:
Selection of External Training Consultant**

Client: *KERALA SOLID WASTE MANAGEMENT PROJECT (KSWMP)
LOCAL SELF GOVERNMENT DEPARTMENT, GOVERNMENT OF KERALA*

Country: *INDIA*

Project: *Component 1: Institutional Development, capacity building and
project Management*

Issued on: *December 05, 2023*

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PART I

Section 1. Letter of Invitation

Letter of Invitation Consulting Services

Name of Assignment: Selection of External Training Consultant

RFP Reference No.: *IN-SUCM-396344-CS-QCBS*

Loan No./Credit No./ Grant No.: IBRD-P4960

Location and Date: Thiruvananthapuram, Kerala, India

Date: December 05, 2023

Dear Mr. /Ms.:

1. The *Government of Kerala through Government of India* (hereinafter called “Borrower”) has received financing from the International Bank for Reconstruction and Development (IBRD) (the “Bank”) in the form of a “loan” (hereinafter called “loan”) toward the cost of the *KERALA SOLID WASTE MANAGEMENT PROJECT (KSWMP)*. The Kerala Solid Waste Management Project (KSWMP), Local Self Government Department, Government of Kerala, an implementing agency of the Client, intends to apply a portion of the proceeds of this loan to eligible payments under the contract for which this Request for Proposals is issued.
2. The *Kerala Solid Waste Management Project (KSWMP)* now invites online proposals to provide the following consulting services (hereinafter called “Services): *Selection of External Training Consultant*. More details on the Services are provided in the Terms of Reference (Section 7).
3. A firm will be selected under *Quality-cum-Cost Based Selection (QCBS)* procedures and in a Full Technical Proposal (FTP) format as described in this RFP, in accordance with the Bank’s “Procurement Regulations for IPF Borrowers” Fourth Edition November 2020 (“Procurement Regulations”), which can be found at the following website: www.worldbank.org
4. The RFP includes the following documents:
 - Section 1 – Request for Proposals Letter
 - Section 2 - Instructions to Consultants and Data Sheet
 - Section 3 - Technical Proposal FTP - Standard Forms
 - Section 4 - Financial Proposal - Standard Forms
 - Section 5 – Eligible Countries
 - Section 6 – Fraud and Corruption

Section 7 - Terms of Reference

Section 8 - Standard Forms of Contract (Lump-Sum)

5. Details on the proposal's submission date, time and address are provided in ITC 17.7 and ITC 17.9.

Yours sincerely,

Dr. Divya S Iyer, IAS

Project Director

Address: Upper Ground Floor, Trans Towers, Vazhuthacaud,

Thiruvananthapuram -695014, Kerala, India

Telephone: +91 471-2333011

E-Mail: tenderkswmp@gmail.com;

Website: www.kswmp.org;

Section 2. Instructions to Consultants and Data Sheet

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Instructions to Consultants

A. General Provisions

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| <p>1. Definitions</p> | <p>(a) “Affiliate(s)” means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.</p> <p>(b) “Applicable Law” means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the Data Sheet, as they may be issued and in force from time to time.</p> <p>(c) “Bank” means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).</p> <p>(d) “Borrower” means the Government, Government agency or other entity that signs the <i>[loan/financing/grant¹]</i> agreement with the Bank.</p> <p>(e) “Client” means the implementing agency that signs the Contract for the Services with the selected Consultant.</p> <p>(f) “Client’s Personnel” is as defined in Clause GCC 1.1 (e).</p> <p>(g) “Consultant” means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.</p> <p>(h) “Contract” means a legally binding written agreement signed between the Client and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices).</p> <p>(i) “Data Sheet” means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific country and assignment conditions to supplement, but not to over-write, the provisions of the ITC.</p> <p>(j) “Day” means a calendar day, unless otherwise specified as “Business Day”. A Business Day is any</p> |
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¹ [*“loan agreement” term is used for IBRD loans; “financing agreement” is used for IDA credits; and “grant agreement” is used for Recipient-Executed Trust Funds administered by IBRD or IDA*]

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| | <p>day that is an official working day of the Borrower. It excludes the Borrower's official public holidays.</p> <p>(k) "Experts" means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).</p> <p>(l) "Government" means the government of the Client's country.</p> <p>(m) "in writing" means communicated in written form (e.g. by mail, e-mail, fax, including, if specified in the Data Sheet, distributed or received through the electronic-procurement system used by the Client) with proof of receipt.</p> <p>(n) "Joint Venture (JV)" means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.</p> <p>(o) "Key Expert(s)" means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant's proposal.</p> <p>(p) "ITC" (this Section 2 of the RFP) means the Instructions to Consultants that provides the Consultants with all information needed to prepare their Proposals.</p> <p>(q) "Non-Key Expert(s)" means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.</p> <p>(r) "Proposal" means the Technical Proposal and the Financial Proposal of the Consultant.</p> <p>(s) "RFP" means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SPD - RFP.</p> <p>(t) "Services" means the work to be performed by the Consultant pursuant to the Contract.</p> |
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| | <p>(u) “SPD - RFP” means the Standard Procurement Document - Request for Proposals, which must be used by the Client as the basis for the preparation of the RFP.</p> <p>(v) “Sub-consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while the Consultant remains responsible to the Client during the whole performance of the Contract.</p> <p>(w) “Terms of Reference (TORs)” (this Section 7 of the RFP) means the Terms of Reference that explains the objectives, scope of work, activities, and tasks to be performed, respective responsibilities of the Client and the Consultant, and expected results and deliverables of the assignment.</p> |
| <p>2. Introduction</p> | <p>2.1 The Client named in the Data Sheet intends to select a Consultant from those listed in the Request for Proposals (RFP), in accordance with the method of selection specified in the Data Sheet.</p> <p>2.2 The Consultants are invited to submit a Technical Proposal and a Financial Proposal, or a Technical Proposal only, as specified in the Data Sheet, for consulting services required for the assignment named in the Data Sheet. The Proposal will be the basis for negotiating and ultimately signing the Contract with the selected Consultant.</p> <p>2.3 The Consultants should familiarize themselves with the local conditions and take them into account in preparing their Proposals, including attending a pre-proposal conference if one is specified in the Data Sheet. Attending any such pre-proposal conference is optional and is at the Consultants’ expense.</p> <p>2.4 The Client will timely provide, at no cost to the Consultants, the inputs, relevant project data, and reports required for the preparation of the Consultant’s Proposal as specified in the Data Sheet.</p> |
| <p>3. Conflict of Interest</p> | <p>3.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client’s interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.</p> <p>3.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to</p> |

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| | <p>disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.</p> <p>3.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:</p> |
| a. Conflicting Activities | <p>(i) <u>Conflict between consulting activities and procurement of goods, works or non-consulting services</u>: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.</p> |
| b. Conflicting Assignments | <p>(ii) <u>Conflict among consulting assignments</u>: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.</p> |
| c. Conflicting Relationships | <p>(iii) <u>Relationship with the Client's staff</u>: a Consultant (including its Experts and Sub-consultants) that has a close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank's financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) the supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Bank throughout the selection process and the execution of the Contract.</p> |

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| <p>4. Unfair Competitive Advantage</p> | <p>4.1 Fairness and transparency in the selection process require that the Consultants or their Affiliates competing for a specific assignment do not derive a competitive advantage from having provided consulting services related to the assignment in question. To that end, the Client shall indicate in the Data Sheet and make available to all Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.</p> |
| <p>5. Fraud and Corruption</p> | <p>5.1 The Bank requires compliance with the Bank's Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG's Sanctions Framework, as set forth in Section 6.</p> <p>5.2 In further pursuance of this policy, Consultants shall permit and shall cause their agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit the Bank to inspect all accounts, records and other documents relating to any shortlisting process, Proposal submission, and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.</p> |
| <p>6. Eligibility</p> | <p>6.1 The Bank permits consultants (individuals and firms, including Joint Ventures and their individual members) from all countries to offer consulting services for Bank-financed projects.</p> <p>6.2 Furthermore, it is the Consultant's responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by the Bank in the applicable Procurement Regulations.</p> <p>6.3 As an exception to the foregoing ITC 6.1 and ITC 6.2 above:</p> |
| <p>a. Sanctions</p> | <p>6.3.1 A Consultant that has been sanctioned by the Bank, pursuant to the Bank's Anti-Corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG's Sanctions Framework as described in Section VI, Fraud and Corruption, paragraph 2.2 d., shall be ineligible to be shortlisted for, submit proposals for, or be awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank</p> |

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| | shall have determined. The list of debarred firms and individuals is available at the electronic address specified in the Data Sheet . |
| b. Prohibitions | <p>6.3.2 Firms and individuals of a country or goods manufactured in a country may be ineligible if so indicated in Section 5 (Eligible Countries) and:</p> <ul style="list-style-type: none"> (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country. |
| c. Restrictions for State-Owned Enterprises | <p>6.3.3 State-owned enterprises or institutions in the Borrower's country may be eligible to compete and be awarded a contract only if they can establish, in a manner acceptable to the Bank, that they: (i) are legally and financially autonomous, (ii) operate under commercial law, and (iii) are not under supervision of the Client.</p> |
| d. Restrictions for Public Employees | <p>6.3.4 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts, individuals, or members of a team of Experts in the Consultant's Proposal unless:</p> <ul style="list-style-type: none"> (i) the services of the government official or civil servant are of a unique and exceptional nature, or their participation is critical to project implementation; and (ii) their hiring would not create a conflict of interest, including any conflict with employment or other laws, regulations, or policies of the Borrower. |

| B. Preparation of Proposals | |
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| 7. General Considerations | 7.1 In preparing the Proposal, the Consultant is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal. |
| 8. Cost of Preparation of Proposal | 8.1 The Consultant shall bear all costs associated with the preparation and submission of its Proposal, and the Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Consultant. |
| 9. Language | 9.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Consultant and the Client, shall be written in the language(s) specified in the Data Sheet . |
| 10. Documents Comprising the Proposal | <p>10.1 The Proposal shall comprise the documents and forms listed in the Data Sheet.</p> <p>10.2 If specified in the Data Sheet, the Consultant shall include a statement of an undertaking of the Consultant to observe, in competing for and executing a contract, the Client country's laws against fraud and corruption (including bribery).</p> <p>10.3 The Consultant shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).</p> |
| 11. Only One Proposal | 11.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude a Sub-consultant, or the Consultant's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the Data Sheet . |

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| <p>12. Proposal Validity</p> | <p>12.1 Proposals shall remain valid until the date specified in the Data Sheet or any extended date if amended by the Client in accordance with ITC 13.1.1.</p> <p>12.2 During this period, the Consultant shall maintain its original Proposal without any change, including the availability of the Key Experts, the proposed rates and the total price.</p> <p>12.3 If it is established that any Key Expert nominated in the Consultant's Proposal was not available at the time of Proposal submission or was included in the Proposal without his/her confirmation, such Proposal shall be disqualified and rejected for further evaluation, and may be subject to sanctions in accordance with ITC 5.</p> |
| <p>a. Extension of Proposal Validity</p> | <p>12.4 The Client will make its best effort to complete the negotiations and award the contract prior to the date of expiry of the Proposal validity. However, should the need arise, the Client may request, in writing, all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals' validity.</p> <p>12.5 If the Consultant agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal and with the confirmation of the availability of the Key Experts, except as provided in ITC 12.7.</p> <p>12.6 The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.</p> |
| <p>b. Substitution of Key Experts at Validity Extension</p> | <p>12.7 If any of the Key Experts become unavailable for the extended validity period, the Consultant shall seek to substitute another Key Expert. The Consultant shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a substitute Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.</p> <p>12.8 If the Consultant fails to provide a substitute Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Client, such Proposal will be rejected with the prior Bank's no objection.</p> |

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| <p>c. Sub-Contracting</p> | <p>12.9 The Consultant shall not subcontract the whole of the Services.</p> |
| <p>13. Clarification and Amendment of RFP</p> | <p>13.1 The Consultant may request a clarification of any part of the RFP during the period indicated in the Data Sheet before the Proposals' submission deadline. Any request for clarification must be sent in writing, or by standard electronic means, to the Client's address indicated in the Data Sheet. The Client will respond in writing, or by standard electronic means, and will send written copies of the response (including an explanation of the query but without identifying its source) to all Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:</p> <p>13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment in writing or by standard electronic means. The amendment shall be sent to all Consultants and will be binding on them. The Consultants shall acknowledge receipt of all amendments in writing.</p> <p>13.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the Consultants reasonable time to take an amendment into account in their Proposals.</p> <p>13.2 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.</p> |
| <p>14. Preparation of Proposals Specific Considerations</p> | <p>14.1 While preparing the Proposal, the Consultant must give particular attention to the following:</p> <p>14.1.1 If a Consultant considers that it may enhance its expertise for the assignment by associating with other consultants in the form of a Joint Venture or as Sub-consultants, it may do so.</p> <p>14.1.2 The Client may indicate in the Data Sheet the estimated Key Experts' time input (expressed in person-month) or the Client's estimated total cost of the assignment, but not both. This estimate is indicative and the Proposal shall be based on the Consultant's own estimates for the same.</p> |

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| | <p>14.1.3 If stated in the Data Sheet, the Consultant shall include in its Proposal at least the same time input (in the same unit as indicated in the Data Sheet) of Key Experts, failing which the Financial Proposal will be adjusted for the purpose of comparison of proposals and decision for award in accordance with the procedure in the Data Sheet.</p> <p>14.1.4 For assignments under the Fixed-Budget selection method, the estimated Key Experts' time input is not disclosed. Total available budget, with an indication whether it is inclusive or exclusive of taxes, is given in the Data Sheet, and the Financial Proposal shall not exceed this budget.</p> |
| <p>15. Technical Proposal Format and Content</p> | <p>15.1 The Technical Proposal shall be prepared using the Standard Forms provided in Section 3 of the RFP and shall comprise the documents listed in the Data Sheet. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.</p> <p>15.1.1 Consultant shall not propose alternative Key Experts. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal non-responsive.</p> <p>15.2 Depending on the nature of the assignment, the Consultant is required to submit a Full Technical Proposal (FTP), or a Simplified Technical Proposal (STP) as indicated in the Data Sheet and using the Standard Forms provided in Section 3 of the RFP.</p> |
| <p>16. Financial Proposal</p> | <p>16.1 The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including (a) remuneration for Key Experts and Non-Key Experts, (b) reimbursable expenses indicated in the Data Sheet.</p> |
| <p>a. Price Adjustment</p> | <p>16.2 For assignments with a duration exceeding 18 months, a price adjustment provision for foreign and/or local inflation for remuneration rates applies if so stated in the Data Sheet.</p> |
| <p>b. Taxes</p> | <p>16.3 The Consultant and its Sub-consultants and Experts are responsible for meeting all tax liabilities arising out of the Contract unless stated otherwise in the Data Sheet.</p> |

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| | Information on taxes in the Client’s country is provided in the Data Sheet . |
| c. Currency of Proposal | 16.4 The Consultant may express the price for its Services in the currency or currencies as stated in the Data Sheet . If indicated in the Data Sheet , the portion of the price representing local cost shall be stated in the national currency. |
| d. Currency of Payment | 16.5 Payment under the Contract shall be made in the currency or currencies in which the payment is requested in the Proposal. |
| C. Submission, Opening and Evaluation | |
| 17. Submission, Sealing, and Marking of Proposals | <p>17.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as “CONFIDENTIAL” information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission can be done by mail or by hand. If specified in the Data Sheet, the Consultant has the option of submitting its Proposals electronically.</p> <p>17.2 An authorized representative of the Consultant shall sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal and shall initial all pages of both. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.</p> <p>17.2.1 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member’s authorized representative.</p> <p>17.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.</p> <p>17.4 The signed Proposal shall be marked “ORIGINAL”, and its copies marked “COPY” as appropriate. The number of copies is indicated in the Data Sheet. All copies shall be made from the signed original. If there are discrepancies</p> |

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| | <p>between the original and the copies, the original shall prevail.</p> <p>17.5 The original and all the copies of the Technical Proposal shall be placed inside a sealed envelope clearly marked “TECHNICAL PROPOSAL”, “[Name of the Assignment]“, [reference number], [name and address of the Consultant], and with a warning “DO NOT OPEN UNTIL [INSERT THE DATE AND THE TIME OF THE TECHNICAL PROPOSAL SUBMISSION DEADLINE].”</p> <p>17.6 Similarly, the original Financial Proposal (if required for the applicable selection method) and its copies shall be placed inside of a separate sealed envelope clearly marked “FINANCIAL PROPOSAL” “[Name of the Assignment], [reference number], [name and address of the Consultant]”, and with a warning “DO NOT OPEN WITH THE TECHNICAL PROPOSAL.”</p> <p>17.7 The sealed envelopes containing the Technical and Financial Proposals shall be placed into one outer envelope and sealed. This outer envelope shall be addressed to the Client and bear the submission address, RFP reference number, the name of the assignment, the Consultant’s name and the address, and shall be clearly marked “Do Not Open Before [insert the time and date of the submission deadline indicated in the Data Sheet]”.</p> <p>17.8 If the envelopes and packages with the Proposal are not sealed and marked as required, the Client will assume no responsibility for the misplacement, loss, or premature opening of the Proposal.</p> <p>17.9 The Proposal or its modifications must be sent to the address indicated in the Data Sheet and received by the Client no later than the deadline indicated in the Data Sheet, or any extension to this deadline. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.</p> |
| 18. Confidentiality | <p>18.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultant should not contact the Client on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Consultants who submitted the Proposals or to any other party not officially concerned with the process, until the Notification of Intention to Award the</p> |

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| | <p>Contract. Exceptions to this ITC are where the Client notifies Consultants of the results of the evaluation of the Technical Proposals.</p> <p>18.2 Any attempt by Consultants or anyone on behalf of the Consultant to influence improperly the Client in the evaluation of the Proposals or Contract award decisions may result in the rejection of its Proposal, and may be subject to the application of prevailing Bank’s sanctions procedures.</p> <p>18.3 Notwithstanding the above provisions, from the time of the Proposals’ opening to the time of Contract award publication, if a Consultant wishes to contact the Client or the Bank on any matter related to the selection process, it shall do so only in writing.</p> |
| <p>19. Opening of Technical Proposals</p> | <p>19.1 The Client’s evaluation committee shall conduct the opening of the Technical Proposals in the presence of the Consultants’ authorized representatives who choose to attend (in person, or online if this option is offered in the Data Sheet). The opening date, time and the address are stated in the Data Sheet. The envelopes with the Financial Proposal shall remain sealed and shall be securely stored with a reputable public auditor or independent authority until they are opened in accordance with ITC 23.</p> <p>19.2 At the opening of the Technical Proposals the following shall be read out: (i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members; (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; (iii) any modifications to the Proposal submitted prior to proposal submission deadline; and (iv) any other information deemed appropriate or as indicated in the Data Sheet.</p> |
| <p>20. Proposals Evaluation</p> | <p>20.1 Subject to provision of ITC 15.1, the evaluators of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded and the Bank issues its “no objection”, if applicable.</p> <p>20.2 The Consultant is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under ITC 12.7. While evaluating the Proposals, the Client will conduct the evaluation solely on</p> |

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| | the basis of the submitted Technical and Financial Proposals. |
| 21. Evaluation of Technical Proposals | 21.1 The Client's evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in the Data Sheet . Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated in the Data Sheet . |
| 22. Financial Proposals for QBS | 22.1 Following the ranking of the Technical Proposals, when the selection is based on quality only (QBS), the top-ranked Consultant is invited to negotiate the Contract. 22.2 If Financial Proposals were invited together with the Technical Proposals, only the Financial Proposal of the technically top-ranked Consultant is opened by the Client's evaluation committee. All other Financial Proposals are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed. |
| 23. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods) | 23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following: <ul style="list-style-type: none"> (i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score; (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposals will be returned unopened after completing the selection process and Contract signing; and (iv) notify them of the date, time and location of the public opening of the Financial Proposals and invite them to attend. 23.2 The Client shall simultaneously notify in writing those Consultants whose Proposals were considered responsive |

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| | <p>to the RFP and TOR, and that have achieved the minimum qualifying technical score, advising them the following:</p> <ul style="list-style-type: none"> (i) their Proposal was responsive to the RFP and TOR and met the minimum qualifying technical score; (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposal will be opened at the public opening of Financial Proposals; and (iv) notify them of the date, time and location of the public opening and invite them for the opening of the Financial Proposals. <p>23.3 The opening date shall be no less than ten (10) Business Days from the date of notification of the results of the technical evaluation, described in ITC 23.1 and 23.2. However, if the Client receives a complaint on the results of the technical evaluation within the ten (10) Business Days, the opening date shall be subject to ITC 31.1.</p> <p>23.4 The Consultant's attendance at the opening of the Financial Proposals (in person, or online if such option is indicated in the Data Sheet) is optional and is at the Consultant's choice.</p> <p>23.5 The Financial Proposals shall be opened publicly by the Client's evaluation committee in the presence of the representatives of the Consultants and anyone else who chooses to attend. Any interested party who wishes to attend this public opening should contact the client as indicated in the Data Sheet. Alternatively, a notice of the public opening of Financial Proposals may be published on the Client's website, if available. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud. The Financial Proposals will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded. Copies of the record shall be sent to all Consultants who submitted Proposals and to the Bank.</p> |
| <p>24. Correction of Errors</p> | <p>24.1 Activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, and no corrections are made to the Financial Proposal.</p> |

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| <p>a. Time-Based Contracts</p> | <p>24.1.1 If a Time-Based contract form is included in the RFP, the Client's evaluation committee will (a) correct any computational or arithmetical errors, and (b) adjust the prices if they fail to reflect all inputs included for the respective activities or items included in the Technical Proposal. In case of discrepancy between (i) a partial amount (sub-total) and the total amount, or (ii) between the amount derived by multiplication of unit price with quantity and the total price, or (iii) between words and figures, the former will prevail. In case of discrepancy between the Technical and Financial Proposals in indicating quantities of input, the Technical Proposal prevails and the Client's evaluation committee shall correct the quantification indicated in the Financial Proposal so as to make it consistent with that indicated in the Technical Proposal, apply the relevant unit price included in the Financial Proposal to the corrected quantity, and correct the total Proposal cost.</p> |
| <p>b. Lump-Sum Contracts</p> | <p>24.1.2 If a Lump-Sum contract form is included in the RFP, the Consultant is deemed to have included all prices in the Financial Proposal, so neither arithmetical corrections nor price adjustments shall be made. The total price, net of taxes understood as per ITC 25, specified in the Financial Proposal (Form FIN-1) shall be considered as the offered price. Where there is a discrepancy between the amount in words and the amount figures, the amount in words shall prevail.</p> |
| <p>25. Taxes</p> | <p>25.1 The Client's evaluation of the Consultant's Financial Proposal shall exclude taxes and duties in the Client's country in accordance with the instructions in the Data Sheet.</p> |
| <p>26. Combined Quality and Cost Evaluation</p> | |
| <p>a. Quality and Cost-Based Selection (QCBS)</p> | <p>26.1 In the case of QCBS, the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the Data Sheet. The Consultant with the Most Advantageous Proposal, which is the Proposal that achieves the highest combined</p> |

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| | technical and financial scores, will be invited for negotiations. |
| b. Fixed-Budget Selection (FBS) | <p>26.2 In the case of FBS, those Proposals that exceed the budget indicated in ITC 14.1.4 of the Data Sheet shall be rejected.</p> <p>26.3 The Client will select the Consultant with the Most Advantageous Proposal, which is the highest-ranked Technical Proposal that does not exceed the budget indicated in the RFP, and invite such Consultant to negotiate the Contract.</p> |
| c. Least-Cost Selection | 26.4 In the case of Least-Cost Selection (LCS), the Client will select the Consultant with the Most Advantageous Proposal, which is the Proposal with the lowest evaluated total price among those Proposals that achieved the minimum qualifying technical score, and invite such a Consultant to negotiate the Contract. |
| D. Negotiations and Award | |
| 27. Negotiations | <p>27.1 The negotiations will be held at the date and address indicated in the Data Sheet with the Consultant's representative(s) who must have written power of attorney to negotiate and sign a Contract on behalf of the Consultant.</p> <p>27.2 The Client shall prepare minutes of negotiations that are signed by the Client and the Consultant's authorized representative.</p> |
| a. Availability of Key Experts | <p>27.3 The invited Consultant shall confirm the availability of all Key Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with ITC 12. Failure to confirm the Key Experts' availability may result in the rejection of the Consultant's Proposal and the Client proceeding to negotiate the Contract with the next-ranked Consultant.</p> <p>27.4 Notwithstanding the above, the substitution of Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall offer a substitute Key Expert within the period of time specified in the letter of invitation to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.</p> |

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| <p>b. Technical Negotiations</p> | <p>27.5 The negotiations include discussions of the Terms of Reference (TORs), the proposed methodology, the Client’s inputs, the special conditions of the Contract, and finalizing the “Description of Services” part of the Contract. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.</p> |
| <p>c. Financial Negotiations</p> | <p>27.6 The negotiations include the clarification of the Consultant’s tax liability in the Client’s country and how it should be reflected in the Contract.</p> <p>27.7 If the selection method included cost as a factor in the evaluation, the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.</p> <p>27.8 In the case of a Time-Based contract, unit rates negotiations shall not take place, except when the offered Key Experts and Non-Key Experts’ remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Client may ask for clarifications and, if the fees are very high, ask to change the rates after consultation with the Bank. The format for (i) providing information on remuneration rates in the case of Quality Based Selection; and (ii) clarifying remuneration rates’ structure under this Clause, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.</p> |
| <p>28. Conclusion of Negotiations</p> | <p>28.1 The negotiations are concluded with a review of the finalized draft Contract, which then shall be initialed by the Client and the Consultant’s authorized representative.</p> <p>28.2 If the negotiations fail, the Client shall inform the Consultant in writing of all pending issues and disagreements and provide a final opportunity to the Consultant to respond. If disagreement persists, the Client shall terminate the negotiations informing the Consultant of the reasons for doing so. After having obtained the Bank’s no objection, the Client will invite the next-ranked Consultant to negotiate a Contract. Once the Client commences negotiations with the next-ranked Consultant, the Client shall not reopen the earlier negotiations.</p> |
| <p>29. Notification of Award</p> | <p>29.1 Upon expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the</p> |

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| | <p>Standstill Period, the Client shall, send a notification of award to the successful Consultant, confirming the Client's intention to award the Contract to the successful Consultant and requesting the successful Consultant to sign and return the draft negotiated Contract within eight (8) Business Days from the date of receipt of such notification. If specified in the Data Sheet, the client shall simultaneously request the successful Consultant to submit, within eight (8) Business Days, the Beneficial Ownership Disclosure Form.</p> <p><u>Contract Award Notice</u></p> <p>Within ten (10) Business Days from the date of notification of award such request, the Client shall publish the Contract Award Notice which shall contain, at a minimum, the following information:</p> <ul style="list-style-type: none"> (a) name and address of the Client; (b) name and reference number of the contract being awarded, and the selection method used; (c) names of the consultants that submitted proposals, and their proposal prices as read out at financial proposal opening, and as evaluated; (d) names of all Consultants whose Proposals were rejected or were not evaluated, with the reasons therefor; (e) the name of the successful consultant, the final total contract price, the contract duration and a summary of its scope; and (f) successful Consultant's Beneficial Ownership Disclosure Form, if specified in Data Sheet ITC 32.1. <p>29.2 The Contract Award Notice shall be published on the Client's website with free access if available, or in at least one newspaper of national circulation in the Client's Country, or in the official gazette. The Client shall also publish the contract award notice in UNDB online.</p> |
| <p>30. Signing of Contract</p> | <p>30.1 The Contract shall be signed prior to the expiry date of the Proposal validity and promptly after expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period.</p> |

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| | 30.2 The Consultant is expected to commence the assignment on the date and at the location specified in the Data Sheet . |
| 31. Procurement Related Complaint | 31.1 The procedures for making a Procurement-related Complaint are as specified in the Data Sheet . |

Section 2. Instructions to Consultants

E. Data Sheet

| ITC Reference | A. General |
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| 1 (m) | <p>Electronic –Procurement System</p> <p>The Client shall use the following electronic-procurement system to manage this Request for Proposal (RFP) process:</p> <p>https://etenders.kerala.gov.in;</p> <p>The electronic-procurement system shall be used to manage the following part of the RFP process:</p> <p><i>Issuing RFP and Corrigenda, if any; submissions of Proposals, opening of Proposals, publication of Evaluation outcome</i></p> |
| 2.1 | <p>Name of the Client: Kerala Solid Waste Management Project (KSWMP)</p> <p>Method of selection: <i>Quality-cum-Cost Based Selection (QCBS)</i> as per the Procurement Regulations for IPF Borrowers Fourth Edition November 2020 (available on www.worldbank.org)</p> |
| 2.2 | <p>Financial Proposal to be submitted together with Technical Proposal:</p> <p>Yes.</p> <p>The name of the assignment is: <i>Selection of External Training Consultant</i></p> |
| 2.3 | <p>A pre-proposal conference will be held: Yes</p> <p>Date & Mode of pre-proposal conference: December 12, 2023; Online</p> <p>Time: 11:00 Hrs</p> <p>Telephone: +91 471 2333 011 E-mail: tenderkswmp@gmail.com;</p> <p>Link for online pre-proposal conference will be shared by the Client on receipt of e-mail requests from interested Firms;</p> <p>Contact person / Conference coordinator: <i>Mr. Vijeesh, Training Expert</i></p> |
| 2.4 | <p>The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals:</p> |

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| | The inputs that will be provided by the Client are covered in detail in Section 7(Sub-heading 8) of the Terms of Reference (ToR). |
| 4.1 | Not Applicable. |
| 6.3.1 | A list of debarred firms and individuals is available at the Bank's external website: www.worldbank.org/debarr |
| B. Preparation of Proposals | |
| 9.1 | This RFP has been issued in the English language. Proposals shall be submitted in English language. All correspondence exchange shall be in English language. |
| 10.1 | <p>The Proposal shall comprise the following. The Technical and Financial Proposals shall be submitted online in the e-procurement system in separate folders:</p> <p style="padding-left: 40px;"><u>For FULL TECHNICAL PROPOSAL (FTP):</u></p> <p style="padding-left: 80px;">The Technical Proposal comprising:</p> <ol style="list-style-type: none"> (1) Power of Attorney to sign the Proposal (2) TECH-1 (3) TECH-2 (4) TECH-3 (5) TECH-4 (6) TECH-5 (7) TECH-6 <p style="padding-left: 80px;">The Financial Proposal comprising:</p> <ol style="list-style-type: none"> (1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) FIN-5 (6) Statement of Undertaking (if required under Data Sheet 10.2 below) |

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| 10.2 | Statement of Undertaking is required: Yes. |
| 11.1 | Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible: Yes. |
| 12.1 | Proposals shall be valid for 120 days calendar days |
| 12.4 | <p>Replace second sentence of ITC 12.4 with the following:</p> <p>“However, should the need arise, any request for extension of validity will be hosted on e-procurement portal and an e-mail will be sent to each Consultant. The Consultants may send their response if any on the e-procurement portal and through e-mail at the e-mail id given in Data Sheet 2.3.</p> |
| 13 | <p>Replace ITC 13 with the following:</p> <p>“13.1. The e-procurement system specified in ITC 1(m) provides for online clarifications. A Consultant may request an online clarification of any part of the RFP during the period indicated in the Data Sheet before the Proposals’ submission deadline, or raise its inquiries during the pre-proposal conference, if provided for in accordance with ITC 2.3. Clarifications requested through any other mode shall not be considered by the Client. The Client will respond online by uploading the response (including an explanation of the query but without identifying its source) for information of all Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described in ITC 13.1.1 and ITC 13.1.2 below. It is the consultant’s responsibility to check on the e-procurement system, for any addendum/ amendment/ corrigendum to the RFP document.</p> <p>13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment online in accordance with the procedure described in the Data Sheet. The amendment shall be binding on all Consultants. The Client shall not be liable for any information not received by the Consultants. It is the Consultants’ responsibility to verify the website for the latest information related to the RFP.</p> <p>13.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the Consultants reasonable time to take an amendment into account in their Proposals, by amending the RFP in accordance with ITC 13.1.1.</p> <p>13.2 A Consultant may modify its Proposal in the following manner, by using the appropriate option for proposal modification on e-procurement portal,</p> |

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| | <p>before the deadline for submission of proposals. No modifications to the Technical or Financial Proposal shall be accepted after the proposal submission deadline.</p> <p>(a) For proposal modification and consequential re-submission, the Consultant is not required to withdraw the proposal submitted earlier. The last modified proposal submitted by the consultant within the proposal submission time shall be considered as the 'Proposal'.</p> <p>(b) For this purpose, modification/withdrawal by other means will not be accepted.</p> <p>(c) The modification and consequential re-submission of proposals is allowed any number of times.</p> <p>(d) A consultant may withdraw its proposal by using the appropriate option for proposal withdrawal, before the deadline for submission of proposals. However, if the proposal is withdrawn, re-submission is allowed as applicable to the e-procurement system].”</p> |
| 13.1 | Clarifications may be requested online no later than 18 days prior to the submission deadline. |
| 13.1.1 | <p>The Client will host the amendment to RFP, if any on the e-procurement portal at any time prior to the submission deadline.</p> <p>The system will also send auto-e-mail regarding hosting of amendment to Consultants who have started working on the RFP. The Consultants shall remain responsible to view amendment to RFP.</p> |
| 13.2 (d) | Re-submission of the proposal is allowed , if withdrawn. |
| 14.1.2 (do not use for Fixed Budget method) | Estimated total cost of the assignment: INR 240 Lakhs |
| 14.1.3 for time-based contracts only | <i>Not applicable</i> |

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| <p>14.1.4 and 26.2</p> <p>use for Fixed Budget method</p> | <p><i>Not applicable</i></p> |
| <p>15.1</p> | <p>Delete from the first sentence of ITC 15.1, the following: ‘and shall comprise the documents listed in the Data Sheet’.</p> |
| <p>15.2</p> | <p>The format of the Technical Proposal to be submitted is:</p> <p>FTP</p> <p>Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements.</p> |
| <p>16.1</p> | <p>(1) <i>a per diem allowance, including hotel, for experts for every day of absence from the home office for the purposes of the Services;</i></p> <p>(2) <i>cost of travel by the most appropriate means of transport and the most direct practicable route;</i></p> <p>(3) <i>cost of office accommodation, including overheads and back-stop support;</i></p> <p>(4) <i>communications costs;</i></p> <p>(5) <i>cost of purchase or rent or freight of any equipment required to be provided by the Consultants;</i></p> <p>(6) <i>cost of reports production (including printing) and delivering to the Client;</i></p> <p>(7) <i>[insert relevant type of expenses, if/as applicable]</i></p> |
| <p>16.2</p> | <p>A price adjustment provision applies to remuneration rates: No.</p> |
| <p>16.3</p> | <p>Information on the Consultant’s tax obligations in India can be found from the Ministry of Finance, Government of India website http://finmin.nic.in</p> <p>Consultants and their Sub-consultants and Experts are responsible for payment of all taxes as applicable in India.</p> <p>The Client will, however reimburse on proof of submission with relevant Government Authority, the Goods & Services Tax (GST) payable on the</p> |

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| | <p>contract value by the consultant, as per Applicable Law in India. Statutory deductions of taxes at source (TDS), however, shall be made as applicable.</p> <p>The above only are to be shown separately in the financial proposal.</p> |
| 16.4 | The Financial Proposal shall be submitted in Indian Rupees. |
| 16.5 | Payments under the Contract shall be made in Indian Rupees. |
| C. Submission, Opening and Evaluation | |
| 17 | <p>Replace ITC 17 with the following:</p> <p>“17.1 The Consultant shall submit a digitally signed, encrypted, and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as “CONFIDENTIAL” information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission shall be done electronically on the e-procurement system and in accordance with procedure specified in the Data Sheet. Proposals submitted by any other means will be rejected. Detailed guidelines for viewing proposals, and for online submission of proposals are given on the website.</p> <p>17.2 An authorized representative of the Consultant shall digitally sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal and shall initial all pages of both. The authorization shall be in the form of a written power of attorney to be scanned and uploaded together with the Technical Proposal.</p> <p>17.2.1 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member’s authorized representative. The submission letters and the power of attorney shall then be scanned and uploaded together with the Technical Proposal.</p> <p>17.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.</p> <p>17.4 The Proposal or its modifications must be uploaded on the e-procurement portal specified in ITC 1(m), no later than the deadline indicated in the Data Sheet, or any extension to this deadline. The electronic system will not accept any Proposal or its modification for uploading after the deadline, as per server time.</p> |

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| | <p>17.5 Once the Proposal is uploaded on the portal, the system will generate a unique identification number with the stamped submission time. The unique identification number with the time stamp represents an acknowledgement of the Proposal submission. Any other system's functionality requirements are specified in the Data Sheet."</p> |
| 17.1 | <p>The electronic submission procedures shall be as follows:</p> <p>The Consultants shall submit their Proposals (both Technical and Financial) electronically on the e-procurement portal specified in ITC 1(m), following the procedure given below. Detailed guidelines for viewing proposals and for online submission are given on the website:</p> <p>(a) To participate in the e-tendering process, it is mandatory for the consultants to have enrolment/registration in the website, and valid <i>Class III(DSC) with signing + Encryption</i> Digital Signature Certificate (in the name of person who will sign the proposal) in the form of smart card/e-token, obtained from any of the licensed Certifying Agency authorized by the Government of India. Consultants can see the list of licensed CAs from the link www.cca.gov.in</p> <p>(b) The consultant should register in the website using the relevant option available. Then the Digital Signature registration has to be done with the e-token, after logging into the website. The consultant can then login the website through the secured login by entering the password of the e-token & the user id/ password chosen during registration.</p> <p>(c) The size of individual files containing the documents comprising the Proposal(s) shall not exceed 10 MB and there is no limit on the number of files to be uploaded.</p> <p><i>[Note for Consultants: For online submission of proposals, the Consultants shall fill up online, the forms that are available for online filling on the e-portal. The rest of the forms shall be download by the Consultants and filled up. The filled-up pages shall then be digitally signed, scanned and uploaded on the e-procurement portal along with the scanned copies of the supporting documents.]</i></p> |
| 17.4 | <p>The Proposals must be uploaded on the e-procurement portal specified in ITC 1(m) no later than:</p> <p>Date: 26 December, 2023</p> <p>Time: 16:00 hrs.</p> |
| 17.5 | None |

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| 19 | <p>Replace ITC 19 with the following:</p> <p>“19.1The Client’s evaluation committee shall conduct the opening of the Technical Proposals online following the procedure described in the Data Sheet and this could be viewed online by the Consultants. The consultants or their authorized representatives may attend the online opening in person if this option is offered in the Data Sheet. The opening date, time and the address are stated in the Data Sheet. The folder with the Financial Proposal shall remain unopened, encrypted, in the e-procurement system until the subsequent public opening in accordance with ITC 23.</p> <p>19.2At the opening of the Technical Proposals the following shall be read out and recorded online simultaneously: (i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members; (ii) the presence or absence of the folder with the Financial Proposal in the portal; and (iii) any other information deemed appropriate or as indicated in the Data Sheet.”</p> |
| 19.1 | <p>The procedure for online opening of technical proposals shall be: <i>Technical proposal will be opened on the e-procurement portal by the Client’s Evaluation Committee at the date and time indicated below.</i></p> <p>Date: 26 December, 2023.</p> <p>Time: 16:30 hrs.</p> <p>Consultants have an option to attend the opening of the Technical Proposals in person. The opening shall take place at:</p> <p>Kerala Solid Waste Management Project (KSWMP) Upper Ground Floor, Trans Towers, Vazhuthacaud, Thiruvananthapuram -695014, Kerala, India Telephone: 0471-2333011 E-Mail: tenderkswmp@gmail.com Website: www.kswmp.org</p> <p>In the event of the specified date of proposal opening being declared a holiday for the Client, the proposals will be opened at the appointed time and location on the next working day</p> |
| 19.2 | <p>In addition, the following information will be read aloud at the opening of the Technical Proposals: N/A</p> |
| 21.1 [for FTP] | <p>Consultants technical proposal shall be evaluated in two parts. Part A (as mentioned below) shall be the mandatory criteria that the consultants must</p> |

meet. Technical Proposals of Consultants who do not meet the criteria in Part A, shall not be further evaluated, and the proposal shall be rejected. Technical Proposal of Consultants, who meet the criteria in Part A, shall be evaluated further using the scoring scheme contained in Part B below.

Part A: Mandatory Criteria:

| SN | Eligibility Criteria | Documents/ Copies to be submitted |
|----|--|--|
| 1 | The Consultant shall be a registered legal entity with experience as a training service provider/ capacity building firm and should have been in business for the last 8 years (as on 01-04-2023), providing Services on capacity building and training involving Course design, development of training materials / course contents / modules for delivering training in online (digital platform-based trainings) and offline mode. | a. Certificate of Incorporation /Registration b. GST registration certificate c. Any other Government Documentation to establish Proof of Existence |
| 2 | Should have successfully completed training delivery of Minimum of one (1) training/ capacity building projects completed for Central/State Government or Local Self Governments or Public Utilities in India in areas like Solid Waste Management (SWM) OR Non-SWM such as Liquid Waste Management / Sanitation/ Environmental Safeguard Trainings/ Good Governance with a minimum consulting fee of INR 40 Lakhs. | Document (s) relating to details of assignments shall be supported by Completion Certificate or Work Order along with final payment confirmation by the Authority. The supporting documents shall clearly state the scope of work and contract value undertaken by the applicant. * In cases where training delivery was part of a larger project, such works shall be considered even if they are ongoing, provided the client issues a Partial completion certificate clearly indicating value of completed work related to delivery of training. |
| 3 | The average annual turnover of the company in any three of the last five financial years shall be at least INR 500 Lakhs. (FY 2021-2022, FY 2020-2021, FY 2019-2020, FY 2018-2019, FY 2019-2018) | Audited financial statements |

| Part B: Evaluation Criteria: | | | |
|---|--|--|-------------------|
| Sl.No. | Particulars | Required Documents | Max. Marks |
| 1 | Specific experience of the consultant (as a firm) relevant to the assignment 20 Marks | | |
| 1 a | Should have successfully completed training delivery of Maximum of 5 (Five) training/ capacity building projects completed for Central/State Government or Local Self Governments or Public Utilities in India in areas like Solid Waste Management (SWM) OR Non-SWM such as Liquid Waste Management / Sanitation/ Environmental Safeguard Trainings/ Good Governance. | Document (s) relating to details of assignments shall be supported by Completion Certificate or Work Order along with final payment confirmation by the Authority. The supporting documents shall clearly state the scope of work and contract value undertaken by the applicant. * In cases where training delivery was part of a larger project, such works shall be considered even if they are ongoing, provided the client issues a Partial completion certificate clearly indicating value of completed work related to delivery of training. | 20 Marks |
| Refer Annexure 1 to Section 2 for detailed marking criterion. | | | |
| 2 | Write-up on approach, methodology and workplan for the assignment as per scope of work provided. a. Approach b. Methodology c. Work Plan d. Organisation Staffing | Detailed write-up based on the requirements in ToR | 40 Marks |

| | | | | | |
|------|--|---|--|--------------|------------|
| | 3 | Trainers' profile: Education and relevant experience | Signed copy of CV (7 Nos of experts) of Trainers along with photograph and proof of experience. Marks will be awarded on an average of scores by the experts | 40 Marks | |
| | | Sl. No | Expert | Marks | |
| | 1 | | Training coordinator | 3 | |
| | 2 | | Assistant training coordinator. | 3 | |
| | 3 | | Project Management Expert | 7 | |
| | 4 | | Procurement Expert | 6 | |
| | 5 | | Environmental Safeguard Expert | 7 | |
| | 6 | | Social Safeguard Expert | 7 | |
| | 7 | | Solid Waste Management expert | 7 | |
| | | TOTAL MARKS | | | 100 |
| | The minimum technical score (St) required to pass is: 70 | | | | |
| 22.2 | Replace second sentence of ITC 22.2 with the following: “All other Financial Proposals shall not be opened.” | | | | |
| | Public Opening of Financial Proposals | | | | |
| 23 | Replace ITC 23.1 with the following: “23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify online through e-procurement portal those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following: (i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score; (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposals will not be opened; and | | | | |

| | |
|------|---|
| | <p>(iv) notify them of the date, time and location of the online public opening of the Financial Proposals and invite them to attend.”</p> <p>In ITC 23.2(b) first sentence, after the words ‘in writing’, add the following: ‘online through e-procurement portal’</p> <p>In ITC 23.2(b)(iv), after the words ‘location of the’ add the following: ‘online’</p> <p>Replace ITC 23.4 with the following: “23.4 The Consultant’s attendance at the opening of the Financial Proposals (in person, or online) is optional and is at the Consultant’s choice”</p> <p>Replace ITC 23.5 with the following: “The Financial Proposals shall be publicly opened online by the Client’s evaluation committee in the presence of the representatives of the Consultants and anyone else who chooses to attend. Any interested party who wishes to attend this public opening should contact the client as indicated in the Data Sheet. Alternatively, a notice of the public opening of Financial Proposals may be published on the Client’s website, if available. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud and recorded online simultaneously. The Financial Proposals shall be then opened, and the total prices read aloud and recorded online simultaneously. The records of the opening shall remain on the e-procurement portal for the information of all Consultants who submitted Proposals and the Bank, unless the Data Sheet provides for other means of sending notifications and the results of the financial opening.”</p> |
| 23.5 | <p>Following the completion of the evaluation of the Technical Proposals, the Client will notify online through e-procurement portal, all Consultants of the location, date and time of the public opening of Financial Proposals.</p> <p>Any interested party who wishes to attend this public opening should contact Project Director, KSWMP, tenderkswmp@gmail.com and request to be notified of the location, date and time of the public opening of Financial Proposals. The request should be made before the deadline for submission of Proposals, stated above.</p> <p>Alternatively, a notice of the public opening of Financial Proposals may be published on the Client’s website, if available.</p> |

| | |
|-----------------------------------|--|
| | In the event of the specified date of proposal opening being declared a holiday for the Client, the proposals will be opened at the appointed time and location on the next working day. |
| 25.1 | For the purpose of the evaluation, the Client will exclude: all local identifiable indirect taxes such as GST or similar taxes levied on the contract's invoices. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant. |
| 26.1 (QCBS only) | The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100. The formula for determining the financial scores (Sf) of all other Proposals is calculated as following: Sf = 100 x Fm/ F, in which "Sf" is the financial score, "Fm" is the lowest price, and "F" the price of the proposal under consideration. The weights given to the Technical (T) and Financial (P) Proposals are: T = 80% P = 20% Proposals are ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: S = St x T% + Sf x P%. |
| | D. Negotiations and Award |
| 27.1 | Expected date and address for contract negotiations: TENTATIVE Date: January, 2024 Address: Upper Ground Floor, Trans Towers, Vazhuthacaud, Thiruvananthapuram -695014, Kerala, India Telephone: 0471-2333011 E-Mail: tenderkswmp@gmail.com Website: www.kswmp.org |
| 29 | 29.1 Disabled |

| | |
|-------------|--|
| | 29.2 The Contract Award Notice shall be published on the Client’s website with free access if available, or in at least one newspaper of national circulation in the Client’s Country, or in the official gazette and on e-procurement portal.” |
| 30.1 | Replace ITC 30 with the following: “The Contract shall be signed prior to the expiry date of the Proposal validity, specified in ITC 12.1 or any extension thereof.” |
| 30.2 | Expected date for the commencement of the Services: TENTATIVE Month: January 2024, Kerala, India |
| 31.1 | <p>The procedures for making a Procurement-related Complaint are detailed in the “<u>Procurement Regulations for IPF Borrowers</u> (Annex III).” If a Consultant wishes to make a Procurement-related Complaint, the Consultant shall submit its complaint following these procedures, In Writing (by the quickest means available, such as by email or fax), to:</p> <p>For the attention: <i>[insert full name of person receiving complaints]</i></p> <p>Title/position: <i>[insert title/position]</i></p> <p>Client: <i>[insert name of Client]</i></p> <p>Email address: <i>[insert email address]</i></p> <p>Fax number: <i>[insert fax number] delete if not used</i></p> <p>In summary, a Procurement-related Complaint may challenge any of the following:</p> <ol style="list-style-type: none"> 1. the terms of this Request for Proposal; 2. the Client’s decision to exclude a Consultant from the procurement process prior to the award of contract; and 3. the Client’s decision to award the contract. |

Annexure 1 to SECTION-2

SPECIFIC APPLICATION OF EVALUATION CRITERIA

a) CRITERIA-I

SPECIFIC EXPERIENCE OF THE CONSULTANT (AS A FIRM) RELEVANT TO THE ASSIGNMENT: 20 Points

[Note to Consultant: The Client will assess similarity of the work to be done in this assignment with assignments successfully completed by the Consultant in India / any other countries of Asian region in the last 8 years (i.e.2014 to 2022). Client testimony if provided will be an additional factor. The Consultant should provide documentary evidence such as copy of Completion Certificate or Performance Certificate for each of the assignments shown by the consultant, from the client. The experience shall not be considered for evaluation if such requisite support documents are not provided with the proposal.

Footnote from TECH-02 Form:

1a Should have successfully completed training delivery of training/ capacity building projects completed for Central/State Government or Local Self Governments or Public Utilities in India in areas like good governance/ solid waste management (SWM) practices / Waste management processes / Environmental Safeguard Trainings with a minimum consulting fee of INR 40 Lakhs each

APPLICATION OF EVALUATION CRITERIA (I)

| Scoring | Number of projects* meeting the requirement | | | | | Point Allocation Max. Score allocated for the Criteria(i) |
|---------|---|--------|--------------------------------|---------------------|---------------------|--|
| 1a | Should have successfully completed training delivery of training/ capacity building projects completed for Central/State Government or Local Self Governments or Public Utilities in India in areas like Solid Waste Management (SWM) OR Non-SWM such as Liquid Waste Management / Sanitation/ Environmental Safeguard Trainings/ Good Governance | | | | | 20 |
| | S. No. | Domain | Value of Work (in lakh rupees) | | | |
| | | | 40 or above | Between 30 to 40 | Between 20 to 30 | Up to 20 |
| | 1 | SWM | 4 | 3 | 2 | 1 |

| | | | | | |
|--|---|---------|---|---|---|
| | 2 | Non-SWM | 3 | 2 | 1 |
|--|---|---------|---|---|---|

In case of more than five assignments, first **five projects in the serial order would be evaluated.*

b) CRITERIA-II ADEQUACY AND QUALITY OF THE PROPOSED METHODOLOGY, AND WORKPLAN IN RESPONDING TO THE TERMS OF REFERENCE (TORs): 40 points

1. Technical Approach: 15
2. Methodology: 10
3. Work Plan: 10
4. Organization and Staffing: 5

[Notes to Consultant: the client will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and implementable; overall team composition is balanced and has an appropriate skills mix; and the work plan has right input of Experts]

APPLICATION OF EVALUATION CRITERIA(II)

1. Sub Criteria : TECHNICAL APPROACH AND METHODOLOGY (25 points)

[Note to Consultant:

Points shall be awarded based on whether the proposed approach is discussed in detail and the methodology is specifically tailored to the characteristics of the assignment.

| Scoring | Sub Criteria | Point Allocation Max. Score allocated for the Criteria (ii a) | |
|---------|---|---|----|
| a) | Technical Approach | | 15 |
| | <i>Excellent : Substantially exceeding the specified requirement.</i> | 15 | |
| | <i>Very Good : Marginally exceeding the specified requirement.</i> | 12 | |
| | <i>Good: Just meeting the specified requirement.</i> | 08 | |
| | <i>Average: Marginally below the specified requirement.</i> | 04 | |
| | <i>Below Average: Substantially below the specific requirement.</i> | 00 | |
| b) | Methodology | | 10 |
| | <i>Excellent: Substantially exceeding the specified requirement.</i> | 10 | |
| | <i>Very Good : Marginally exceeding the specified requirement.</i> | 08 | |
| | <i>Good: Just meeting the specified requirement.</i> | 06 | |
| | <i>Average: Marginally below the specified requirement.</i> | 04 | |
| | <i>Below Average: Substantially below the specific requirement.</i> | 00 | |

2. Sub Criteria: WORK PLAN (10 points)

[Note to Consultant:

Points shall be awarded based on evaluation of how the work plan responds to the TORs, whether all important activities are indicated in the activity schedule, and their timing is appropriate and consistent with the assignment outputs.

| Scoring | Sub Criteria | Point Allocation Max. Score allocated for the Criteria (ii b) | |
|---------|--|---|----|
| a) | Work Plan | | 10 |
| | <i>Excellent: Substantially exceeding the specified requirement.</i> | 10 | |
| | <i>Very Good: Marginally exceeding the specified requirement.</i> | 08 | |
| | <i>Good: Just meeting the specified requirement.</i> | 06 | |
| | <i>Average: Marginally below the specified requirement.</i> | 04 | |
| | <i>Below Average: Substantially below the specific requirement.</i> | 00 | |

3. Sub Criteria: ORGANISATION AND STAFFING (05 points)

[Note to Consultant:

Points shall be awarded based on evaluation of the team composition and the skills mix; and whether some members have worked together before to some extent.

| Scoring | Sub Criteria | Point Allocation Max. Score allocated for the Criteria (ii c) | |
|---------|--|---|---|
| a) | Organization & Staffing | | 5 |
| | <i>Excellent: Substantially exceeding the specified requirement.</i> | 5 | |
| | <i>Very Good: Marginally exceeding the specified requirement.</i> | 4 | |
| | <i>Good: Just meeting the specified requirement.</i> | 3 | |
| | <i>Average: Marginally below the specified requirement.</i> | 2 | |
| | <i>Below Average: Substantially below the specific requirement.</i> | 00 | |

CRITERIA-III
KEY EXPERTS' QUALIFICATIONS AND COMPETENCE FOR THE
ASSIGNMENT: 40 POINTS FOR ALL KEY EXPERT POSITIONS

The number of points to be assigned to each of the above positions shall be determined considering the following two sub-criteria and relevant percentage weights.

- General qualifications (general education, training, and experience):[30%].
- Adequacy for the Assignment (relevant education, training, experience in the sector/similar assignments): [70%]

Note .:

APPLICATION OF EVALUATION CRITERIA (III)

1) General qualifications (general education, training, and experience): [30%]

| | General qualifications | Point Allocation as percentage of Max. Score allocated for the "General Qualification" for specific Key Expert Position |
|-----|--|--|
| I | <i>Excellent: Substantially exceeding the specified requirement.</i> | 30% |
| II | <i>Very Good: Marginally exceeding the specified requirement.</i> | 27% |
| III | <i>Good: Just meeting the specified requirement.</i> | 24% |
| IV | <i>Average: Marginally below the specified requirement.</i> | 21% |
| V | <i>Below Average: Substantially below the specific requirement.</i> | 0 |
| VI | <i>Poor Submission</i> | 0 |

2) Adequacy for the Assignment (relevant education, training, experience in the sector/similar assignments):[70%]

| | Adequacy for the Assignment | Point Allocation as percentage of Max. Score allocated for "Adequacy for The Assignment" for specific Key Expert Position |
|-----|--|--|
| I | <i>Excellent: Substantially exceeding the specified requirement.</i> | 70% |
| II | <i>Very Good: Marginally exceeding the specified requirement.</i> | 63% |
| III | <i>Good: Just meeting the specified requirement.</i> | 56% |

| | | |
|----|---|-----|
| IV | <i>Average: Marginally below the specified requirement.</i> | 49% |
| V | <i>Below Average: Substantially below the specific requirement.</i> | 0 |
| VI | <i>Poor Submission</i> | 0 |

Section 3. Technical Proposal – Standard Forms

{Notes to Consultant shown in brackets { } throughout Section 3 provide guidance to the Consultant to prepare the Technical Proposal; they should not appear on the Proposals to be submitted.}

CHECKLIST OF REQUIRED FORMS

| Required for FTP or STP ✓ | | FORM | DESCRIPTION | Page Limit |
|---------------------------------|-----------------|-------------------|--|---------------------------------------|
| FTP | STP | | | |
| ✓ | ✓ | TECH-1 | Technical Proposal Submission Form. | 2 Pages |
| | ✓ If applicable | TECH-1 Attachment | If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement. | |
| | ✓ If applicable | Power of Attorney | No pre-set format/form. In the case of a Joint Venture, several are required: a power of attorney for the authorized representative of each JV member, and a power of attorney for the representative of the lead member to represent all JV members | As Required |
| ✓ | | TECH-2 | Consultant's Organization and Experience. | |
| ✓ | | TECH-2A | A. Consultant's Organization | 4 Pages |
| ✓ | | TECH-2B | B. Consultant's Experience | 25-30 Pages |
| ✓ | | TECH-3 | Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Client. | |
| ✓ | | TECH-3A | A. On the Terms of Reference | 2 Pages |
| ✓ | | TECH-3B | B. On the Counterpart Staff and Facilities | 2 Pages |
| ✓ | ✓ | TECH-4 | Description of the Approach, Methodology, and Work Plan for Performing the Assignment | 25-30 Pages |
| ✓ | ✓ | TECH-5 | Work Schedule and Planning for Deliverables | A3 5 pages |
| ✓ | ✓ | TECH-6 | Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV) | As required (Limit 5 Pages per CV) |
| ✓ | ✓ | TECH-7 | Code of Conduct (ES) | As required |

All pages of the original Technical and Financial Proposal shall be initialed by the same authorized representative of the Consultant who signs the Proposal.

FORM TECH-1**TECHNICAL PROPOSAL SUBMISSION FORM**

{Location, Date}

To: *[Name and address of Client]*

Dear Sirs:

We, the undersigned, offer to provide the consulting services for *[Insert title of assignment]* in accordance with your Request for Proposals (RFP) dated *[Insert Date]* and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal.

{If the Consultant is a joint venture, insert the following: We are submitting our Proposal a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}. We have attached a copy {insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

{OR

If the Consultant’s Proposal includes Sub-consultants, insert the following: We are submitting our Proposal with the following firms as Sub-consultants: {Insert a list with full name and address of each Sub-consultant.}

We hereby declare that:

- a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by the Bank.
- (b) Our Proposal shall be valid and remain binding upon us until *[insert day, month and year in accordance with ITC 12.1]*.
- (c) We have no conflict of interest in accordance with ITC 3.
- (d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Bank’s policy in regard to Fraud and Corruption as per ITC 5.
- (e) We, along with any of our sub-consultants, subcontractors, suppliers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or

individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Client's country laws or official regulations or pursuant to a decision of the United Nations Security Council.

- (f) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in India.
- (g) Except as stated in the Data Sheet, ITC 12.7, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITC 12 and ITC 27.4 may lead to the termination of Contract negotiations.
- (h) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in ITC 30.2 of the Data Sheet.

We understand that the Client is not bound to accept any Proposal that the Client receives.

We remain,

Yours sincerely,

Signature (of Consultant's authorized representative) {In full and initials}:

Full name: {insert full name of authorized representative}

Title: {insert title/position of authorized representative}

Name of Consultant (company's name or JV's name):

Capacity: {insert the person's capacity to sign for the Consultant}

Address: {insert the authorized representative's address}

Phone/fax: {insert the authorized representative's phone and fax number, if applicable}

Email: {insert the authorized representative's email address}_____

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.

FORM TECH-2 (FOR FULL TECHNICAL PROPOSAL ONLY) CONSULTANT'S ORGANIZATION AND EXPERIENCE

Form TECH-2: a brief description of the Consultant's organization and an outline of the recent experience of the Consultant that is most relevant to the assignment. In the case of a joint venture, information on similar assignments shall be provided for each partner. For each assignment, the outline should indicate the names of the Consultant's Key Experts and Sub-consultants who participated, the duration of the assignment, the contract amount (total and, if it was done in a form of a joint venture or a sub-consultancy, the amount paid to the Consultant), and the Consultant's role/involvement.

A - Consultant's Organization

1. Provide here a brief description of the background and organization of your company, and – in case of a joint venture – of each member for this assignment.

2. Include organizational chart, a list of Board of Directors, and beneficial ownership.

B - Consultant's Experience

1. List only previous similar assignments successfully completed in the last 8 years.

2. List only those assignments for which the Consultant was legally contracted by the Client as a company or was one of the joint venture members. Assignments completed by the Consultant's individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Consultant, or that of the Consultant's partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Consultant should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by the Client

| Duration | Assignment name/& brief description of main deliverables/outputs | Name of Client & Country of Assignment | Approx. Contract value (in Rs.)/ Amount paid to your firm | Role on the Assignment |
|---------------------------|--|---|--|------------------------------------|
| {e.g., Jan.2009–Apr.2010} | {e.g., “Improvement quality of.....”: designed master plan for rationalization of; } | {e.g., Ministry of, country} | {e.g., Rs.1 mill/Rs. 0.5 mill} | {e.g., Lead partner in a JV A&B&C} |
| {e.g., Jan-May 2008} | {e.g., “Support to sub-national government.....”: drafted secondary level regulations on.....} | {e.g., municipality of....., country} | {e.g., Rs. 0.2 mil/Rs. 0.2 mil} | {e.g., sole Consultant} |
| | | | | |

FORM TECH-3 (FOR FULL TECHNICAL PROPOSAL)**COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE, COUNTERPART STAFF, AND FACILITIES TO BE PROVIDED BY THE CLIENT**

Form TECH-3: comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Client, including: administrative support, office space, local transportation, equipment, data, etc.

A - On the Terms of Reference

{improvements to the Terms of Reference, if any}

B - On Counterpart Staff and Facilities

{comments on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc., if any}

FORM TECH-4 (FOR FULL TECHNICAL PROPOSAL ONLY)

DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE TERMS OF REFERENCE

Form TECH-4: a description of the approach, methodology and work plan for performing the assignment, including a detailed description of the proposed methodology for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal (in FTP format):

- a) Technical Approach and Methodology
 - b) Work Plan
 - c) Organization and Staffing
-
- a) **Technical Approach and Methodology.** {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.}
 - b) **Work Plan.** {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}
 - d) **Organization and Staffing.** {Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff}

FORM TECH-5 (FOR FTP)

WORK SCHEDULE AND PLANNING FOR DELIVERABLES

| N° | Deliverables ¹ (D-..) | Months | | | | | | | | | | | |
|------------|--|--------|---|---|---|---|---|---|---|---|------|---|-------|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | n | TOTAL |
| D-1 | {e.g., Deliverable #1: Report A | | | | | | | | | | | | |
| | 1) data collection | | | | | | | | | | | | |
| | 2) drafting | | | | | | | | | | | | |
| | 3) inception report | | | | | | | | | | | | |
| | 4) incorporating comments | | | | | | | | | | | | |
| | 5) delivery of final report to Client} | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| D-2 | {e.g., Deliverable #2:.....} | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

- 1 List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Client’s approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
- 2 Duration of activities shall be indicated in a form of a bar chart.
3. Include a legend, if necessary, to help read the chart.

FORM TECH-6 (FOR FTP) TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

| N° | Name | Expert's input (in person/month) per each Deliverable (listed in TECH-5) | | | | | | | | | | Total time-input (in Months) | | | |
|--------------------|-------------------|--|---------|-----------|-------|-------|--|-----|-------|-------|--|------------------------------|------|-------|-------|
| | | Position | | D-1 | | D-2 | | D-3 | | D-... | | | Home | Field | Total |
| KEY EXPERTS | | | | | | | | | | | | | | | |
| K-1 | {e.g., Mr. Abbbb} | [Team Leader] | [Home] | [2 month] | [1.0] | [1.0] | | | | | | | | | |
| | | | [Field] | [0.5 m] | [2.5] | [0] | | | | | | | | | |
| K-2 | | | | | | | | | | | | | | | |
| K-3 | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| n | | | | | | | | | | | | | | | |
| Subtotal | | | | | | | | | | | | | | | |

- 1 For Key Experts, the input should be indicated individually for the same positions as required under the Data Sheet ITC21.1.
 - 2 Months are counted from the start of the assignment/mobilization. One (1) month equals twenty two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
 - 3 "Home" means work in the office in the expert's country of residence. "Field" work means work carried out in the Client's country or any other country outside the expert's country of residence.
- Full time input
 Part time input

**FORM TECH-6
(CONTINUED)**

CURRICULUM VITAE (CV)

| | |
|---|--------------------------|
| Position Title and No. | {e.g., K-1, TEAM LEADER} |
| Name of Expert: | {Insert full name} |
| Date of Birth: | {day/month/year} |
| Country of Citizenship/Residence | |

Education: {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

Employment record relevant to the assignment: {Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}

| Period | Employing organization and your title/position. Contact information for references | Country | Summary of activities performed relevant to the Assignment |
|--------------------------|---|----------------|---|
| [e.g., May 2005-present] | [e.g., Ministry of, advisor/consultant to... For references: Tel...../e-mail.....; Mr. Hbbbb, deputy minister] | | |
| | | | |
| | | | |

Membership in Professional Associations and Publications:

Language Skills (indicate only languages in which you can work): _____

Section 4. Financial Proposal - Standard Forms

{*Notes to Consultant* shown in brackets { } provide guidance to the Consultant to prepare the Financial Proposals; they should not appear on the Financial Proposals to be submitted.}

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided in Section 2.

FIN-1 Financial Proposal Submission Form

FIN-2 Summary of Costs

FIN-3 Breakdown of Costs

FIN-4 Reimbursable expenses

FIN-5 Bill of Quantity

FORM FIN-1
FINANCIAL PROPOSAL SUBMISSION FORM

{Location, Date}

To: Project Director
Kerala Solid Waste Management Project (KSWMP)
Upper Ground Floor, Trans Towers, Vazhuthacaud,
Thiruvananthapuram -695014, Kerala, India
Telephone: 0471-2333011
E-Mail: tenderkswmp@gmail.com
Website: www.kswmp.org

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of Rs. _____ {Insert amount in words and figures}, [Insert “including” or “excluding”] of all indirect local taxes in accordance with ITC 25.1 in the Data Sheet. The estimated amount of local indirect taxes is Rs. _____ {Insert amount in words and figures} which shall be confirmed or adjusted, if needed, during negotiations. {Please note that all amounts shall be the same as in Form FIN-2}.

Our Financial Proposal shall be valid and remain binding upon us, subject to the modifications resulting from Contract negotiations, for the period of time specified in the Data Sheet, ITC 12.1.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

| Name and Address of Agents | Amount and Currency | Purpose of Commission or Gratuity |
|-------------------------------|------------------------|--------------------------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |

{If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution.”}

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Signature (of Consultant's authorized representative) {In full and initials}:

Full name: {insert full name of authorized representative}

Title: {insert title/position of authorized representative}

Name of Consultant (company's name or JV's name):

Capacity: {insert the person's capacity to sign for the Consultant}

Address: {insert the authorized representative's address}

Phone/fax: {insert the authorized representative's phone and fax number, if applicable}

Email: {insert the authorized representative's email address}_____

{For a joint venture, either all members shall sign or only the lead member/consultant, in which case the power of attorney to sign on behalf of all members shall be attached}

FORM FIN-2 SUMMARY OF COSTS

| Item | Cost |
|--|--|
| | {Consultant must state the proposed Costs in accordance with ITC 16.4 of the Data Sheet} |
| | In Indian Rupees (Rs.) |
| Cost of the Financial Proposal | |
| Including: | |
| (1) Costs | As per total in FORM FIN – 5 |
| (2) Reimbursables | NOT APPLICABLE |
| <u>Total Cost of the Financial Proposal:</u> {Should match the amount in Form FIN-1} | |
| Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded | |
| <u>Total Estimate for GST:</u> | |

FORM FIN-3 BREAKDOWN OF COSTS

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract's ceiling amount; to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts. **This FORM IS NOT TO BE FILLED UP.**

| A. COST | | | | | |
|---------|-------------|-----------|----------|-------|--------------|
| No | Task/Item | Unit Rate | Quantity | Gross | Total in INR |
| (a) | Task 1 | | 1 | | |
| | Task 2 | | 1 | | |
| | Task 3 | | 2 | | |
| | Total Fee | | | | |
| | GST | | | | |
| | Grand Total | | | | |
| | | | | | |
| | | | | | |

FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts. **THIS FORM IS NOT TO BE FILLED UP.**

| B. Reimbursable Expenses | | | | | |
|--------------------------|---|----------|-----------|----------|------------------------|
| Nº | Type of Reimbursable Expenses | Unit | Unit Cost | Quantity | In Indian Rupees (Rs.) |
| — | {e.g., Per diem allowances**} | {Day} | | _____ | |
| — | {e.g., International flights} | {Ticket} | | _____ | |
| — | {e.g., In/out airport transportation} | {Trip} | | | |
| | {e.g., Communication costs between Insert place and Insert place} | | | | |
| | {e.g., reproduction of reports} | | | | |
| | {e.g., Office rent} | | | | |
| | | | | | |
| | {Training of the Client’s personnel – if required in TOR} | | | | |
| Total Costs | | | | | |

Legend:

“Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Client can set up a ceiling.

**FORM FIN-5
BILL OF QUANTITY**

| Item | Deliverables and structure of financial proposal | Unit | No. of direct delivery items / Indicative Value of outsourced services | Unit Rate per direct delivery item / Percentage of management fee | Total Value |
|-------------|---|-------------|---|--|--------------------|
| | | | A | B | C = A*B |
| A | Inception Report & Course Design | LS | | | |
| B | Content development: Development of content for trainings based on the curriculum finalized by subject experts relating to | | | | |
| 1 | KSWMP Project management and implementation | Hrs | 21* | | |
| 2 | Procurement | Hrs | 13* | | |
| 3 | Environmental Management safeguards | Hrs | 42* | | |
| 4 | Social Management Safeguards | Hrs | 100* | | |
| 5 | SWM Sector Specific Subjects | Hrs | 46* | | |
| 6 | ULB level trainings | Hrs | 78* | | |
| 7 | Fifty (50) training videos, each of minimum 30 minutes' duration on different subjects in the curriculum identified by the SPMU | Nos | 50 | | |

| | | | | | |
|-----------|--|-----|-------------|--|--------------|
| 8 | Development of Materials including answer keys for evaluating and assessing the effectiveness of trainings | LS | | | |
| C | Delivery of Training | | | | |
| 1a | Delivery of trainings on e-platform | Hrs | 720 | | |
| 1b | Delivery of trainings as classroom trainings. | Hrs | 1670 | | |
| 2 | Organising exposure visits | LS | | | |
| D | Percentage Management fee for the Consultant for the Cost of logistics and other infrastructure facilities for the trainers, content developers | LS | 30,00,000 | | |
| E | Percentage Management fees for the consultant for coordinating, implementing the project | LS | 4,00,00,000 | | |
| I | Total of A+B+C | | | | XXXXX |
| II | Total of D+E | | | | XXXXX |
| | Grand Total (I +II) | | | | XXXXX |

*No of hours shown are INDICATIVE based on an Initial assessment by SPMU, actual hours required for content development may vary depending on Course design, annual TNA and needs of SPMU, Payments to the selected Consultant shall be based on the UNIT RATES (Column B) quoted by the consultant, with the number of hours to be finalised as per the SPMU approved course design.

Please Note:

- 1) Spaces filled in GREEN (Item D & E) should be filled as a percentage management fee against the Lumpsum indicative logistics cost estimated of the Client. The percentage management fee would be payable to the Consultant as the percentage of actual bills paid to third party service providers, which are pre-approved by the Client against specific Proposals received from the Consultant ahead of the scheduled training session.
- 2) The amount quoted for item A (**Inception report and Course Design**) and item B (**Content Development**) should be limited to **10%** and **20%** respectively of the amount in I (**Total of A+B+C**)

Section 5. Eligible Countries

In reference to ITC 6.3.2, for the information of Consultants, at the present time firms, goods and services from the following countries are excluded from this selection:

Under the ITC 6.3.2 (a): None

Under the ITC 6.3.2 (b): None

Section 6. Fraud and Corruption

(This Section 6, Fraud and Corruption shall not be modified)

1. Purpose

1.1 The Bank's Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.

2. Requirements

2.1 The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

2.2 To this end, the Bank:

- a. Defines, for the purposes of this provision, the terms set forth below as follows:
 - i. "corrupt practice" is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
 - ii. "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
 - iii. "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
 - iv. "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
 - v. "obstructive practice" is:
 - (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - (b) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 2.2 e. below.
- b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or

indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

- c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
- d. Pursuant to the Bank's Anti-Corruption Guidelines and in accordance with the Bank's prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;¹ (ii) to be a nominated² sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;
- e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect³ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

¹ For the avoidance of doubt, a sanctioned party's ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

² A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

³ Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.

Section 7. Terms of Reference

for External Training Consultant for Capacity Building in Kerala Solid Waste Management Project (KSWMP)

1. Background of the Project

The Project Development Objective (PDO) for the Kerala Solid Waste Management Project (KSWMP) is to strengthen the institutional and service delivery systems for municipal solid waste management (SWM) in Kerala. The project adopts an integrated service delivery value chain approach to address the key institutional, financial, service delivery and infrastructure constraints in the SWM system in Kerala. The proposed KSWMP project will support the 93 ULBs and the project design comprises three components:

Component 1: Institutional development, capacity building and project management

The component will provide technical assistance and capacity building at state and local levels for (a) undertaking SWM institutional, financial and policy reforms; (b) planning, designing and implementing investment sub-projects for climate smart and disaster resilient SWM infrastructure and service-provision improvements; (c) organizational development of participating ULBs for inclusive and sustainable SWM service delivery; and (d) awareness generation, gender inclusion and stakeholder engagement. This component will also provide project management, coordination and monitoring support at state, district and local levels. Lastly, this component will provide technical support to LSGD, SM and participating ULBs for (i) developing guidelines and systems for COVID-19 related waste management, sanitation and public hygiene practices to be rolled out across all urban areas, and (ii) carrying out social awareness, sensitization and training programs for key stakeholders and citizens. Key activities include:

- a) Technical Assistance to state agencies for policy reform, strengthening of organizational capacities and institutional systems including development of rules and regulations, and operational procedures and training.
- b) Technical Assistance to ULBs to strengthen their institutional systems including financial systems and cost recovery mechanisms, establishing mechanisms to partner with various city level agencies for SWM activities, project planning, design and implementation and O&M support.
- c) Training and awareness generation/Information Education Communication support for all agencies for SWM activities.

Component 2: Support to ULBs for SWM

The component will provide grants to the participating ULBs for improving their local level SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste, including the provision for performance-based contracts with Kudumbashree and HKS women groups as SWM service providers, (b) source segregation and treatment for BDW at decentralized level, (c) rehabilitation of existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facilities, (g) public space cleaning, sanitization, waste removal activities as well as cleaning and sanitization of government offices, hospitals, community level waste recycling and processing facilities (in the context of COVID-19), (h) protective gear, equipment, masks, chemicals, disinfectants etc. for sanitation and waste management workers, (i) operations and maintenance payments for performance-based contracts and tipping fees for regional disposal, and (j) implementation of environment and social risk mitigation actions.

Component 3: Development of Regional SWM Facilities

This component will finance, inter alia: (a) regional processing and recycling facilities; (b) regional construction and demolition (C&D) waste management facilities; (c) transfer stations and regional sanitary landfills for municipal solid waste disposal; and (d) closure/remediation of existing waste dumpsites and development of incremental disposal cells as interim safe disposal facility. These downstream activities aim at completing the value chain. They will be implemented and managed by SM in compliance with the National SWM Rules 2016 and the guidelines issued by CPCB. In addition, this component will finance the biomedical waste management facilities to expand the state's capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic.

In order to provide impetus to achieve the goal of the key activities of Component 1, SPMU will hire (i) KILA – a premier agency imparting training to local government in Kerala to conduct training needs assessment and to identify skills and knowledge gaps which are to be filled through training, and (ii) an external training Consultant to develop contents of the training courses and deliver training as per approved training plan for capacity building. This ToR is for the **External Training Consultant (ETC) for Capacity Building**.

2. Objectives of the Assignment

The objective of this assignment is to appoint a specialized agency / institution (External Training Consultant) to develop and deliver capacity building program to the implementing partners to achieve sustainable management of solid waste. The Consultant shall be responsible for Content Development and Training Delivery as per the approved Training Plan, which has been developed from the overall Technical Assistance and Capacity Building requirements stipulated in the Project Implementation Manual (PIM) and Environmental and Social Management Framework (ESMF) of KSWMP.

3. Scope of the Assignment and Detailed Tasks

The Consultant shall be responsible for content, material development and delivery of training in the areas mentioned below and other appropriate areas.

A. Course Content Development

- 1) The Consultant shall review the draft curriculum and suggest appropriate modifications with the inputs from the concerned Experts for comprehensive coverage of the subjects. The modified curriculum shall be submitted to SPMU for approval. A Standardized program of exposure visits to select SWM facilities would be included in the curriculum
- 2) Based on the curriculum, the Consultant shall prepare & submit **Course Design** and course material for each target group of trainees. in hardcopy and softcopy.
- 3) The Consultant shall design and develop **Training Course Content and Training Calendar** for classroom trainings and specific to digital platform for online trainings on all topics of KSWMP relating to the functional areas specified in Training List attached as **Annexure-1** and corresponding to the finalised training curriculum and training calendars approved annually by SPMU. Such course design shall be finalised for each target groups and based on feedback workshops before finalisation. Pilot test shall be rolled out on need basis.
- 4) The Consultant shall develop an appropriate **assessment mechanism** for each module for evaluating the effectiveness of the course content, method of training and knowledge gained by trainees. The Consultant shall **develop a feedback mechanism** consisting of a short set of questions to gather the feedback of trainees.

B. Delivery of Training

- 5) The Consultant shall be responsible for delivering training sessions in both online and classroom mode for each target group mentioned in the training list as per the yearly Training Plan. In the case of Class Room Training, the trainings may have to be scheduled in all the 14 district headquarters across the State of Kerala. In the case of online trainings, such trainings shall be delivered virtually at pre-scheduled time by the designated resource persons
- 6) The Consultant shall undertake the overall management, planning and execution of the training including progress monitoring and reporting. This would include, recording attendance, collecting feedback from all participants, conducting assessment of the trainees, preparing the assessment reports, distributing certificates duly signed by KSWMP, wherever required, developing training reports for all the trainings undertaken by them as per the Training Plan and preparing Annual Progress Reports over project period. The Consultant shall provide update of all training reports for inclusion in MIS.

C. Facilitating Exposure Visits for Trainees

- 7) The Consultant shall plan, coordinate and facilitate exposure visits for select Groups of Trainees to various ULBs outside the State of Kerala have good operational SWM Facilities. The Consultant shall liaise with the selected ULBs, obtain approval for the visit, schedule the trips, coordinate with the selected participants (list will be provided

by SPMU), facilitate transportation, accommodation, food and refreshments of the participants during the trip.

- 8) The exposure visit Coordinator shall accompany the team and ensure achievement of the intended benefits of the exposure visit. Logistics costs associated with the visits, such as cost of transportation, accommodation, food and refreshments will be directly met by the SPMU. For this the Consultant shall obtain competitive rates and shall submit comparison statement for logistics / travel arrangements and obtain prior approval from the SPMU before execution.

*Exposure visits means those visits arranged for the staff / Elected representatives / Engineers / any Government official in the ULBs and other KSWMP Stakeholders etc. to any ULB across India that are following the best practices in solid waste management. These ULBs are to be identified by the Consultant to give an exposure to the designated personnel and to conceptualize the technologies used and its good outcomes when implemented in Kerala

D. Training Management, including logistics

- 9) The Consultant shall make all necessary arrangements for the smooth delivery of both online training sessions, the Consultant should create an attractive virtual class room environment for delivery of training ensuring continuous connect with the Trainees.
- 10) In the case of Class Room Training, the Consultant shall schedule the sessions as per the Training Plan sufficiently in advance, finalise the location, venue and schedule of training and shall intimate the Trainees sufficiently in advance with minimum two week's advance notice.
- 11) The SPMU will be assisted in capacity building in KSWMP by Kerala Institute of Local Administration (KILA) – the premier agency imparting training to the Urban Local Self Governments (ULBs) in the State of Kerala. KILA will assist the SPMU in conducting the Training Need Assessment (TNA), planning, coordinating and monitoring all training programmes of the project, assessing quality of training contents developed and ensuring effectiveness of all trainings. The Consultant shall work in coordination with KILA for performing all above mentioned scope of services. All the deliverables and reports submitted by the Consultant will be reviewed by KILA and recommended for approval by SPMU. The Terms of Reference (ToR) of KILA is annexed as **Annexure 2 for information purpose only**.
- 12) The Consultant shall assist SPMU in managing the training logistics. This shall include the management of **Travel and Venue logistics of the Trainers and the Trainees**, including identifying and hiring suitable training venues, food and refreshments, accommodation and transportation for trainers and trainees and audio-visual equipment, as needed, in the venue etc. Expenses towards logistics involved in delivery of trainings like venue, food and refreshments, audio visual aids, accommodation and transportation for trainees will be met by SPMU directly. For these logistics arrangements, competitive rate comparison statement shall be obtained by the Consultant for logistics arrangement and submitted to SPMU for prior approval. For managing the Travel and Venue Logistics for the Trainers and Trainees, the Consultant shall be eligible for a percentage

management fee, which shall be discovered as part of the Financial Proposal. The Percentage Management Fee shall be payable to the Consultant against the actual payouts of charges by the KSWMP SPMU to third party vendors / service providers.

- 13) The Consultant shall ensure the presence of a Training Coordinator at the Training Venue/s or a mutually convenient location for organizing and coordinating trainings and related activities at the time of training delivery.
- 14) The Consultant shall design and print and distribute Participation Certificates duly signed by KSWMP to the Participants, who satisfactorily complete the training module.
- 15) The Consultant shall prepare and deliver fifty (50) training videos, each of minimum 30 minutes' duration on different subjects in the curriculum identified by the SPMU. These videos shall be prepared and delivered, as presented by the respective expert. The content shall include lectures supported by proper graphical explanatories and learning materials. The video shall be in HD format maintaining quality production standards. On completion of the postproduction works, the product shall be submitted to SPMU for approval.

4. Qualifications and Experience of the Consultant

Capacity building being a key component of the project, the Consultant firm/Institutions shall have the resources and capability for designing and developing quality training contents and effective delivery of both digital platform-based and classroom trainings.

The firm shall fulfill the following minimum requirements.

- a) The Consultant shall be a registered legal entity with experience as a training service provider/ capacity building firm and should have been in business for the last 8 years (as on 01-04-2023), providing Services on capacity building and training involving Course design, development of training materials / course contents / modules for delivering training in online (digital platform-based trainings) and offline mode.
- b) Should have successfully completed training delivery of minimum of two training/ capacity building projects completed for Local Self Governments or Public Utilities in India in areas like good governance/ solid waste management (SWM) practices / Waste management processes / Environmental Safeguard Trainings with a minimum consulting fee of INR 40 Lakhs.
- c) The average annual turnover of the company in any three of the last five financial years shall be at least INR 500 Lakhs. (FY 2021-2022, FY 2020-2021, FY 2019-2020, FY 2018-2019, FY 2017-2018).

5. Skillset Required for the Assignment

The consulting firm/Institution shall deploy the following experts for the assignment.

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|----------------------|------------------------|---|--|
| 1 | Training coordinator | 1 | <ul style="list-style-type: none"> • Post - Graduate in civil Eng./Environmental Eng/MBA/PG in Social Work/PG in Human Recourse Management or equivalent. • Minimum of ten years' individual/combined experience in urban infrastructure/municipal solid waste management/training and capacity building activities is required. • Experience in coordinating content development/capacity building activities in urban infrastructure/Municipal solid waste management projects is desirable. • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | <p>Plan, coordinate and supervise the content development related to all assigned topics / curriculum.</p> <p>Plan and coordinate delivery of all trainings as per the annual training calendars approved by SPMU. Ensure completion of all other related post delivery assignments mentioned in the scope of the assignment.</p> <p>Act as interface between KILA/PMU/PMC and the Consultant team for all purposes related to the assignment.</p> <p>The Consultant shall assist the client in arranging all logistic support for trainings as described in scope of assignment</p> |

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|---------------------------------|------------------------|--|--|
| 2 | Assistant training coordinator. | 1 | <ul style="list-style-type: none"> • Bachelor's degree in any engineering discipline or post graduate degree in social work/ sociology/ environment science. • Minimum of five years' individual/combined experience in urban infrastructure/municipal solid waste management/training and capacity building activities is required. • Experience in coordinating content development/capacity building activities in urban infrastructure/Municipal solid waste management projects is desirable. • Must have good communication skills in English. • Communication skills in Malayalam is desirable | <p>Assist Training Coordinator in the following tasks:</p> <p>Plan, coordinate and supervise the content development related to all assigned topics / curriculum.</p> <p>Plan and coordinate delivery of all trainings as per the annual training calendars approved by SPMU. Ensure completion of all other related postdelivery assignments mentioned in the scope of the assignment.</p> <p>Act as interface between KILA/PMU/PMC and the Consultant team for all purposes related to the assignment.</p> <p>The Consultant shall assist the client in arranging all logistic support for trainings as described in</p> |

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|---------------------------|------------------------|--|--|
| | | | | scope of assignment |
| 3 | Project Management Expert | 1 | <ul style="list-style-type: none"> • Master's degree in any Engineering Discipline/Construction Management • Minimum ten years' individual/combined experience in project management/ urban infrastructure / training & capacity building activities. • A minimum of three years of experience in conducting training in urban infrastructure, solid waste management or other service delivery functions of ULB projects. • Experience in design and preparation of training content is desirable • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | <p>Develop contents, coordinate delivery of trainings and related assignments on project management and implementation aspects as per course design/ annual training calendars approved by SPMU</p> <p>Contribute to the content development processes.</p> <p>Impart trainings as per training plan approved by SPMU.</p> |
| 4 | Procurement Expert | 1 | <ul style="list-style-type: none"> • Master's degree in any Engg discipline. • Minimum ten years' individual/combined experience in procurement of services and goods in urban infrastructure projects out of which three years shall be in World Bank/ ADB/ other external agency funded projects. | <p>Develop contents, coordinate delivery of trainings and related assignments on Procurement aspects as per course design/ annual training calendars</p> |

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|--------------------------------|------------------------|---|--|
| | | | <ul style="list-style-type: none"> • A minimum of three years of experience in conducting training in procurement of goods and services relating to urban infrastructure, solid waste management and other service delivery projects. • Experience in design and preparation of training content is desirable • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | <p>approved by SPMU</p> <p>Contribute to the content development processes.</p> <p>Impart trainings as per training plan approved by SPMU.</p> |
| 5 | Environmental safeguard expert | 1 | <ul style="list-style-type: none"> • Master's/Bachelors degree in Civil/Environmental engineering or Environmental Planning. Masters in Environmental Science/Policy/Management or related with minimum 3 years experience in managing externally aided Projects (preferably WB) using ESMF, ESIA or similar tools. • Minimum 5 years experience in OHS management and/or International certification in Occupational Health & Safety is desirable • Ten years' individual/combined experience as environment safeguards expert in urban infrastructure/SWM projects/training & capacity building activities; preferably in WB Safeguards policies & National regulations. | <p>Develop contents, coordinate delivery of trainings and related assignments on environmental safeguards aspects as per course design/annual training calendars approved by SPMU</p> <p>Contribute to the content development processes.</p> <p>Impart trainings as per training plan approved by SPMU.</p> |

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|-------------------------|------------------------|--|---|
| | | | <ul style="list-style-type: none"> • A minimum of three years of experience in content development and delivery of trainings • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | |
| 6 | Social safeguard Expert | 1 | <ul style="list-style-type: none"> • Master's degree in Sociology /Social work. • Ten years' individual/combined experience as social safeguards expert in urban infrastructure/SWM projects/ training & capacity building activities. • A minimum of three years of experience in content development and delivery of trainings • A minimum of two years' experience in social safeguards/ SIA/ Compliance monitoring is desirable. • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | <p>Develop contents, coordinate delivery of trainings and related assignments on social safeguards aspects as per course design/ annual training calendars approved by SPMU.</p> <p>Contribute to the content development processes.</p> <p>Impart trainings as per training plan approved by SPMU.</p> |

| Sl. No | Expert | No of experts Deployed | Qualification and Experience | Tasks |
|--------|-------------------------------|------------------------|---|--|
| 7 | Solid waste Management expert | 1 | <ul style="list-style-type: none"> • Master's degree in Environmental Engineering/ Environmental Science sanitary engineering • 7 years of individual/combined experience as SWM expert / training & capacity building activities in SWM. • A minimum of three years of experience in content development and delivery of trainings • A minimum of three years of experience in SWM field operations. • A minimum of two years' experience in municipal service delivery is desirable. • Must have good communication skills in English. • Communication skills in Malayalam is desirable. | <p>Develop contents, Coordinate delivery of trainings and related assignments on solid waste management aspects as per course design/ annual training calendars approved by SPMU.</p> <p>Contribute to the content development processes.</p> <p>Impart trainings as per training plan approved by SPMU.</p> |

The Consultant shall deploy adequate other support staff, as and when required, in order to achieve the objectives and scope of this assignment. This should include a **Content Developer** to design the training material and an **IT Expert** to develop online courses

6. Timeline for Completion of Tasks, Deliverables and Payments

| Sl. No | Topic | Timeline | Deliverables | Payments | | | | | | |
|--|---|--|--|-----------------------------|---------------------------------|---------------------------------|------------------------|---|--|---|
| A | Inception Report & Course Design | T+ 2 Month | Inception Report & Module wise course design | As quoted in FORM FIN 5 | | | | | | |
| B | Content Development | | | | | | | | | |
| 1 | <p>Development of content for trainings based on approved curriculum & course design relating to</p> <table border="1"> <tr> <td>a) KSWMP Project management and implementation</td> </tr> <tr> <td>b) Procurement</td> </tr> <tr> <td>c) Environmental safeguards</td> </tr> <tr> <td>d) Social Management Safeguards</td> </tr> <tr> <td>e) SWM Sector Specific Subjects</td> </tr> <tr> <td>f) ULB level trainings</td> </tr> </table> | a) KSWMP Project management and implementation | b) Procurement | c) Environmental safeguards | d) Social Management Safeguards | e) SWM Sector Specific Subjects | f) ULB level trainings | Progressively within T+6 Months Each module to be delivered at least two weeks prior to scheduled training as per approved training plan | Training courses/ modules, materials, for both digital platform-based training and classroom-based trainings. Training materials may include booklets/handouts, presentations, audio visual clips & experience sharing & other relevant documents Course-wise booklets in hard copy 3 Nos/course Soft copy in pen drive 3 Nos. | Monthly payments against receipt and approval of deliverables |
| a) KSWMP Project management and implementation | | | | | | | | | | |
| b) Procurement | | | | | | | | | | |
| c) Environmental safeguards | | | | | | | | | | |
| d) Social Management Safeguards | | | | | | | | | | |
| e) SWM Sector Specific Subjects | | | | | | | | | | |
| f) ULB level trainings | | | | | | | | | | |
| 2 | 50 training videos each of minimum duration 30 minutes on different subjects in the curriculum identified by the SPMU shall be prepared and delivered (as presented by the respective expert). The content shall include lectures supported by proper graphical explanatories and learning materials. The video shall be in HD format maintaining quality production standards. | T+9 Months | The video in HD format maintaining quality production standards. | Against Delivery | | | | | | |
| 3 | Development of Materials including answer keys for evaluating and assessing the effectiveness of trainings | To be delivered along with the training | Tools of evaluation such as assignments, exercises, role | Against delivery | | | | | | |

| Sl. No | Topic | Timeline | Deliverables | Payments |
|----------|---|--|--|--|
| | | content at least two weeks prior to scheduled training as per approved training plan | play tools, questioning techniques discussions along with answer keys etc. | |
| C | Delivery of Training as per the Schedule attached in Annexure-1 | | | |
| 1 | Delivery of trainings both digital platform based and classroom trainings, including the course materials & certificates to the participants. | As per training calendar and specified time limits | Completion Reports of trainings conducted | Monthly payments upon certification of successful completion |
| 2 | Organising Exposure Visits | Against timetable prepared by the consultant and approval by client | Reports on Satisfactory completion of planning, scheduling and execution of visits | Monthly Payments on pro rata basis upon completion of visits |
| 3 | Uploading of training completion Status on Digital Platform of all trainings in MIS system of KSWMP. | Within 10 days after each training | Quarterly, Half yearly and Annual Training progress reports uploaded on DLP. | |
| 4 | Updating of feedback into the MIS system of KSWMP for all trainings and exposure visits. | Within 10 days after each training | Feedback reports | |
| 5 | Assessment and evaluation relating to all trainings and uploading of related reports MIS system of KSWMP. | Within 10 days of each training completed | Assessment report /Gap Analysis Report | |

| Sl. No | Topic | Timeline | Deliverables | Payments |
|---------------|-------------------------------------|--|---------------------------------|-----------------|
| D | Report on monthly progress | Within 10 days of every month | Monthly Progress Report (MPR) | |
| E | Report on progress in every quarter | Within 10 days after each quarter | Quarterly Progress Report (QPR) | |
| F | Completion Report | One month prior to the contract completion date. | Completion report | |

T- Date of Signing of Contract Agreement

Note – In addition to the deliverables listed above, the Consultant shall be eligible for receiving a Percentage Management Fee against the actual payouts of charges by the KSWMP SPMU to third party vendors / service providers. The percentage will be discovered through FORM FIN-5

7. Period of Contract

The contract will be initially for a period of two years and extendable up to 4 years based on the assessment of performance and with approval of project director, KSWMP.

8. Client's Input and Support

On request, the Client would facilitate to make available project documents/authorisation necessary for the effective completion of duties to the Consultant.

Expenses towards logistics for venue, food and refreshments, audio visual aids, accommodation and transportation for trainees will be met by SPMU directly.

Annexure 1**Training Lists-3**

| PROJECT MANAGEMENT TRAININGS | | | | | | | | | | |
|-------------------------------------|---|---|--------------|---|--------------------|-------------------------|---------------------------|------------------------------|------------------------|-----------------------------|
| Sl.No. | Module | Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
| 1 | About SWM in Kerala; Existing and proposed system; involvement of State, ULBs, and World Bank. (orientation about KSWMP Including financing instrument) | <ul style="list-style-type: none"> •Present status of solid waste management service delivery in Kerala •Legal and regulatory aspects Present rules and regulations (Central and state government) Expected policy/reforms (Best examples/ practices) •SWM Challenges in Kerala •Need for Kerala solid waste management project • Overview of KSWMP including Technical and financial aspects | 5 | SPMU/DPMU and PIU / Local Body staff, PMCs technical review committee members | Year 0-1 | Blended | 227 | 5.00 | 0 | 25.00 |

| | | | | | | | | | | |
|---|--|--|----|------------------------------|----------|---------|-----|------|---|-------|
| 2 | Project Management and Project Implementation Set up | <ul style="list-style-type: none"> •Project life cycle • Expected outputs •Building the team- procurement of external consultants, service providers •Overall institutional framework and Organization structure for project implementation. •Project Financing Mechanism Financing Mechanism for : <ul style="list-style-type: none"> a. Component 1 & 3 b. Component 2 Internal and External Audit •Stakeholder engagement and consultation •Project approval process and responsible institutions. •Technical aspects of project •Procurement of works, service and goods. •Project Planning and Scheduling •Work breakdown structure •Resource allocation •Quality control and safety during construction •Risk Management | 11 | SM, SPMU, DPMU and ULB staff | Year 0-1 | Blended | 222 | 4.00 | 0 | 44.00 |
| 3 | Project Implementation and Monitoring | <ul style="list-style-type: none"> • Managing execution • Managing controlling • Project control & Monitoring | 2 | SM, SPMU, DPMU and ULB staff | Year 2-6 | Online | 222 | 4.00 | 3 | 14.00 |
| 4 | Project Closing and O&M Aspects | <ul style="list-style-type: none"> • Project documentation and its importance. • Project Closing • O&M aspects of the project. Understanding the operations of new technologies in SWM, practical challenges in operation, Financial requirements and viability - cost sharing modalities O&M guidelines for assets/facilities and monitoring. | 3 | SM, SPMU, DPMU and ULB staff | Year 5 | Offline | 222 | 4.00 | 0 | 12.00 |

| | | | | | | | | | | |
|--|--|--------------|--------------|--|--|--|--|-----------|----------|-----------|
| | | Total | 21.00 | | | | | 17 | 3 | 95 |
|--|--|--------------|--------------|--|--|--|--|-----------|----------|-----------|

| PROCUREMENT RELATED TRAININGS | | | | | | | | | | |
|-------------------------------|--|--|-----------------------|-----------------------|----------------|------------------|--------------------|-----------------------|-----------------|----------------------|
| Sl.No. | Module | Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
| 1 | Basics of Procurement of WB funded Projects | 1.Introduction - Objectives Significance of Procurement in World Bank operations, Introduction to Procurement Manual Procurement as part of Project Cycle, Methods of Procurement 2. Public vs. Private Procurement 3. MoUs and inter agency working arrangements 4. PPP models, Cost benefit, Value for Money analysis 5. Procurement Ethics 6. Environmentally Responsible and Fiduciarly Accountable Procurement | 2 | SM,SPMU,DPMU and KILA | Year 1-6 Cont. | Online | 216 | 4.00 | 3 | 14 |
| | | Procurement Cycle | 2 | SM,SPMU,DPMU and KILA | Year 1-6 Cont. | Online | 216 | 2.00 | 3 | 10 |
| | | Procurement References in Legal Agreements for KSWMP 1. Particular methods for procurement of Goods and Works, 2. Particular Methods of Procurement of Consultants' Services, 3. Procurement Plan for first 18 months 4. Implementation Arrangements of the PAD | | | | | | | | |
| | Procurement under World Bank projects Different Methods of Procurement for World Bank Financed Projects and thresholds for KSWMP. | 1 | SM,SPMU,DPMU and KILA | Year 1-6 Cont. | Online | 216 | 4.00 | 3 | 7 | |

| | | | | | | | | | | |
|--------------|--|--|--------------|-----------------------|----------------|--------|-----|-----------|-----------|-----------|
| 2 | Tendering and Bid process Management | Step-by-Step guidance on preparation of bid documents and tendering process with reference to the WB Procurement Guidelines 2020 - 1 Procedure for Procurement of Goods 2 Procedure for Procurement of Works 3 Procedure for Procurement of Non-Consultancy Services 4 Procedure for Procurement of Consultancy Services | 1 | SM,SPMU,DPMU and KILA | Year 1-6 Cont. | Online | 216 | 4.00 | 3 | 7 |
| 3 | Application of World Bank guidelines to ULBs & Tendering procedures specific to Component 2 with SBDs explained. | WB Procurement guidelines Project Initiation & Approval Protocols Preparation of Procurement Plan Technical Specifications & Bill of Quantities for preparing bid documents Preparation of Bid Documents with reference to Standard Bidding Documents Bid Process Management E-Procurement – Process Involved & monitoring aspects GEM-Guidelines Review Mechanism Reporting Introduction to Contract Management of Sub-Projects | 7 | SM,SPMU,DPMU and KILA | Year 1-6 Cont. | Online | 216 | 4.00 | 3 | 49 |
| TOTAL | | | 13.00 | | | | | 18 | 15 | 87 |

ENVIRONMENTAL SAFEGUARDS TRAININGS according to ESMF

| Sl.No | Module | Tentative Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
|-------|--------|--------------------|-------|--------------|-------------|------------------|--------------------|-----------------------|-----------------|----------------------|
|-------|--------|--------------------|-------|--------------|-------------|------------------|--------------------|-----------------------|-----------------|----------------------|

| A State Level Training Programs organized by SPMU | | | | | | | | | | |
|---|--|--|---|---|------------|---------|-----|---|---|----|
| 1 | <p>1. KSWMP Safeguards On-boarding,</p> <p>2. About KSWMP Program & : EMF and the Project Cycle and Regulatory Aspects</p> | <ul style="list-style-type: none"> - World Banks Safeguards Policies and ESMF for KSWMP - EMF adoption and safeguard requirements and instruments for the subproject - EMF Adoption Framework across the Subproject Cycle <p>All applicable regulations: National, State, Local/others – Environmental Clearances, licenses, permits, NOCs required for activities & infrastructure provision across SWM value chain (Waste Segregation, Collection, Transport, Treatment, Disposal) for various types of SWM facilities such as MCF, MRF, RRF, Waste treatment facilities, disposal facilities such as landfills, recycling centers, C&D waste processing, Biomedical waste management, – specifically important for functioning & O&M of various types of infrastructure and facilities proposed for upgradation in Kerala, and possible new infrastructure & services</p> <ul style="list-style-type: none"> - Source: WB Safeguard Policies, MoEFCC/CPCB/SPCB sources & websites, India Code in NIC website, KSWMP EMF | 5 | <p>SPMU Safeguards (E&S) Experts,</p> <p>DPMU Safeguards Experts (E&S), PMCs, Technical review committee, PIU,TSC</p> | Year 1,2,3 | Offline | 217 | 4 | 2 | 30 |

| | | | | | | | | | | |
|---|---|--|---|-------------------------|------------|---------|-----|---|---|----|
| | | <p>Applicable Rules under KSWMP</p> <p>Water (Prevention & Control of Pollution Act)</p> <p>The Air (Prevention & Control of Pollution) Act,</p> <p>The Hazardous Wastes (Management and Handling) Rules</p> <p>Solid Waste management rules</p> <p>Environmental Protection Act,</p> <p>Construction and Demolition Waste rules,</p> <p>Biomedical waste management rules etc</p> | 3 | | Year 1,2,3 | Offline | 217 | 4 | 2 | 18 |
| 2 | Overview of Locations and Project Activities; Impacts | <p>ESMF incorporation in Project Cycle - during Identification, Preparation, Appraisal, Implementation (Monitoring and Audit)</p> <p>1. Sub project identification, Screening, Scoping of project, identification of risk – Categorization, siting criteria and applicable safeguard instruments</p> <p>2.. Env't. Screening as per ESMF in KSWMP</p> <p>3.. Sub project Preparation and Appraisal</p> <p>4. Institutional mechanism for EMF implementation</p> <p>5 Sub project Environmental Monitoring, Reporting, Independent Audit, Monitoring and evaluation</p> <p>6. Site Criteria and Project Site Specific EMP and disaster climate resilience</p> <p>Anticipated Environmental Impacts: activity-wise –</p> | 3 | SPMU,DPMU,PM C, TSC,PIU | Year 1,2,3 | Offline | 217 | 4 | 2 | 18 |

| | | | | | | | | | |
|---|--|--|---|-----------------------------------|---------|-----|---|---|----|
| | | <p>7. Need for the EMP to mitigating the negative impacts and with Institutional responsibility for each measure. Budget for each measure</p> <p>- Expected impacts: activity-wise</p> <p>1. Impacts on Land / Soil Environment 2. Impacts on Air, Odour and Noise Environment 3. Impacts on Water Environment 4. Impact on Biodiversity and Host Communities</p> | | | | | | | |
| 3 | <p>Sub Project Level Environmental Assessments , Generic Mitigation / Management measures, Institutional Aspects</p> | <p>Environmental Impact Assessment: - EIA: EA process as outlined in EMF Identification of Environmental Impacts, Impact Identification Methods, Identification of Mitigation Measures, Formulation of Environmental Management Plan, Climate Change adaptation and mitigation Plans, Implementation, and Monitoring, Institutional Mechanism</p> <p>Environmental Categorisation and level of due diligence for E1, E2, E3 subprojects</p> <p>Environmental Impact Assessment : for National & State EC EIA for E2, E3 subprojects Environmental Management plan for – Preconstruction, Construction and Operation phase & Decommissioning Implementation of ESMP, Environmental Monitring Plan Budget for EMP & EMoP implementation Inclusion of EHS clauses, ESMP and Budget for EMP implementation in Bid documents Institutional Arrangements for ESMP &</p> | 8 | <p>SPMU, DPMU, PMC, TSC, PIU,</p> | Offline | 217 | 4 | 2 | 48 |

| | | | | | | | | | | |
|--|--|--|---|--|--------|---------|-----|---|---|----|
| | | <p>Emop Implementation</p> <p>Reporting mechanism at various work phases by various agencies Environmental Training - Training needs and Capacity Building as per site specific requirements</p> <p>Annual Environmental Audit Responsibilities matrix and BOQ contents Institutional Arrangements – Monitoring committee Monitoring Mechanism – Env. Monitoring Plan Reporting System – Compliance management (Monthly, Quarterly and Half-yearly submissions) - Contractor Environmental Training - Training needs and Capacity Building as per site specific requirements</p> | | | | | | | | |
| Implementation Experience Sharing Program | | | | | | | | | | |
| 4 | Experience Sharing on EMP Implementation | <p>Experiences on implementation of EMF in implemented projects- Session on Env. Safeguard implementation during various stage of project</p> <ol style="list-style-type: none"> 1. Pre Construction, 2. Construction 3. Operation <p>Incorporating EHS in the bid documents Implementation of EMP at site Incorporating EMP into Contract Documents Best Practices-Site visits to project towns/sites-</p> | 5 | SPMU, DPMUs, and PIU / Local Body staff, PMCs, TSC/ CBO/ Contractors, al as applicable | Y2,4,5 | Offline | 222 | 4 | 2 | 30 |
| 5 | Review of Audit Results | <p>Results of the annual audit on EMF-</p> <ol style="list-style-type: none"> 1. Evaluating the analytic reports and overall compliance response 2. Compliance monitoring system | 3 | SPMU, DPMUs, and PIU / Local Body staff, PMCs, TSC/ | Y2,4,5 | Offline | 222 | 4 | 2 | 18 |

| | | | | | | | | | | |
|---|--|--|-------|---|---------|---------|-----|-------|-------|---------|
| | | | | CBO/ Contractors, al as applicable | | | | | | |
| 6 | Best Practices Showcase | Showcasing best practices followed during the implementation of project, EHS measurements and other precautionary measures Ranking of sites may be anticipated to boost the work culture among the contractor's | 2 | SPMU, DPMUs, and PIU / Local Body staff, PMCs, TSC/ CBO/ Contractors, al as applicable | Y2,,4,5 | Offline | 222 | 4 | 2 | 12 |
| <i>District Level Training Programs organized by DPMUs</i> | | | | | | | | | | |
| 7 | Review of Subproject Level Environmental Actions | <ul style="list-style-type: none"> • Review of Environmental Actions at each sub-project • Lessons learned • Course Corrections • Continual improvement | 4 | SPMU, DPMU, PMC, TSC, PIU | Y2,,4,5 | Offline | 222 | 4 | 2 | 24 |
| TOTAL | | | 33.00 | | | | | 32.00 | 14.00 | 218 .00 |

SOCIAL SAFEGUARD RELATED TRAININGS

| Sl.No. | Module | Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
|--------|--------|----------|-------|--------------|-------------|------------------|--------------------|-----------------------|-----------------|----------------------|
|--------|--------|----------|-------|--------------|-------------|------------------|--------------------|-----------------------|-----------------|----------------------|

| | | | | | | | | | | |
|---|--------------------------------------|--|---|---|--------|---------|-----|---|---|----|
| 1 | Role in Social Management Safeguards | Compliance TDF-SM, RPF Result Indicators - Stakeholder mapping and Citizen engagement. Stakeholder mapping and Citizen engagement. Relevance of SMF, TDF, RPF in KSWMP. Assessment and management of Social risks RFCTLARRA 2013 and its procedures Social Management Plan, Tribal Development Plan Resettlement Action Plan, Labor management plan and Gender Action Plan SIA The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights (ROFR) Act, 2006 and the Rules The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989, | 4 | Project Steering Committee (Committee members), Suchitwa Mission and State Project Management Unit (Senior Staff) District Coordination Committee (Committee Members) District Project Management Unit (Senior Staff) | Year 1 | Offline | 26 | 1 | 0 | 4 |
| 2 | Role clarity Safeguards compliance | TDF-SMF and RPF Result indicators - Environment and Social Safeguards Monitoring and Reporting Safeguards Information Management System (SGIMS) Quarterly Social Safeguards Monitoring Reports Independent Safeguards Audit (ISA) Annual report of the social situation in the project districts Reviewing RAP. Social Management Baseline Data Compilation Scheme Cycle- Analysis and reporting of baseline data | 8 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and | Year 1 | Offline | 120 | 2 | 0 | 16 |

| | | | | | | | | | | |
|---|---------------------------------|---|---|---|--------|---------|-----|---|---|----|
| | | | | Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff) | | | | | | |
| 3 | Social Assessment and Screening | <p>Understanding Social Assessment and Screening, SIA, DPR (TDP, RFP)- What is meant by social assessment /screening related to sub projects. World Bank policies related to screening/assessment Components for assessment/screening, Concept and Components of SMF/TDF/RPF, DPR Benefits to community - positive and negatives Mitigation measures for anticipated negative impacts Disclosure of the assessment report , accepted patterns in practice. Need of documentation and disclosure</p> | 8 | District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Pont), TSC staff (Social and Communication experts), Support Organization (Deputed staff) | Year 1 | offline | 120 | 2 | 0 | 16 |

| | | | | | | | | | | |
|---|---|---|---|---|--------|---------|-----|---|---|---|
| 4 | Social database and inclusive planning | <p>Importance of Social Baseline database and Social Indicators Use of data for developing inclusive plans-What is a database, parameters to be included in any data base, usefulness for planning, policy making, intervention plans Need of inclusiveness and comprehension Need and introduction of IT based/ digital portal Participation of representatives in planning and decision making (inclusive) - information sharing regarding projects Inclusion of Vulnerable people</p> | 4 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, MIS team) District Level Environmental and Social Development Unit (Social and Communication Expert) | Year 1 | Offline | 115 | 2 | 0 | 8 |
| 5 | Participatory approaches, social management | <p>Participatory Approaches and Social management Principles- Concepts of participatory approaches - Principles of participatory approaches World bank aided projects and participation Stakeholder engagement and consultation Social management and development Participation of representatives in planning and decision making Development of SWM plan along with social safeguards Project planning – Work Breakdown Structure (WBS), project scheduling, Different case studies (international) Risk Management</p> | 8 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and | Year 1 | Offline | 22 | 1 | 0 | 8 |

| | | | | | | | | | | |
|---|--------------------------------------|--|---|--|--------|---------|-----|---|---|----|
| | | | | Communication Expert), Support Organization (Coordinator) | | | | | | |
| 6 | Participatory and inclusive planning | <p>Social Mobilization, Facilitating Participatory Planning, inclusion of marginal and women's voices in the plan-</p> <p>What is participatory planning Scope and need of participatory planning in the project Inclusion of vulnerable people in KSWMP project Institutional roles of downstream agencies and devolution of powers Measuring Vulnerable participation and impact Facilitation and Participatory Planning, Training for Gender development plan preparation</p> | 8 | <p>ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff) Select Ward Members</p> | Year 1 | Offline | 125 | 3 | 0 | 24 |

| | | | | | | | | | | |
|---|---|--|---|--|--------|---------|----|---|---|---|
| 7 | Toolkit development (Participatory planning, social Inclusion, Gender, Social Audit etc.) | Toolkit development (Participatory planning, social Inclusion, Gender, Social Audit etc.) -Different strategies in participatory planning Decision-Making process, Importance of vulnerable inclusion Role of different stakeholders in project planning Inclusion of vulnerable people and livelihood improvement. Gender Mainstreaming, Orientation on GBV Methods to be adopted for gender mainstreaming Identify the issues Need and importance of social auditing | 8 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) | Year 1 | Offline | 22 | 1 | 0 | 8 |
| 8 | Citizen feedback social audit | Facilitating Citizen Feedback, Social Audit- Meaningful citizen Engagement Digital citizen Social Media based Feed back General Principals of Social Audit Benefits of SA Procedure for Conduct of Social Audit Setting up of Social Audit Committee Impact of SA Challenges | 4 | District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) | Year 2 | offline | 22 | 1 | 0 | 4 |

| | | | | | | | | | | |
|---|--------------------|--|----|--|--------|---------|-----|---|---|----|
| 9 | Outcome monitoring | <p>Understanding Outcome Monitoring and Reporting (Review of Social Management database, Activity Reports) Documentation- WHY Monitor and Evaluate? Purpose of Monitoring Principles of Evaluation Stages in Evaluation Measuring Vulnerable participation and impact Logical Framework Setting up of Indicators</p> | 16 | District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC | Year 2 | Offline | 115 | 2 | 0 | 32 |
|---|--------------------|--|----|--|--------|---------|-----|---|---|----|

| | | | | | | | | | | |
|----|--|--|---|---|----------|---------------------------|-----|---|---|----|
| | | | | staff (Social and Communication experts), Support Organization (Deputed staff) | | | | | | |
| 10 | Leadership development and conflict resolution | <p>Leadership development, decision making, conflict resolution-</p> <p>Types of Leadership Decision-Making process, Define the problem, Gather information and resources, List of options ,Weigh and compare option s What is conflict What does work and doesn't? Preparation to address the conflict Identify the issues Evaluate alternative solution</p> | 4 | ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff),Select Ward Members, Select SWM workers | Y1 and 2 | Two day Training Workshop | 115 | 2 | 1 | 12 |

| | | | | | | | | | | |
|----|----------------------|---|---|--|----------|---------|-----|---|---|----|
| 11 | Gender Mainstreaming | <p>Gender Mainstreaming and Orientation on GBV (Project Gender Action Plan and GBV Action Plan)- Formation of Internal Complaints Committee Mapping of Hotspots, mapping existing GBV service providers Facilitating GBV awareness and sensitization programs Augmenting GBV response, and support mechanisms Skill enhancement of women SWM Workers. Capacity building program for entrepreneurial development. Equality in terms of labor, wages, benefits and opportunities. Safety and security challenges facing women in the SWM sector Vulnerability of formal women workers of Sexual Harassment at workplace GBV awareness sensitization programmed Reporting, monitoring and review</p> | 8 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff), Select Ward Members, Select SWM | Y1 and 2 | offline | 115 | 2 | 1 | 24 |
|----|----------------------|---|---|--|----------|---------|-----|---|---|----|

| | | | | | | | | | | |
|----|-------------------|---|---|---|--|---------|-----|---|---|----|
| | | | | workers All Contracted Agencies and staff (State level PMC, District level TSA, ULB level Contracted Agencies for SWM services, Construction and O&M) | | | | | | |
| 12 | Labour Compliance | <p>Social objectives of the Program, Labour Compliances- Need and importance of Labour compliance in World Bank funded projects Statutory Labour compliance need- policy and laws (central and state) Laws related to the sub projects in tune with Labour- Statutory - mandatory compliances, optional compliances. Exposure visit to show cased sites Remedy available during Non compliance, Verifiable indicators Open forum with A Labour Welfare Officer of Labour Department</p> | 8 | All Contracted Agencies and staff (State level PMC, District level TSA, ULB level Contracted Agencies for SWM services, Construction and O&M) | | Offline | 115 | 2 | 0 | 16 |

| | | | | | | | | | | |
|----|------------------------------|--|---|--|--------|--|-----|---|---|----|
| 13 | Entrepreneurship Development | Entrepreneurship Development and other skill building- Why Entrepreneurship Development in KSWMP Entrepreneurship Development and other skill building Skill enhancement of women SWM Workers. Livelihood Action Plan for adversely affected people Inclusion of SC/ST in the SWM sector and livelihood improvement. Livelihood action plan preparation | 8 | SWM Workers | TBD | | 115 | 2 | 0 | 16 |
| 14 | GRM Review | Completing the Feedback loop (Review Grievances Redressal Mechanisms- including GBV and Labour)- Principle of GRM Steps in setting up a basic GRM GRM value chain GRM Do s and Don'ts Challenges in GRM Documentation | 4 | State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) | Year 2 | | 20 | 1 | 0 | 4 |

| | | | | | | | | | | |
|--------------|--|--|-----|--|---------|---------|-----|-----------|----------|------------|
| 15 | Stakeholder Participation and Community Engagement - | Stakeholder Analysis- Engagement of various Key stakeholder and assessment of KSWMP requirements | 2 | SPMU, DPMUs, and PIU / Local Body staff, PMCs, TSC/ CBO/ Contractors, al as applicable | Y2,,4,5 | Offline | 222 | 4 | 2 | 12 |
| TOTAL | | | 102 | | | | | 28 | 4 | 204 |

ENVIRONMENTAL AND SOCIAL ENHANCEMENT (OHS/CHS)

| Sl.No | Module | Tentative Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
|--|---|--|-------|--|-------------|------------------|--------------------|-----------------------|-----------------|----------------------|
| <i>District Level Training Programs organized by DPMUs</i> | | | | | | | | | | |
| 1 | Environmental & Social Enhancement and Occupational and Community Health and safety | 1. Construction safety 2. Behavior safety 3. Worker's welfare and safety 4. Good Housekeeping practices 5. EMT - Emergency management system 6. DMS – Disaster Management System 7. Accident and incident reporting system 8. HIV/AIDS prevention Training 9. Implementation of EMP provisions Incorporation EHS in the bid documents, Calculation of estimates | 4 | SPMU, DPMUs, and PIU / Local Body staff, PMCs, TSC/ CBO/ Contractors, al as applicable | Y2,,4,5 | Offline | 222 | 4 | 2 | 24 |
| TOTAL | | | 4.00 | | | | | 4.00 | 2.00 | 24 |

| SWM SECTOR SPECIFIC TRAININGS | | | | | | | | | | |
|-------------------------------|---------------------------------------|---|-------|--|----------------------|------------------|--------------------|-----------------------|-----------------|----------------------|
| Sl.No. | Module | Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
| 1 | SWM Legislation/Rules and Regulations | <ul style="list-style-type: none"> •National & State Rules •State Govt.policies /strategies- • Approach and Strategy for SWM in Kerala •Preparation of guidelines- Guidelines -MoEF, SBM, SWM Manual 2016 •Preparation of Bylaws- •As per SWM Rules 2016 & State policies, Model Bylaws adaption • Preparation of SOPs | 4 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-1 /Continuous | Online | 305 | 3 | 3 | 24 |
| 2 | SWM Planning** | <ul style="list-style-type: none"> •Preparation of integrated SWM plan in ULB Level- •Data Collection & analysis | 4 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 36 |
| | | <ul style="list-style-type: none"> •Goals & Objectives •Understanding the issues & deficiencies in the existing system, | | | | | | | | |
| | | <ul style="list-style-type: none"> •Planning horizon •SWM Service delivery - Benchmarking | | | | | | | | |
| | | <ul style="list-style-type: none"> •Function elements and value chain approach in SWM Planning- •Functional elements & Value chain approach | | | | | | | | |

| | | | | | | | | | | |
|---|------------------|--|---|---|----------------------|--------|-----|---|---|----|
| | | <p>5 Year annual plans and priorities</p> <ul style="list-style-type: none"> •SWM hierarchy - Most preferred- Least preferred - •Treatment of organic waste •Collection , segregation & recycling of NBD waste •Sanitary Landfill. •Stake holder involvement in Planning process •Informal sector activities •Forward linkage and Cost recovery • Steps for SWM Planning (MSW Manual 2016)- <ol style="list-style-type: none"> 1.Data collection, Quantification and characterisation 2.Estimation of waste generation projections, 3.Waste reaching municipal stream - 4.Gap identification and rectifications, 5.Land requirements, identification, 6.Street sweeping & drain cleaning, 7.Five year annual plans & projects, 8.Schedule for implementation 9.Operation and Maintenance | 4 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-1 /Continuous | Online | 305 | 3 | 3 | 24 |
| 3 | Project Planning | <p>Climate Resilience and Disaster Management in SWM - Climate related challenges in Kerala (Flood prone coastal belt, high land)</p> <p>Fire Safety on waste sites - Fire & safety measures - guidelines</p> <p>Site Selection (All sub & Regional Projects)- Site selection criteria complains with SWM Rules 2016 & MoEF guidelines</p> <ul style="list-style-type: none"> •Adequacy of the site • Project Costing • Fund Utilization • Project Design Requirements | 3 | Kerala State Disaster Management Authority(KSDMA), SM, DOECC, SPMU,DPMU & ULB | Year 0-2 /Continuous | Online | 307 | 6 | 3 | 27 |

| | | | | | | | | | | |
|---|--|---|---|--|----------------------|------------------|-----|---|---|----|
| 4 | Monitoring and Evaluation | <ul style="list-style-type: none"> • User Charge Regulations Waste Audit - •Waste generation, local level recycling, reuse, processing and Residual waste • Project Progress and Fund Monitoring • Compliances monitoring | 3 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 27 |
| 5 | PPP Models | <p>Review of working status and site visit- PPP model plants of</p> <ol style="list-style-type: none"> 1. Community Based Organizations 2. Communities 3. Individuals 4. Private parties 5. PIUs | 4 | SPMU, DPMUs, PIU/Local Body staff, PMC, TSC, CBO/Contractors as applicable | Y 2, 4, 5 | Offline | 222 | 4 | 4 | 24 |
| 6 | Subject Know How- Solid Waste Management | <p>Solid waste - Types and Composition-</p> <ul style="list-style-type: none"> •BDW, NBDW, Domestic Hazardous, Domestic Bio medical waste including sanitary waste | 1 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Continuous | Blended learning | 305 | 6 | 3 | 9 |
| | | <p>Waste Reduction and Reuse-</p> <ol style="list-style-type: none"> 1. Waste Reduction 2. Reuse of Waste <ul style="list-style-type: none"> •Current waste reduction practices if any •Current source segregation level •Challenges in source segregation •Drop off centers (reuse centers)/swap shops •Circular economy •Plan for alternative productive use of C&D waste •Zero waste concept •Up cycling and down cycling | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |

| | | | | | | | | | |
|--|--|---|--|----------------------|--------|-----|---|---|----|
| | <p>Techniques for safe collection, handling and storage-</p> <ul style="list-style-type: none"> •Segregations & storage at source – Bio degradable/NBD waste/domestic hazardous /sanitary waste •Storage bins & containers – appropriate size, material – Manual /mechanical loading bins /compatibility with collection vehicles •Primary collection vehicles: manual /mechanical, frequencies of collection •Transfer of waste from primary to secondary transportation system • Techniques for scientific Transportation | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |
| | <p>Street sweeping & drain cleaning-</p> <ul style="list-style-type: none"> • Preparation of schedule as per SWM Manual 2016 and local requirements. Tools, vehicles & Equipment's C&T and disposal of drain cleaning silts | 1 | SM, SPMU and ULB staff | Year 0-2 /Continuous | Online | 301 | 6 | 3 | 9 |
| | <p>Technologies for SWM : Product recovery and recycling-</p> <ul style="list-style-type: none"> •Collection system: Primary /secondary, MCF as temporary storage/drop off facility •MRF: types of facility (Manual Automated MRF Semi Automated MRF Automated MRF) Segregation systems – non recyclable combustible – RDF •Recycling at central facility (Regional level): Plastic recycling – PET , HPPE/LDPE /glass shredding etc •Marketing of Recycled Products | 3 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 27 |

| | | | | | | | | | |
|--|---|---|--|----------------------|--------|-----|---|---|----|
| | <p>Technologies for treatment ,processing - Bio conversion, thermal conversion-</p> <ul style="list-style-type: none"> •Appropriate technologies suitable to Kerala situation (Climate – heavy rain fall, flooding, land slide issues, rural urban continuum, scarcity of land) – least land requirement, environmentally /socially acceptable, low CHG emissions, ensured end product market, least rejects •Existing & Potential technologies – Bio-conversion (ASP, in vessel composting, Bio-CNG ,) , Thermal conversion – Incineration, gasification , pyrolysis •Decentralized community level, ULB level & Regional level •Compost leachate management / Bio methanation – digesterate management | 4 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 36 |
| | <p>Landfill Management-</p> <ul style="list-style-type: none"> •Crude dumping Vs Sanitary landfill •Site selection criteria as per existing Rules •Sanitary landfill design •Construction of a sanitary landfill •Sanitary landfill operation •Closure and post-closure plan | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |
| | <p>Bioremediation and Bio mining practices-</p> <ul style="list-style-type: none"> •Methods of Bioremediations •Equipment's Used for Bio remediations •Safe disposal of bio-mined products | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |
| | <p>Operation & Maintenance of SWM systems-</p> <ul style="list-style-type: none"> •Preparation of Standard Operating Procedures •Preventive annual & periodic maintenance of vehicles, equipment's and structures | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |

| | | | | | | | | | | |
|--|--|--|--------------|--|----------------------|--------|-----|------------|-----------|------------|
| | | Domestic Hazardous waste management- •Collection, storage & disposal as per SWM rules 2016 & MoEF guidelines | 1 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 9 |
| | | Bio medical waste management - •Rules and Guidelines as per Bio-medical Waste Management 2016 •Generation of biomedical waste, existing facilities and Gap •Identification of suitable technology •Identification of suitable location •Guidelines for Storage & Transportation. | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |
| | | Sustainable waste management practices- •Appropriate technology, environmental & social acceptance •Financial viability •Forward & Backward linkage | 2 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 18 |
| | | Latest Technologies in SWM- •Innovative Technologies •Household level - Bio methanation, •Community level - Bio methanation to power to grid, •composting (ASP, in-vessel composting) •Centralized/ Regional level - Bio-CNG, WtE •Other Innovative Technologies in SWM | 4 | LSGD, SM, SPMU, DPMU and ULB,PMC and TSC | Year 0-2 /Continuous | Online | 305 | 6 | 3 | 36 |
| | | TOTAL | 50.00 | | | | | 106 | 56 | 414 |

ULB LEVEL TRAININGS

| Sl.No. | Module | Content | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | Refresher batch | Total training hours |
|--------|------------------|--|-------|--------------|----------------------|------------------|--------------------|-----------------------|-----------------|----------------------|
| 1 | Project Planning | • Project planning and scheduling • Resource Planning | 4 | ULB PIU | Year 2-6 /Continuous | Online | 100 | 2 | 3 | 20 |

| | | | | | | | | | | |
|---|--|---|----|---|----------------------|--------------------|-----|---|---|----|
| 2 | Project Implementation | <ul style="list-style-type: none"> • Field Level Implementation • Monitoring field activities • On site supervision | 4 | ULB PIU, Municipal Secretary | Year 2-6 /Continuous | Online | 186 | 4 | 3 | 28 |
| 3 | Work Management | <ul style="list-style-type: none"> • Management of field staff • Audit of SWM practices • Monitoring and Supervision including Service Level Benchmarks (SLB) • Use of MIS tools for M&E • Health Safety and Environment • Project related IT systems | 8 | PIU technical support staff | Year 2-6 /Continuous | Online | 186 | 4 | 3 | 56 |
| 4 | TOT for Trainings for collection staff | <ul style="list-style-type: none"> • Types of waste specifically NBDW such as plastic • D2D collection • Waste segregation • Time management • Use of personal protection equipment(PPE) • Coordination with ULBs • Documentation • User fee collection • Monthly audit of SWM practices • Quantification of waste • Process design • Operations & Maintenance • Fire hazards & other disaster prevention • HSE/safe facility maintenance and response • Use of PPE • Management of C&T workers • Motivation skills • Rules and regulations | 16 | Engineers who will handle training for ULB level collection staff | Year 2-6 /Continuous | Classroom training | 100 | 2 | 1 | 48 |

| | | | | | | | | | | |
|---|--|---|--------------|------------------------------------|----------------------|-------------------------------------|------|-----------|-----------|--------------|
| 5 | Trainings for staff at processing plant/RRFs/MCFs etc. | <ul style="list-style-type: none"> • Quantification of waste received • Analysis of waste received • Process design • O&M of plant machinery • Disposal of waste • Fire, health, safety and environment | 8 | Staff at SWM plants/RRFs/MCFs etc. | Year 2-6 /Continuous | Classroom training, exposure visits | 2790 | 56 | 18 | 592 |
| 6 | TOT for ULB staff | | 30 | ULB Staff | Year-2 | Classroom training | 60 | 2 | 0 | 60 |
| 7 | Trainings for transportation staff | <ul style="list-style-type: none"> • Safe transportation • Synchronization between collection and transportation • Maintenance of vehicles • Safe practices • Vehicle routing, geographic information system (GIS)/GPS • Transportation of segregated waste | 8 | Transportation staff | Year 2-6 /Continuous | Classroom training | 2790 | 56 | 18 | 592 |
| | | TOTAL | 78.00 | | | | | 68 | 28 | 1,396 |

Annexure 2
Terms of Reference of Lead Agency
(For Reference Purpose Only)
for
Conducting Training Needs Assessment (TNA) and Delivery of Training
Programmes
for
Kerala Solid Waste Management Project (KSWMP)

9. Background of the Project

The Project Development Objective (PDO) for the Kerala Solid Waste Management Project (KSWMP) is to strengthen the institutional and service delivery systems for Municipal Solid Waste Management (SWM) in Kerala. The project adopts an integrated service delivery value chain approach to address the key institutional, financial, service delivery and infrastructure constraints in the SWM System in Kerala. KSWMP will support 93 ULBs and the project comprises three components

Component 1: Institutional development, capacity building and project management

The component will provide technical assistance and capacity building at state and local levels for (a) undertaking SWM institutional, financial and policy reforms; (b) planning, designing and implementing investment sub-projects for climate smart and disaster resilient SWM infrastructure and service-provision improvements; (c) organizational development of participating ULBs for inclusive and sustainable SWM service delivery; and (d) awareness generation, gender inclusion and stakeholder engagement. This component will also provide project management, coordination and monitoring support at state, district and local levels. Lastly, this component will provide technical support to LSGD, SPMU and participating ULBs for (i) developing guidelines and systems for COVID-19 related waste management, sanitization and public hygiene practices to be rolled out across all urban areas, and (ii) carrying out social awareness, sensitization and training programs for key stakeholders and citizens. Key activities include:

-
- d) Technical Assistance to state agencies for policy reform, strengthening of organizational capacities and institutional systems including development of rules and regulations, and operational procedures and training.
 - e) Technical Assistance to ULBs to strengthen their institutional systems including financial systems and cost recovery mechanisms, establishing mechanisms to partner with various city level agencies for SWM activities, project planning, design and implementation and O&M support.
 - f) Training and awareness generation / Information Education Communication support for all agencies for SWM activities.

Component 2: Support to ULBs for SWM

The component will provide grants to the participating ULBs for improving their local level SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste, including the provision for performance-based contracts with Kudumbashree and HKS women groups as SWM service providers, (b) source segregation and treatment for BDW at decentralized level, (c) rehabilitation of existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facilities, (g) public space cleaning, sanitization, waste removal activities as well as cleaning and sanitization of government offices, hospitals, community level waste recycling and processing facilities (in the context of COVID-19), (h) protective gear, equipment, masks, chemicals, disinfectants etc. for sanitation and waste management workers, (i) operations and maintenance payments for performance-based contracts and tipping fees for regional disposal, and (j) implementation of environment and social risk mitigation actions.

Component 3: Development of regional SWM facilities

This component will finance, inter alia: (a) regional processing and recycling facilities; (b) regional construction and demolition (C&D) waste management facilities; (c) transfer stations and regional sanitary landfills for municipal solid waste disposal; and (d) closure/remediation of existing waste dumpsites and development of incremental disposal cells as interim safe disposal facility. These downstream activities aim at completing the value chain. They will be implemented and managed by SM in compliance with the National SWM Rules 2016 and the guidelines issued by CPCB. In addition, this component will finance the biomedical waste management facilities to expand the

state's capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic.

OVERALL STRATEGY FOR CAPACITY DEVELOPMENT OF ULBs AND ALL STAKEHOLDERS OF KSWMP

The Project Appraisal Document (PAD) has identified the limited institutional capacity of the ULBs and other stakeholders to implement the project as a great challenge and has laid emphasis on the capacity building of various stakeholders. The Capacity Building and Training under the Project intends to strengthen and build technical and administrative capacity for Solid Waste Management for the ULBs and other stakeholders in the KSWMP ecosystem, in the State. Based on the broadly identified learning requirements to plug the capacity gaps in the existing institutions for SWM related service delivery in Kerala, the strategy for provision of capacity building, training and skill development will be as follows:

A. TRAINING NEEDS ASSESSMENT (TNA)**a. Training Need Assessments (TNA) to drive the training:**

A competent Agency will be identified to undertake a comprehensive Training Needs Assessment (TNA) for Kerala Solid Waste Management Project (KSWMP) at the beginning of the Project and at the end of the 2nd year of the Project and to develop Training Plans and Calendars. The TNA will be complemented by evaluations at the end of each course / training, which will facilitate midcourse corrections as may be needed. Based on the capacity building needs detailed in the PAD and the Project Implementation Manual (PIM), a two-pronged training approach would be required, namely

- i. General Functional Training, including Financial Management, GRM Systems to Elected Representatives and grass-root level stakeholders, and
- ii. Sector Specific Training for SWM Practices – SWM, Environmental & Social Safeguards, Procurement, Project Management, comprising of Project Planning, Project Implementation, Work Management, for all Project Stakeholders and ULB level functionaries.

It is envisioned that two Agencies will handle the two training segments as detailed below:

1. **Agency for conducting TNA & delivery of Training Programmes:** A suitable **State Level Agency** with overall understanding of the Local Self Government (LSG) Ecosystem of the State of Kerala would be engaged to assist KSWMP in the training and capacity building initiatives, including TNA and also to deliver the General Functional Trainings, Additionally, this Agency would be mandated to capture the overall institutional knowledge gained by the KSWMP and all the Project Stakeholders and

to carry it forward beyond the KSWMP Life-Cycle for capacity building of all stakeholders in future; and

2. **External Training Consultant:** The services of an independent **External Training Consultant (ETC)** would be procured to drive all the Sector Specific Training Programmes.

For the purpose of distinguishing between the two Agencies, the first Agency that undertakes the TNA and rolls out the General Functional Trainings shall be given the nomenclature – **Lead Agency** and the Second Agency that develops content and rolls out Functional Area Trainings shall be given the nomenclature – **External Training Consultant (ETC)**. There is no overlap in the roles and responsibilities of both the Agencies. Each Agency will be delivering training to distinct Segments / Target Groups of Trainees and the nature of training and training content are different

b. Assistance to KSWMP:

In addition to undertaking the TNA, the identified Lead Agency shall assist KSWMP in the following areas

- For monitoring and managing the services of the third-party **External Training Consultant (ETC)** for all Sector Specific SWM related Training Modules
- In monitoring the performance of the ETC
- Undertake trainings for Elected Representatives of the ULBs and grassroots level stakeholders

B. TRAINING CONTENT DEVELOPMENT AND DELIVERY

The Training Content development and delivery also would be two pronged, covering the following distinct areas for two different target groups of Trainees:

a. Content development for General Functional Training:

Based on the TNA outcome, the identified Agency shall assess the requirements of each Target Groups of Trainees and shall prepare the Training Content, training design and training calendar for general functional training.

b. Content development for the Sector Specific Training

Based on the TNA outcome, the identified Agency shall assess the requirements of each target Groups of Trainees and shall prepare the Training Content, training design and training calendar for general functional training.

c. Focus on digital learning:

All training modules to be designed and delivered using digital platforms to be developed and operationalised under the Project and this will include a combination of online learning, blended learning, personalised training / learning, and can include elements such as tutoring, instruction and assessments and certification based on standardised parameters. The entire course content/s will be digitised for libraries maintained to ensure a continuous learning for the stakeholders.

d. Standardisation of training modules:

The course contents divided into homogenous modules covering the KSWMP project implementation as well as generic capacity training will be standardised by the selected set of Training Agencies

To summarise, the strategy to achieve the goal of the capacity building activities of Component 1, SPMU will hire the services of

- (i) ***A Lead Agency*** to conduct Training Needs Assessment (TNA) and to drive the General Functional Training for Elected Representatives and the grass root level stakeholders
- (ii) ***An External Training Consultant*** to develop the content for the Sector Specific Training for all Stakeholders in SWM Sector and deliver training as per approved training plan for capacity building. The roles, the target groups and training segments of the two Set of Training Agencies are distinct and mutually exclusive, The first Agency would have the additional role of developing the TNA and supporting the SPMU and the ETC for the successful rollout of the ETC's distinct set of Trainings.

This Terms of Reference (ToR) is prepared to capture the details of the activities to be performed by the Lead Training Agency described in the Training Strategy above. Such an Agency should have a good understanding of the structure of the Local Self Government System in the State of Kerala and also should be able to identify and reach out each segment of the Stakeholders.

10. Objectives of the Assignment - Lead Agency

-
- a) The primary objective of the assignment is to undertake comprehensive overall Training Needs Assessment for all the stakeholders of KSWMP and to identify skills and knowledge gap to be filled through training. Carryout the gap analysis to identify the requisite training modules for the various target groups of stakeholders.

The subsidiary objectives which are equally important to make the achievement of the main objective are:

- b) To assist SPMU of KSWMP in rolling out the training and capacity building programmes either directly or through third party *External Training Consultant* and to provide continuous ongoing support for review and monitoring of the ETC's performance and deliverable
- c) To build capacities for the stakeholders, comprising of elected representatives in ULBs and Grassroot level workers including Harita Karma Sena (HKS), Haritha Sahaya Sthapanam (HSS), Kudumbashree, etc on General Functional Trainings and Good service delivery.

The Lead Agency covered in this ToR shall have the direct role of rolling out the training for the stakeholders in the Training List 1 and 2 attached. The lead agency will also review the training design, training modules and traing content prepared by the External Training Consultant (ETC) for delivering the trainings under Training List 3 attached ETC ToR.

11. Eligibility and Requirement of the Agency

The Agency should be a legally registered entity having impeccable track-record in providing training and capacity building for Good Governance and Public Services delivery. The firm shall fulfil the following essential criteria:

- a. Should have the proven track-record of undertaking Training Needs Assessment (TNA), preparing Course Design, Course Content, Development of Course Material, Development of Course Modules for both online and offline delivery, evaluation of Trainees, mid-course corrections
- b. Should have successfully delivered training programmes for Elected Representatives, Officers and Grass-root level Workers in Local Self Governments (LSGs) on a large scale in a recurring basis.
- c. Should have the in-house capacity and ready access to out-sourced Resource base of Subject Matter Experts (SMEs) for developing and delivering training programmes in own domain.

-
- d. Should be able to identify and mobilise SMEs from critical domains like Environmental and Social Sectors for carrying out TNA and related activities in such specialised sectors.

12. Scope of the assignment and Detailed Tasks of the Consultancy under this ToR

The scope of this assignment is for the Lead Agency to undertake overall Training Needs Assessment (TNA) for all stakeholders in the KSWMP eco-system, carry out capacity building activities needed for all General Functional Trainings and assist SPMU in overall coordination relating to all trainings of KSWMP during the project period.

The tasks of the Lead Agency for capacity building and training in this Project shall be:

- a) Assisting SPMU in conducting overall Training Needs Assessment (TNA) for all stakeholders in **the KSWMP eco-system** and to identify the skill and knowledge gaps to be filled through training. The TNA shall identify existing capacities, skill sets, expertise available, identify gaps and lead to development of appropriate training plans and delivery channels including exposure visits outside Kerala having superior SWM Practises. While the TNA based on the training feedback and consequent revision of training plan shall be an annual exercise, a detailed TNA will be conducted twice during the project life cycle- one in the beginning of the project and the other at the end of second year of the project. The TNA shall cover all ULBs, and C&T providers attached with those ULBs and shall be conducted by the Lead Agency, in consultation with SPMU and PMC. The TNA should also examine in great detail the training needs that should cover the ***social and environmental aspects*** of the Project as detailed in the *Environmental and Social Management Framework (ESMF)* of KSWMP.

The objective of performing Training Needs Assessment (TNA) is to:

- Identify existing capacities, skill sets, expertise available and do a gap analysis to prepare training modules (curricula included).
- Determine performance requirements and the knowledge, skills, and abilities needed by the target group to achieve the requirements
- Ensure competencies are targeted and appropriate method is used

The TNA will include collection and analysis of data relating to the skills and capacities of the existing staff vis-à-vis their desired job role in an organization, to identify the gaps and

training requirements to enable the staff to perform better. TNA will lead to development of appropriate training programs and delivery channels that are essential to equip all project stakeholders with specialised knowledge required in the SWM domain and the related challenges emerging from environmental and social angle.

With regards to detailed TNA in the beginning and end of second year, the initial draft report shall be submitted to SPMU/SPMC for review, and the precise timelines are laid down in greater detail in the Table of Deliverables

- b) Assist SPMU in reviewing course curriculum and design design-modules/courses for CB trainings over project period, which will include Project specific technical training and sub project implementation topics, general functional training such as procurement and FM systems, topics on ESMF and general SWM related topics. The List of trainings to be provided by the lead agency are attached as List 1 and List 2. The Trainings to be provided by ETC, which is to be monitored by the lead agency, is attached as List 3 in the ToR of ETC
- c) Develop training content, deliver training, assess, and issue certificates, on behalf of the SPMU, KSWMP to the participants as required, relating to general functional trainings mentioned in the Training list 1 and ULB trainings in List 2 as per approved training plan/schedule throughout the project period. All expenses related to review of curriculum, course design, content preparation, training delivery, assessment, course materials, coordination and management assistance fall under the scope of AGENCY.
- d) Content related to Project Management and SWM sector (specified in Training List 3 of ETC ToR) which may be modified periodically based on TNA) shall be developed and related trainings delivered by the External Training Consultants appointed by SPMU. AGENCY shall assist SPMU/SPMC in planning, coordinating, and conducting all training programmes of KSWMP including those conducted by such External Training Consultants.
- e) Assist SPMU in assessing and ensuring quality of content developed by external consultants and effectiveness of all trainings under KSWMP through review, regular monitoring, and evaluation.
- f) Assist SPMU with inputs on developing and managing digital learning platform.

- g) A dedicated team for executing the above scope with two full time personnel shall be constituted at AGENCY. The required qualifications and experience of two personnel to be placed are detailed in table below.

13. Key professionals for driving the content development and delivering General Functional Trainings are listed below {For TNA and all other academic inputs, the selected Lead Agency would draw support from the internal academic and non-academic talent pool as well as procure the need-based services of external Subject Matter Experts (SMEs)}

| Sl. No | Key Professional Staff | Qualification and Experience |
|--------|-----------------------------|---|
| 1 | Financial Management Expert | <ul style="list-style-type: none"> • CA/ Masters in Commerce/MBA-Finance/ CMA • Minimum ten years' individual/combined experience in Finance management/cost accounting. • A minimum of three years of experience in conducting training in urban infrastructure, service delivery functions of ULB projects. • Experience in design and preparation of training content is desirable • Must have good communication skills in English & Malayalam. |
| 2 | Procurement Expert | <ul style="list-style-type: none"> • Master's degree in any Engg. discipline/ MBA. • Minimum ten years' individual/combined experience in procurement of services and goods in urban infrastructure projects out of which three years shall be in World Bank/ ADB/ other external agency funded projects. • A minimum of three years of experience in conducting training in procurement of goods and services in urban infrastructure, service delivery functions of ULB projects. • Experience in design and preparation of training content is desirable • Must have good communication skills in English. • Communication skills in Malayalam is desirable. |

| Sl. No | Key Professional Staff | Qualification and Experience |
|--------|------------------------------------|---|
| 3 | Institutional Strengthening Expert | <p>Master's degree in Engineering/ MBA.</p> <ul style="list-style-type: none"> • Minimum ten years' experience in Institutional strengthening activities out of which a minimum of three years of experience in conducting training in Institutional Aspects in urban infrastructure, service delivery functions of ULB projects. • Experience in design and preparation of training content is desirable • Must have good communication skills in English. • Communication skills in Malayalam is desirable. |
| 4 | Human Resource Expert | <ul style="list-style-type: none"> • Graduate in any Engineering/ Postgraduate in social work /HR discipline// Development Studies/Local Development/MBA-HR • Minimum seven years' experience in Human resources management • Experience in conducting training for LSGD Institutions • Experience in design and preparation of training content is desirable • Must have good communication skills in English & Malayalam |
| 5 | Documentation & Data Expert | <ul style="list-style-type: none"> • B. Tech. in Information Technology/MCA/Masters in Statistics/Demography • Minimum five years' experience in managing MIS system/tool in urban infrastructure projects • A minimum of three years of experience in conducting training in MIS/Documentation • Experience in conducting training for ULBs/LSGD projects. • Experience in design and preparation of training content • Must have good communication skills in English & Malayalam. |

| Sl. No | Key Professional Staff | Qualification and Experience |
|--------|------------------------------------|---|
| 6 | Solid Waste Management Legislation | <ul style="list-style-type: none"> • Bachelor's degree in Law, with minimum 7 years of experience in municipal service delivery functions, preparation of byelaws, in Solid Waste Management Legislation. Experience in design and preparation of training content is desirable • Must have good communication skills in English & Malayalam |
| 7 | Collection & Transport Expert | <ul style="list-style-type: none"> • Bachelor's degree in civil/ mechanical Engineering preferably with a master's degree in urban/regional/transportation planning, urban management, construction management. • 7 years of experience in urban infrastructure projects with a focus on collection and transportation of Municipal Solid Waste, including in Trainings for collection staff <p>Experience in design and preparation of training content is desirable Must have good communication skills in English & Malayalam.</p> |

Full-Time Coordination Professionals Requirements

| Sl. No | Key Professional Staff | Qualification and Experience |
|--------|------------------------|---|
| 1 | Training Coordinator | <ul style="list-style-type: none"> • MBA/ Graduate in any Engineering discipline / Postgraduate in social works like MSW/ HR discipline/ Development Studies/ Local Development/ Natural Sciences • A minimum of five years of experience in coordinating capacity building activities in urban infrastructure/local government/Municipal solid waste management projects • Computer proficiency is required (Well versed MS Word, Excel, PowerPoint). |

| | | |
|---|--------------------------------|--|
| | | <ul style="list-style-type: none"> • Experience in coordinating capacity building activities on digital learning platform. <p>Must have good oral & written communication skills in English and Malayalam</p> |
| 2 | Assistant Training Coordinator | <ul style="list-style-type: none"> • MBA/ Graduate in any Engineering discipline/ Postgraduate in social work like MSW/ HR discipline/ Development Studies/ Local Development/ Environmental Studies • A minimum of three years' experience in coordinating capacity building activities in urban infrastructure/local government/Municipal solid waste management projects • Computer proficiency is required (Well versed in MS Word, Excel, PowerPoint). • Experience in coordinating capacity building activities on digital learning platform. • Must have good oral & written communication skills in English and Malayalam |

The Lead Agency shall identify and engage competent resources / personnel and Subject Matter Experts (SMEs) to ensure high standards of effort in TNA, quality of content & delivery of all trainings under the scope of the assignment.

14. Timeline for completion of tasks & Deliverables

| Sl. No | Topic | Timeline | Deliverables |
|--------|--|---|---|
| 1 | Conduct detailed Training Needs Assessment (TNA): Identify existing skills, gaps and training requirements to plug the gaps in capacities | Within T+1 Month And Within T+25 Months | Draft TNA Report (Within T+1 Month) & |

| Sl. No | Topic | Timeline | Deliverables |
|--------|--|---|---|
| | <p>on integrated SWM service delivery among various stakeholders through a Training need assessment (TNA). The requisite resources with expertise required for TNA, covering all SWM Practices – including the environmental and social aspects – shall be selected and on-boarded by the Lead Agency.</p> | | <p>Final TNA report(Within 2 weeks after SPMU Review)</p> |
| 2 | <p>Conduct annual Training Needs Assessment based on feedback of trainings conducted.</p> <p>Identify existing skills, gaps and training requirements to plug the gaps in capacities on integrated SWM service delivery among various stakeholders through a Training Needs Assessment (TNA).</p> | <p>Every year</p> | <p>Draft Interim TNA Report (Within T+12 Month)</p> <p>&</p> <p>Final Interim TNA report (Within 2 weeks after SPMU Review)</p> |
| 3 | <p>Assist SPMU to review & develop course curriculum, course design and identify</p> | <p>T+2 Months and T+26 Months</p> | <p>Course, curriculum, course design & modules related to CB</p> |

| Sl. No | Topic | Timeline | Deliverables |
|--------|---|--|--|
| | training modules/courses for CB trainings for the entire project. | | for entire project period- for both online/ classroom trainings |
| 4 | Assist SPMU to review contents developed by the External Training Consultant (ETC) for all KSWMP trainings - both online and offline – for quality and conformance with curriculum. | Need based and ongoing assistance to SPMU based on ETC Onboarding Date | Review report. |
| 5 | Develop content and deliver trainings throughout the project period related to general functional aspects (Classroom and online). The list of trainings specified in Training List 1 and 2. The scope includes issue of course materials to the participants, collection of feedback, assessing the training effectiveness and issue of certificates to the participants. | As Per Training calendar | Course materials, Training Reports related to general functional (Classroom and online) aspects/ ULB level trainings specified in training list 1 and 2. |

| Sl. No | Topic | Timeline | Deliverables |
|--------|---|--|--|
| 6 | Assist SPMU in planning and revision of yearly training plans (Classroom and online) related to all functional areas throughout the project period | T+12 Months, T+24 Months and T + 36 Months and ongoing handholding support on need basis | Yearly Training calendar and necessary revisions. |
| 7 | Assist SPMU in co-ordination of all trainings throughout the project period | As Per Training calendar | Completion Reports related to all trainings |
| 8 | Assist SPMU in updating of training completion status relating to all trainings in Digital Platform | Within 10 days after each training | Training Reports |
| 9 | Assist SPMU in updating feedback into the system for a trainings and exposure visits. | Within 10 days after each training/visit | Feedback reports |
| 10 | Assist SPMU in monitoring of all trainings including that by External Training Consultant (ETC), assessment of knowledge gained by participants, effectiveness of trainings | Within 10 days from the end of each term | Assessment report, Gap Analysis Report, Monthly, Quarterly, Half Yearly and Annual Progress reports uploaded on DLP. |

| Sl. No | Topic | Timeline | Deliverables |
|--------|--|----------------|---|
| | and making course corrections as needed. | | |
| 11 | Recording of Overall Institutional Knowledge gained through capacity buildings and training programmes by all stakeholders | End of 4 Years | Comprehensive Training Report, comprising of training modules of the lead Agency and External Training Consultant |

15. Payment Terms

- 1) Remuneration for the Lead Agency for services of TNA, Training Content Development, Training Delivery and assistance to SPMU shall be released for each month of services, against monthly invoices raised by the Agency.
- 2) Payment will be processed within 30 days of submission of invoice.
- 3) Logistic support shall be arranged by the Agency, in consultation with SPMU, for all trainings of KSWMP on a case-to-case basis. Expenses towards logistics including venue, food and refreshments, audio visual aids, accommodation and transportation for trainees will be met by SPMU directly. No advance will be paid under any circumstances. The selected Lead Agency shall be paid a percentage Management Fee for the management of all logistics requirements of the Trainers and Trainees.

16. Period of Appointment

The engagement of AGENCY will be for the remaining 4 years Project Period of KSWMP.

17. Client's Input and support

On request, the SPMU will make available the documents/information such as Project Implementation manuals, Project Appraisal Document, Environmental & Social Management Framework, approved SWM plans, guidelines to ULBs, Project Schedule, necessary for the

successful completion of the assignment. SPMU will also facilitate the coordination with the External Training Consultants (ETC).

Annexure 1

Training Lists

| TRAINING LIST 1- GENERAL FUNCTIONAL TRAININGS | | | | | | | | | | |
|---|--|--|-------|--------------|-------------|-----------------------------------|--------------------|-----------------------|-----------------------|-------------------------|
| SINo | Module | Contents | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | No of Refresher batch | Total hours of training |
| 1 | Financial Management (To be split into two modules, one for Finance, Accounts & Audit Professionals and the second for all Non-Finance Staff) | <ul style="list-style-type: none"> • Project Costing- <ul style="list-style-type: none"> - Types of Project Based on Costing - COST RECOVERY • Fund Utilisation Planning- <ul style="list-style-type: none"> -Overall Planning and Budgeting -Fund Flow Management -Annual Planning and Expenditure Cycle -Sustainable O&M / Asset Management -Accounting and Reporting Activities • Cost accounting • Project financial and economic viability assessment- <ul style="list-style-type: none"> -Principles, Practice -Assessing Financial Viability risk -Viability Assessments: Seeking Information , Analysing Information -Possible mitigation strategies -Financial Modeliing of SWM facilities | 6 | SPMU and ULB | Year 0-1 | Online course/Class room training | 117 | 4 | 4 | 48 |

| | | | | | | | | | | |
|--------------|-----------------------|--|-----------|-------------------------|----------------------|--|------------|-----------|-----------|------------|
| 2 | Procurement | <ul style="list-style-type: none"> • Preparation of tender documents • Tendering and Bid Process Management • About MoUs and inter agency working arrangements • PPP models, Cost benefit, Value for Money analysis • Contract Administration | 5 | SM, SPMU and ULB | Year 3-6 /Continuous | Offline for Y1, Online course for refresher batches. | 103 | 4 | 4 | 40 |
| 3 | Institutional Aspects | <ul style="list-style-type: none"> • Inter institutional coordination • Institutional roles of downstream agencies and devolution of powers | 2 | SM, SPMU, LSGD | Year 0-1 /Continuous | Offline for Y1, Online course for refresher batches. | 30 | 1 | 4 | 10 |
| 4 | HR | <ul style="list-style-type: none"> • Feedback and reporting innovations • Capacity building of field staff • Welfare of field staff | 2 | SM, SPMU and ULB | Year 3-6 /Continuous | Offline for Y1, Online course for refresher batches. | 100 | 4 | 3 | 14 |
| 5 | Data Documentation | <ul style="list-style-type: none"> • Management of MIS system/ MIS tool • Waste Audit Documentation | 2 | LSGD, SM, SPMU and ULBs | Year 3-6 /Continuous | Offline for Y1, Online course for refresher batches. | 191 | 8 | 3 | 22 |
| TOTAL | | | 17 | | | | 541 | 21 | 18 | 134 |

TRAINING LIST 2. - LIST OF ULB TRAININGS

| SINo | Module | Content | Hours | Participants | Periodicity | Mode of training | No of participants | No of batches planned | No of Refresher batch | Total Hours | |
|------|------------------------------------|--|-------|--|----------------------|--|--------------------|-----------------------|-----------------------|-------------|-------------|
| 1 | Solid Waste Management Legislation | <ul style="list-style-type: none"> Preparation of bye-laws Key aspects of SWM including collection (primary and secondary), transportation, treatment and disposal and their effectiveness in managing SW in ULB efficiently | 3 | ULB PIU and Health Department, Elected Representatives | Year 0-1 | Offline , online for refresher batches | 558 | 12 | 4 | 48 | |
| 2 | Trainings for collection staff | <ul style="list-style-type: none"> Types of waste specifically NBDW such as plastic | 16 | Collection staff HKS/ Kudumbashree/ SHG | Year 3-6 /Continuous | Offline , online for refresher batches | 5657 | 113 | 30 | 2288 | |
| | | TOTAL | | | | | | | | | 2336 |

PART II

Section 8. Conditions of Contract and Contract Forms

LUMP-SUM FORM OF CONTRACT

STANDARD FORM OF CONTRACT

Consultant's Services

Lump-Sum

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CONTRACT FOR CONSULTANT'S SERVICES

Lump-Sum

Project Name _____

[Loan/Credit/Grant] No. _____

Contract No. _____

Assignment Title: _____

between

[Name of the Client]

and

[Name of the Consultant]

Dated: _____

I. Form of Contract

LUMP-SUM

(Text in brackets [] is optional; all notes should be deleted in the final text)

This CONTRACT (hereinafter called the “Contract”) is made the *[number]* day of the month of *[month]*, *[year]*, between, on the one hand, *[name of Client or Recipient]* (hereinafter called the “Client”) and, on the other hand, *[name of Consultant]* (hereinafter called the “Consultant”).

[If the Consultant consist of more than one entity, the above should be partially amended to read as follows: “...(hereinafter called the “Client”) and, on the other hand, a Joint Venture (name of the JV) consisting of the following entities, each member of which will be jointly and severally liable to the Client for all the Consultant’s obligations under this Contract, namely, [name of member] and [name of member] (hereinafter called the “Consultant”).]

WHEREAS

- (a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);
- (b) the Consultant, having represented to the Client that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- (c) the Client has received *[or has applied for]* a loan *[or credit or grant]* from the *[insert as relevant, International Bank for Reconstruction and Development (IBRD) or International Development Association (IDA)]*: toward the cost of the Services and intends to apply a portion of the proceeds of this *[loan/credit/grant]* to eligible payments under this Contract, it being understood that (i) payments by the Bank will be made only at the request of the Client and upon approval by the Bank; (ii) such payments will be subject, in all respects, to the terms and conditions of the *[loan/financing/grant]* agreement, including prohibitions of withdrawal from the *[loan/credit/grant]* account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by the decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations; and (iii) no party other than the Client shall derive any rights from the *[loan/financing/grant]* agreement or have any claim to the *[loan/credit/grant]* proceeds;

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
 - (a) The General Conditions of Contract (including Attachment 1 “Fraud and Corruption”);
 - (b) The Special Conditions of Contract;
 - (c) Appendices:

Appendix A: Terms of Reference

Appendix B: Key Experts

Appendix C: Breakdown of Contract Price

Appendix D: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: the Special Conditions of Contract; the General Conditions of Contract, including Attachment 1; Appendix A; Appendix B; Appendix C; Appendix D, and Appendix E. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Client and the Consultant shall be as set forth in the Contract, in particular:
 - (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and
 - (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of *[Name of Client]*

[Authorized Representative of the Client – name, title and signature]

For and on behalf of *[Name of Consultant or Name of a Joint Venture]*

[Authorized Representative of the Consultant – name and signature]

[For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]

For and on behalf of each of the members of the Consultant *[insert the Name of the Joint Venture]*

[Name of the lead member]

[Authorized Representative on behalf of a Joint Venture]

[add signature blocks for each member if all are signing]

II. General Conditions of Contract

A. GENERAL PROVISIONS

1. Definitions

- 1.1. Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:
- (a) **“Applicable Law”** means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the **Special Conditions of Contract (SCC)**, as they may be issued and in force from time to time.
 - (b) **“Bank”** means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).
 - (c) **“Borrower”** means the Government, Government agency or other entity that signs the financing agreement with the Bank.
 - (d) **“Client”** means the implementing agency that signs the Contract for the Services with the Selected Consultant.
 - (e) **“Client’s Personnel”** refers to the staff, labor and other employees (if any) of the Client engaged in fulfilling the Client’s obligations under the Contract; and any other personnel identified as Client’s Personnel, by a notice from the Client to the Consultant.
 - (f) **“Consultant”** means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
 - (g) **“Contract”** means the legally binding written agreement signed between the Client and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).
 - (h) **“Day”** means a working day unless indicated otherwise.
 - (i) **“Effective Date”** means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
 - (j) **“Experts”** means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.
 - (k) **“Foreign Currency”** means any currency other than the currency of the Client’s country.

- (l) **“GCC”** means these General Conditions of Contract.
- (m) **“Government”** means the government of the Client’s country.
- (n) **“Joint Venture (JV)”** means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to conduct all businesses for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.
- (o) **“Key Expert(s)”** means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant’s proposal.
- (p) **“Local Currency”** means the currency of the Client’s country.
- (q) **“Non-Key Expert(s)”** means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part thereof under the Contract.
- (r) **“Party”** means the Client or the Consultant, as the case may be, and **“Parties”** means both of them.
- (s) **“SCC”** means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- (t) **“Services”** means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- (u) **“Sub-consultants”** means an entity to whom/which the Consultant subcontracts any part of the Services while remaining solely liable for the execution of the Contract.
- (v) **“Third Party”** means any person or entity other than the Government, the Client, the Consultant or a Sub-consultant.

2. Relationship between the Parties

- 2.1. Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Client and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

- 3. Law Governing Contract** 3.1. This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.
- 4. Language** 4.1. This Contract has been executed in the language specified in the **SCC**, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.
- 5. Headings** 5.1. The headings shall not limit, alter or affect the meaning of this Contract.
- 6. Communications** 6.1. Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the language specified in Clause GCC 4. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the **SCC**.
- 6.2. A Party may change its address for notice hereunder by giving the other Party any communication of such change to the address specified in the **SCC**.
- 7. Location** 7.1. The Services shall be performed at such locations as are specified in **Appendix A** hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government's country or elsewhere, as the Client may approve.
- 8. Authority of Member in Charge** 8.1. In case the Consultant is a Joint Venture, the members hereby authorize the member specified in the **SCC** to act on their behalf in exercising all the Consultant's rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client.
- 9. Authorized Representatives** 9.1. Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the **SCC**.
- 10. Fraud and Corruption** 10.1. The Bank requires compliance with the Bank's Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the Bank's Sanctions Framework, as set forth in Attachment 1 to the GCC.

- a. Commissions and Fees**
- 10.2. The Client requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract and/or sanctions by the Bank.

B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

- 11. Effectiveness of Contract**
- 11.1. This Contract shall come into force and effect on the date (the “Effective Date”) of the Client’s notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the SCC have been met.
- 12. Termination of Contract for Failure to Become Effective**
- 12.1. If this Contract has not become effective within such time period after the date of Contract signature as specified in the SCC, either Party may, by not less than twenty two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect hereto.
- 13. Commencement of Services**
- 13.1. The Consultant shall confirm availability of Key Experts and begin carrying out the Services not later than the number of days after the Effective Date specified in the SCC.
- 14. Expiration of Contract**
- 14.1. Unless terminated earlier pursuant to Clause GCC 19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the SCC.
- 15. Entire Agreement**
- 15.1. This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.
- 16. Modifications or Variations**
- 16.1. Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party

shall give due consideration to any proposals for modification or variation made by the other Party.

16.2. In cases of substantial modifications or variations, the prior written consent of the Bank is required.

17. Force Majeure

a. Definition

17.1. For the purposes of this Contract, "Force Majeure" means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party's performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible under the circumstances, and subject to those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.

17.2. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party's Experts, Sub-consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract, and avoid or overcome in the carrying out of its obligations hereunder.

17.3. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

b. No Breach of Contract

17.4. The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

c. Measures to be Taken

17.5. A Party affected by an event of Force Majeure shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

17.6. A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give

written notice of the restoration of normal conditions as soon as possible.

- 17.7. Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.
- 17.8. During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Client, shall either:
- (a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Client, in reactivating the Services; or
 - (b) continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.
- 17.9. In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 49 & 50.

18. Suspension

- 18.1. The Client may, by written notice of suspension to the Consultant, suspend part or all payments to the Consultant hereunder if the Consultant fails to perform any of its obligations under this Contract, including the carrying out of the Services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to remedy such failure within a period not exceeding thirty (30) calendar days after receipt by the Consultant of such notice of suspension.

19. Termination

- 19.1. This Contract may be terminated by either Party as per provisions set up below:
- a. **By the Client**
 - 19.1.1. The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence the Client shall give at least thirty (30) calendar days' written notice of termination to the Consultant in case of the events referred to in (a) through (d); at least sixty (60) calendar days' written notice in case of the event referred to in (e); and at least five (5) calendar days' written notice in case of the event referred to in (f):

- (a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;
- (b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;
- (c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 50.1;
- (d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;
- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- (f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

19.1.2. Furthermore, if the Client determines that the Consultant has engaged in Fraud and Corruption in competing for or in executing the Contract, then the Client may, after giving fourteen (14) calendar days written notice to the Consultant, terminate the Consultant's employment under the Contract.

b. By the Consultant

19.1.3. The Consultant may terminate this Contract, by not less than thirty (30) calendar days' written notice to the Client, in case of the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause.

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 50.1.

- (d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant's notice specifying such breach.
- c. Cessation of Rights and Obligations** 19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records set forth in Clause GCC 25 and to cooperate and assist in any inspection or investigation, and (iv) any right which a Party may have under the Applicable Law.
- d. Cessation of Services** 19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Client, the Consultant shall proceed as provided, respectively, by Clauses GCC 27 or GCC 28.
- e. Payment upon Termination** 19.1.6. Upon termination of this Contract, the Client shall make the following payments to the Consultant:
- (a) payment for Services satisfactorily performed prior to the effective date of termination; and
 - (b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

C. OBLIGATIONS OF THE CONSULTANT

20. General

- a. Standard of Performance**
- 20.1. The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with the third parties.
- 20.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.
- 20.3. The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Client. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.
- b. Law Applicable to Services**
- 20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.
- 20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in the Client's country when
- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country; or
 - (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.
- 20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.
- 21. Conflict of Interest**
- 21.1. The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

- a. Consultant Not to Benefit from Commissions, Discounts, etc.**
- 21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 43 through 47) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.
- 21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Bank's Applicable Regulations, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.
- b. Consultant and Affiliates Not to Engage in Certain Activities**
- 21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, as well as any Sub-consultants and any entity affiliated with such Sub-consultants, shall be disqualified from providing goods, works or non-consulting services resulting from or directly related to the Consultant's Services for the preparation or implementation of the project.
- c. Prohibition of Conflicting Activities**
- 21.1.4 The Consultant shall not engage, and shall cause its Experts as well as its Sub-consultants not to engage, either directly or indirectly, in any business or professional activities that would conflict with the activities assigned to them under this Contract.
- d. Strict Duty to Disclose Conflicting Activities**
- 21.1.5 The Consultant has an obligation and shall ensure that its Experts and Sub-consultants shall have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Client, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.
- 22. Confidentiality**
- 22.1. Except with the prior written consent of the Client, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired

in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or as a result of, the Services.

23. Liability of the Consultant

23.1. Subject to additional provisions, if any, set forth in the SCC, the Consultant's liability under this Contract shall be provided by the Applicable Law.

24. Insurance to be taken out by the Consultant

24.1. The Consultant (i) shall take out and maintain, and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage specified in the SCC, and (ii) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC 13.

25. Accounting, Inspection and Auditing

25.1. The Consultant shall keep, and shall make all reasonable efforts to cause its Sub-consultants to keep, accurate and systematic accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.

25.2. Pursuant to paragraph 2.2 e. of Attachment 1 to the General Conditions, the Consultant shall permit and shall cause its agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit, the Bank and/or persons appointed by the Bank to inspect the site and/or the accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have such accounts, records and other documents audited by auditors appointed by the Bank. The Consultant's and its Subcontractors' and subconsultants' attention is drawn to Clause GCC 10.1 (Fraud and Corruption) which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank's prevailing sanctions procedures).

26. Reporting Obligations

26.1. The Consultant shall submit to the Client the reports and documents specified in **Appendix A**, in the form, in the numbers and within the time periods set forth in the said Appendix.

- 27. Proprietary Rights of the Client in Reports and Records**
- 27.1. Unless otherwise indicated in the SCC, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Client in the course of the Services shall be confidential and become and remain the absolute property of the Client. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Client.
- 27.2. If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Client's prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the SCC.
- 28. Equipment, Vehicles and Materials**
- 28.1. Equipment, vehicles and materials made available to the Consultant by the Client, or purchased by the Consultant wholly or partly with funds provided by the Client, shall be the property of the Client and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the Client an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance with the Client's instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by the Client in writing, shall insure them at the expense of the Client in an amount equal to their full replacement value.
- 28.2. Any equipment or materials brought by the Consultant or its Experts into the Client's country for the use either for the project or personal use shall remain the property of the Consultant or the Experts concerned, as applicable.
- 29. Code of Conduct** Not used
- 30. Forced Labor**
- 30.1. The Consultant, including its Subconsultants, shall not employ or engage forced labor. Forced labor consists of any work or service, not voluntarily performed, that is exacted

from an individual under threat of force or penalty, and includes any kind of involuntary or compulsory labor, such as indentured labor, bonded labor or similar labor-contracting arrangements.

No persons shall be employed or engaged who have been subject to trafficking. Trafficking in persons is defined as the recruitment, transportation, transfer, harboring or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation.

31. Child Labor

31.1. The Consultant, including its Subconsultants, shall not employ or engage a child under the age of 14 unless the national law specifies a higher age (the minimum age).

The Consultant, including its Subconsultants, shall not employ or engage a child between the minimum age and the age of 18 in a manner that is likely to be hazardous, or to interfere with, the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development.

The Consultant, including its Subconsultants, shall only employ or engage children between the minimum age and the age of 18 after an appropriate risk assessment has been conducted by the Consultant with the Client's consent. The Consultant shall be subject to regular monitoring by the Client that includes monitoring of health, working conditions and hours of work.

Work considered hazardous for children is work that, by its nature or the circumstances in which it is carried out, is likely to jeopardize the health, safety, or morals of children. Such work activities prohibited for children include work:

- (a) with exposure to physical, psychological or sexual abuse;
- (b) underground, underwater, working at heights or in confined spaces;
- (c) with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads;
- (d) in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or

- (e) under difficult conditions such as work for long hours, during the night or in confinement on the premises of the employer.

32. Non-Discrimination and Equal Opportunity

- 32.1. The Consultant shall not make decisions relating to the employment or treatment of Experts on the basis of personal characteristics unrelated to inherent job requirements. The Consultant shall base the employment of Experts on the principle of equal opportunity and fair treatment, and shall not discriminate with respect to any aspects of the employment relationship, including recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices.

Special measures of protection or assistance to remedy past discrimination or selection for a particular job based on the inherent requirements of the job shall not be deemed discrimination. The Consultant shall provide protection and assistance as necessary to ensure non-discrimination and equal opportunity, including for specific groups such as women, people with disabilities, migrant workers and children (of working age in accordance with Clause GCC 31).

33. Training of Experts

- 33.1. The Consultant shall provide appropriate sensitization to the Experts on social aspects of the Contract, including on prohibition of SEA and SH.

The Consultant shall provide training on SEA and SH, including its prevention, to any of its Experts who has a role to supervise other Experts.

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

34. Description of Key Experts

- 34.1. The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant's Key Experts are described in **Appendix B**.

35. Replacement of Key Experts

- 35.1. Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.

- 35.2. Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant's written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical

incapacity. In such case, the Consultant shall forthwith provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.

36. Removal of Experts or Sub-consultants

36.1. If the Client finds that any of the Experts or Sub-consultant:

- (a) persists in any misconduct or lack of care;
- (b) carries out duties incompetently or negligently;
- (c) fails to comply with any provision of the Contract;
- (d) based on reasonable evidence, is determined to have engaged in Fraud and Corruption during the execution of the Services; the Consultant shall, at the Client's written request, provide a replacement.

36.2. In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Client to be incompetent or incapable in discharging assigned duties, the Client, specifying the grounds therefore, may request the Consultant to provide a replacement.

36.3. Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.

36.4. Subject to the requirements in Clause GCC 36.3, and notwithstanding any requirement from the Client to request a replacement, the Consultant shall take immediate action as appropriate in response to any violation of (a) through (e) above. Such immediate action shall include removing (or causing to be removed) from carrying out the Services, any Expert who engages in (a) to (e) above.

36.5. The Consultant shall bear all costs arising out of or incidental to any removal and/or replacement of such Experts.

E. OBLIGATIONS OF THE CLIENT

37. Assistance and Exemptions

37.1. Unless otherwise specified in the SCC, the Client shall use its best efforts to:

- (a) Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.
- (b) Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in the Client's country while carrying out the Services under the Contract.
- (c) Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Experts and their eligible dependents.
- (d) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
- (e) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in the Client's country according to the applicable law in the Client's country.
- (f) Assist the Consultant, any Sub-consultants and the Experts or either of them with obtaining the privilege, pursuant to the applicable law in the Client's country, of bringing into the Client's country reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- (g) Provide to the Consultant any such other assistance as may be specified in the SCC.

38. Access to Project Site

- 38.1. The Client warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The Client will be responsible for any damage to the project site or any property thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of the Consultant or any Sub-consultants or the Experts of either of them.

**39. Change in the
Applicable Law
Related to Taxes
and Duties**

39.1. If, after the date of this Contract, there is any change in the applicable law in the Client's country with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 39.1.

**40. Services, Facilities
and Property of the
Client**

40.1. The Client shall make available to the Consultant and the Experts, for the purposes of the Services and free of any charge, the services, facilities and property described in the Terms of Reference (**Appendix A**) at the times and in the manner specified in said **Appendix A**.

**41. Counterpart
Personnel**

41.1. The Client shall make available to the Consultant free of charge such professional and support counterpart personnel, to be nominated by the Client with the Consultant's advice, if specified in **Appendix A**.

41.2. Professional and support counterpart personnel, excluding Client's liaison personnel, shall work under the exclusive direction of the Consultant. If any member of the counterpart personnel fails to perform adequately any work assigned to such member by the Consultant that is consistent with the position occupied by such member, the Consultant may request the replacement of such member, and the Client shall not unreasonably refuse to act upon such request.

**42. Payment
Obligation**

42.1. In consideration of the Services performed by the Consultant under this Contract, the Client shall make such payments to the Consultant for the deliverables specified in **Appendix A** and in such manner as is provided by GCC F below.

F. PAYMENTS TO THE CONSULTANT

43. Contract Price

43.1. The Contract price is fixed and is set forth in the **SCC**. The Contract price breakdown is provided in **Appendix C**.

43.2. Any change to the Contract price specified in Clause GCC 43.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and

have amended in writing the Terms of Reference in **Appendix A**.

44. Taxes and Duties

44.1. The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the **SCC**.

44.2. As an exception to the above and as stated in the **SCC**, all local identifiable indirect taxes (itemized and finalized at Contract negotiations) are reimbursed to the Consultant or are paid by the Client on behalf of the Consultant.

45. Currency of Payment

45.1. Any payment under this Contract shall be made in the currency (ies) of the Contract.

46. Mode of Billing and Payment

46.1. The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 43.1.

46.2. The payments under this Contract shall be made in lump-sum instalments against deliverables specified in **Appendix A**. The payments will be made according to the payment schedule stated in the **SCC**.

46.2.1 *Advance payment:* Unless otherwise indicated in the **SCC**, an advance payment shall be made against an advance payment bank guarantee acceptable to the Client in an amount (or amounts) and in a currency (or currencies) specified in the **SCC**. Such guarantee (i) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in **Appendix D**, or in such other form as the Client shall have approved in writing. The advance payments will be set off by the Client in equal portions against the lump-sum installments specified in the **SCC** until said advance payments have been fully set off.

46.2.2 *The Lump-Sum Installment Payments.* The Client shall pay the Consultant within sixty (60) days after the receipt by the Client of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Client does not approve the submitted deliverable(s) as satisfactory in which case the Client shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.

46.2.3 *The Final Payment.* The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The Services shall then be deemed completed and

finally accepted by the Client. The last lump-sum installment shall be deemed approved for payment by the Client within ninety (90) calendar days after receipt of the final report by the Client unless the Client, within such ninety (90) calendar day period, gives written notice to the Consultant specifying in detail deficiencies in the Services, the final report. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.

46.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.

46.2.5 With the exception of the final payment under 46.2.3 above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations hereunder.

47. Interest on Delayed Payments

47.1. If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 46.2.2, interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the SCC.

G. FAIRNESS AND GOOD FAITH

48. Good Faith

48.1. The Parties undertake to act in good faith with respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

H. SETTLEMENT OF DISPUTES

49. Amicable Settlement

49.1. The Parties shall seek to resolve any dispute amicably by mutual consultation.

49.2. If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 50.1 shall apply.

50. Dispute Resolution

50.1. Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may

be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the **SCC**.

II. General Conditions

Attachment 1

Fraud and Corruption

(Text in this Attachment shall not be modified)

1. Purpose

1.1 The Bank's Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.

2. Requirements

2.1 The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

2.2 To this end, the Bank:

a. Defines, for the purposes of this provision, the terms set forth below as follows:

- i. "corrupt practice" is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
- ii. "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
- iii. "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
- iv. "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
- v. "obstructive practice" is:
 - (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - (b) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 2.2 e. below.

- b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
- d. Pursuant to the Bank's Anti-Corruption Guidelines and in accordance with the Bank's prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;¹ (ii) to be a nominated² sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;
- e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect³ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

¹ For the avoidance of doubt, a sanctioned party's ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

² A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

³ Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.

III. Special Conditions of Contract

[Notes in brackets are for guidance purposes only and should be deleted in the final text of the signed contract]

| Number of GC Clause | Amendments of, and Supplements to, Clauses in the General Conditions of Contract |
|---------------------|---|
| 1.1(a) | The Contract shall be construed in accordance with the law of India |
| 4.1 | The language is: English. |
| 6.1 and 6.2 | <p>The addresses are <i>[fill in at negotiations with the selected firm]:</i></p> <p>Client : _____ _____ Attention : _____ Facsimile : _____ E-mail (where permitted): _____</p> <p>Consultant : _____ _____ Attention : _____ Facsimile : _____ E-mail (where permitted) : _____</p> |
| 8.1 | <p><i>[Note: If the Consultant consists only of one entity, state "N/A"; OR If the Consultant is a Joint Venture consisting of more than one entity, the name of the JV member whose address is specified in Clause SCC 6.1 should be inserted here.]</i></p> <p>The Lead Member on behalf of the JV is _____ _____ <i>[insert name of the member]</i></p> |
| 9.1 | <p>The Authorized Representatives are:</p> <p>For the Client: <i>[name, title]</i> _____</p> <p>For the Consultant: <i>[name, title]</i> _____</p> |
| 11.1 | The effectiveness conditions are the following: Signing of Contract by both the parties, after due approvals. |

| | |
|--------------|--|
| | <i>[modify, if required e.g. to include effectiveness of the Bank [loan/credit/grant]; receipt by the Consultant of an advance payment, and by the Client of an advance payment guarantee (see Clause SCC 50.1(a)); etc.]</i> |
| 12.1 | Termination of Contract for Failure to Become Effective: The time period shall be 30 days. <i>[modify, if necessary].</i> |
| 13.1 | Commencement of Services: The number of days shall be 10 days. <i>[modify, if necessary]</i> Confirmation of Key Experts' availability to start the Assignment shall be submitted to the Client in writing as a written statement signed by each Key Expert. |
| 14.1 | Expiration of Contract: The time period shall be 48 Months |
| 21 b. | The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3 Yes |

| | |
|-------------------------|---|
| 23.1 | No additional provisions. |
| 24.1 | <p>The insurance coverage against the risks shall be as follows:</p> <p>(a) Professional liability insurance, with a minimum coverage of _____ [insert amount and currency which should be not less than the total ceiling amount of the Contract];</p> <p>(b) Third Party motor vehicle liability insurance in respect of motor vehicles operated in the Client's country by the Consultant or its Experts or Sub-consultants, with a minimum coverage as per the latest Amended Motor Vehicles Act, India;</p> <p>(c) Third Party liability insurance, with a minimum coverage of [insert amount and currency or state "in accordance with the applicable law in India"];</p> <p>(d) employer's liability and workers' compensation insurance in respect of the experts and Sub-consultants in accordance with the relevant provisions of the applicable law in the Client's country, as well as, with respect to such Experts, any such life, health, accident, travel or other insurance as may be appropriate; and</p> <p>(e) insurance against loss of or damage to (i) equipment purchased in whole or in part with funds provided under this Contract, (ii) the Consultant's property used in the performance of the Services, and (iii) any documents prepared by the Consultant in the performance of the Services.</p> |
| 27.1 | None |
| 27.2 | The Consultant shall not use any documents and software or project related information for purposes unrelated to this Contract without the prior written approval of the Client. |
| 37.1 (a) through (f) | <i>[List here any changes or additions to Clause GCC 37.1. If there are no such changes or additions, delete this Clause SCC 37.1.]</i> |
| 37.1(g) | <i>[List here any other assistance to be provided by the Client. If there is no such other assistance, delete this Clause SCC 37.1(g).]</i> |
| 43.1 | <p>The Contract price is: Rs. _____ [insert amount] [indicate: inclusive or exclusive] of local indirect taxes.</p> <p>Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall be paid by the Consultant.</p> |

| | <p>The Client shall only reimburse Goods & Services Tax (GST) payable on the contract value by the consultants, as per Applicable Law in India subject to the Client, performing such duties in regard to the deduction of taxes as may be lawfully imposed. However, Consultant shall have to produce to the Client, all relevant documents establishing the proof of payment/ filing of return to the tax authority etc. The consultant shall register itself for GST with appropriate authority in India & shall provide the Registration Number to the Client.</p> <p>The amount of such taxes is _____ <i>[insert the amount as finalized at the Contract's negotiations on the basis of the estimates provided by the Consultant in Form FIN-2 of the Consultant's Financial Proposal.]</i></p> | | | | | | | | | | | | | | | | | | | | | | |
|--|---|--|-------------------------|--|--|---|---|-------------------|-------------------------|---|----------------------------|--|--|---|--|--|----------------|--|--|---|--|--|--|
| 44.1 and 44.2 | <p>The consultants, sub-consultants and the Personnel shall pay the taxes, taxes, duties, fees, levies and other impositions levied under the existing, amended or enacted laws during life of this contract and the client shall perform such duties in this regard to the deduction of such taxes as may be lawfully imposed.</p> <p>The Client shall only reimburse the Goods and Services Tax (GST) payable on the contract value by the consultants, as per Applicable Law in India, subject to the Client, performing such duties in regard to the deduction of taxes as may be lawfully imposed. However, Consultant shall have to produce to the Client, all relevant documents establishing the proof of payment/ filing of return to the tax authority etc.</p> | | | | | | | | | | | | | | | | | | | | | | |
| 46.2 | <table border="1"> <thead> <tr> <th data-bbox="435 1186 498 1276">Sl. No</th> <th data-bbox="505 1186 987 1276">Topic</th> <th data-bbox="987 1186 1187 1276">Timeline</th> <th data-bbox="1187 1186 1386 1276">Payments</th> </tr> </thead> <tbody> <tr> <td data-bbox="435 1276 498 1402">A</td> <td data-bbox="505 1276 987 1402">Inception Report & Course Design</td> <td data-bbox="987 1276 1187 1402">T+ 1 Month</td> <td data-bbox="1187 1276 1386 1402">As quoted in FORM FIN 5</td> </tr> <tr> <td data-bbox="435 1402 498 1455">B</td> <td colspan="3" data-bbox="505 1402 1386 1455">Content Development</td> </tr> <tr> <td data-bbox="435 1455 498 1881">1</td> <td data-bbox="505 1455 987 1881"> Development of content for trainings based on approved curriculum & course design relating to <table border="1" data-bbox="516 1654 971 1850"> <tr> <td data-bbox="522 1654 964 1734">a) KSWMP Project management and implementation</td> </tr> <tr> <td data-bbox="522 1734 964 1772">b) Procurement</td> </tr> <tr> <td data-bbox="522 1772 964 1850">c) Environmental Management safeguards</td> </tr> </table> </td> <td data-bbox="987 1455 1187 1881"> Progressively within T+6 Months Each module to be delivered at least two weeks prior to scheduled training as </td> <td data-bbox="1187 1455 1386 1881"> Monthly payments against receipt and approval of deliverables </td> </tr> </tbody> </table> | Sl. No | Topic | Timeline | Payments | A | Inception Report & Course Design | T+ 1 Month | As quoted in FORM FIN 5 | B | Content Development | | | 1 | Development of content for trainings based on approved curriculum & course design relating to <table border="1" data-bbox="516 1654 971 1850"> <tr> <td data-bbox="522 1654 964 1734">a) KSWMP Project management and implementation</td> </tr> <tr> <td data-bbox="522 1734 964 1772">b) Procurement</td> </tr> <tr> <td data-bbox="522 1772 964 1850">c) Environmental Management safeguards</td> </tr> </table> | a) KSWMP Project management and implementation | b) Procurement | c) Environmental Management safeguards | Progressively within T+6 Months Each module to be delivered at least two weeks prior to scheduled training as | Monthly payments against receipt and approval of deliverables | | | |
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| b) Procurement | | | | | | | | | | | | | | | | | | | | | | | |
| c) Environmental Management safeguards | | | | | | | | | | | | | | | | | | | | | | | |

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|----------|---|--|--|
| | d) Social Management Safeguards e) SWM Sector Specific Subjects f) ULB level trainings | per approved training plan | |
| 2 | 50 training videos each of minimum duration 30 minutes on different subjects in the curriculum identified by the SPMU shall be prepared and delivered (as presented by the respective expert). The content shall include lectures supported by proper graphical explanatories and learning materials. The video shall be in HD format maintaining quality production standards. | T+6 Months | Against Delivery |
| 3 | Development of Materials including answer keys for evaluating and assessing the effectiveness of trainings | To be delivered along with the training content at least two weeks prior to scheduled training as per approved training plan | Against delivery |
| C | Delivery of Training as per the Schedule attached in Annexure-1 | | |
| 1 | Delivery of trainings both digital platform based and classroom trainings, including the course materials & certificates to the participants. | As per training calendar and specified time limits | Monthly payments upon certification of successful completion |
| 2 | Organising Exposure Visits | Against timetable prepared by the consultant | Monthly Payments on pro rata basis upon |

| | | | |
|---------------|---|--|----------------------|
| | | and approval by client | completion of visits |
| 3 | Uploading of training completion Status on Digital Platform of all trainings in MIS system of KSWMP. | Within 10 days after each training | |
| 4 | Updating of feedback into the MIS system of KSWMP for all trainings and exposure visits. | Within 10 days after each training | |
| 5 | Assessment and evaluation relating to all trainings and uploading of related reports MIS system of KSWMP. | Within 10 days of each training completed | |
| C | Report on monthly progress | Within 10 days of every month | |
| D | Report on progress in every quarter | Within 10 days after each quarter | |
| E | Completion Report | One month prior to the contract completion date. | |
| 46.2.1 | <i>Not Applicable</i> | | |
| 46.2.4 | The account is: <i>[insert account]</i> for Rs. | | |
| 47.1 | The interest rate is: <i>For local currency: 3% for INR part</i> | | |
| 50.1 | <p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> | | |

- | | |
|--|--|
| | <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate professional body, e.g., Indian Council of Arbitration/ President of the Institution of Engineers (India)/ The International Centre for Alternative Disputes Resolution (India)*]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate appointing authority, e.g., Indian Council of Arbitration/ President of the Institution of Engineers (India)/ The International Centre for Alternative Disputes Resolution (India)*]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p> |
|--|--|

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| | <p>2. <u>Rules of Procedure.</u> Arbitration proceedings shall be conducted in accordance with the procedure of the Arbitration & Conciliation Act 1996, of India.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be a recognized legal or technical expert with extensive experience in relation to the matter in dispute.</p> |
| | <p>5. <u>Miscellaneous.</u> In any arbitration proceeding hereunder:</p> <p>(a) proceedings shall, unless otherwise agreed by the Parties, be held in the city where the contract is signed;</p> <p>(b) the English language shall be the official language for all purposes;</p> <p>(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.</p> <p>(d) Where the value of the contract is Rs.50 million and below, the disputes or differences arising shall be referred to the Sole Arbitrator. The Sole Arbitrator should be appointed by agreement between the parties; failing such agreement, by the appointing authority, namely the Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India)*.</p> <p>(e) The Arbitrator should give final award within..... days of starting of the proceedings [<i>indicate the days (Between 120-180) by which arbitrator should give award</i>].</p> <p>(f) Performance under the contract shall continue during the arbitration proceedings and payments due to the consultant by the Client shall not be withheld, unless they are the subject matter of the arbitration proceedings.</p> <p><i>* Choose one alternative. Insert Chairman of the Executive Committee of the Indian Roads Congress (for highway project) or any other appropriate institution (for other types of consultancies).</i></p> <p><i>Alternatively</i></p> |

[Apart from the adhoc arbitration services obtained through mutually agreed Arbitrator(s) as above, Institutional arbitration services are also available in India. Institutional arbitration (and mediation) dispute resolution mechanisms can be gainfully used, preferably for relatively larger contracts. Following clause may be included, if it is decided to use Institutional Services for arbitration for resolution of disputes, and in such a case other clauses related to Arbitration/ Arbitrator would be deleted. In the sample clause below, substitute the reference to 'Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration' by the specific institution that is sought to be engaged e.g. The International Centre for Alternative Dispute Resolution (ICADR), The Indian Institute of Arbitration and Mediation (IIAM), Indian Chamber's Council of Arbitration, Delhi International Arbitration Centre (DAC), Construction Industry Arbitration Council (CIAC), Council For National and International Commercial Arbitration, London Court of International Arbitration (India Centre) or the like.]

"Any dispute or difference whatsoever arising between the parties out of or relating to the construction, meaning, scope, operation or effect of this contract or the validity or the breach thereof shall be settled by arbitration in accordance with the Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties.

The arbitral tribunal shall consist of 3 Arbitrators, arbitration proceedings shall be held at _____, India and the language of the arbitration proceedings and that of all documents and communications between the parties shall be English". *[ICA rules provide for arbitration tribunal of 3 arbitrators if the value of claim is over Rs 10 Million unless the parties have agreed otherwise for a sole arbitrator].*

IV. Appendices

APPENDIX A – TERMS OF REFERENCE

[This Appendix shall include the final Terms of Reference (TORs) worked out by the Client and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Client's input, including counterpart personnel assigned by the Client to work on the Consultant's team; specific tasks or actions that require prior approval by the Client.]

Insert the text based on the Section 7 (Terms of Reference) of the ITC in the RFP and modified based on the Forms TECH-1 through TECH-5 of the Consultant's Proposal. Highlight the changes to Section 7 of the RFP]

.....

APPENDIX B - KEY EXPERTS

[Insert a table based on Form TECH-6 of the Consultant's Technical Proposal and finalized at the Contract's negotiations. Attach the CVs (updated and signed by the respective Key Experts) demonstrating the qualifications of Key Experts.]

.....

APPENDIX C – BREAKDOWN OF CONTRACT PRICE

[Insert the table with the unit rates to arrive at the breakdown of the lump-sum price. The table shall be based on [Form FIN-3 and FIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3 and FIN-4] at the negotiations or state that none has been made.]

When the Consultant has been selected under Quality-Based Selection method, also add the following:

“The agreed remuneration rates shall be stated in the attached Model Form I. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP “Consultants’ Representations regarding Costs and Charges” submitted by the Consultant to the Client prior to the Contract’s negotiations.

Should these representations be found by the Client (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially incomplete or inaccurate, the Client shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially incomplete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Client before any such modification, (i) the Client shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Client to the Consultants, the Consultants shall reimburse to the Client any excess payment within thirty (30) days of receipt of a written claim of the Client. Any such claim by the Client for reimbursement must be made within twelve (12) calendar months after receipt by the Client of a final report and a final statement approved by the Client in accordance with Clause GCC 46.2.3 of this Contract. ”]

Model Form I Breakdown of Agreed Fixed Rates in Consultant’s Contract

We hereby confirm that we have agreed to pay to the Experts listed, who will be involved in performing the Services, the basic fees and away from the home office allowances (if applicable) indicated below:

(Expressed in Rs.)

| Experts | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|------------------------------|----------|--|-----------------------------|-----------------------|----------|---------------------|---------------------------------|--|---|
| Name | Position | Basic Remuneration rate per Working Month/Day/Year | Social Charges ¹ | Overhead ¹ | Subtotal | Profit ² | Away from Home Office Allowance | Agreed Fixed Rate per Working Month/Day/Hour | Agreed Fixed Rate per Working Month/Day/Hour ¹ |
| Home Office | | | | | | | | | |
| | | | | | | | | | |
| Work in the Client’s Country | | | | | | | | | |
| | | | | | | | | | |

1 Expressed as percentage of 1

2 Expressed as percentage of 4

Signature

Date

Name and Title: _____

APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE*[See Clause GCC 42.2.1 and SCC 46.2.1]**{Guarantor letterhead or SWIFT identifier code}***Bank Guarantee for Advance Payment****Guarantor:** _____ *[insert commercial Bank's Name, and Address of Issuing Branch or Office]***Beneficiary:** _____ *[insert Name and Address of Client]***Date:** _____ *[insert date]* _____**ADVANCE PAYMENT GUARANTEE No.:** _____ *[insert number]* _____

We have been informed that _____ *[name of Consultant or a name of the Joint Venture, same as appears on the signed Contract]* (hereinafter called "the Consultant") has entered into Contract No. _____ *[reference number of the contract]* dated _____ *[insert date]* _____ with the Beneficiary, for the provision of _____ *[brief description of Services]* (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of _____ *[insert amount in figures]* (_____ *[amount in words]*) is to be made against an advance payment guarantee.

At the request of the Consultant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of _____ *[amount in figures]* (_____ *[amount in words]*)¹ upon receipt by us of the Beneficiary's complying demand supported by the Beneficiary's a written statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Consultant is in breach of its obligation under the Contract because the Consultant:

- (a) has failed to repay the advance payment in accordance with the Contract conditions, specifying the amount which the Consultant has failed to repay;
- (b) has used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number _____ at _____ *[name and address of bank]*.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in certified statements or invoices marked as "paid" by the Client which shall be presented to us. This guarantee shall expire, at

¹ The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency(ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Client.

the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the __ day of *[month]*_____, *[year]*__,² whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 revision, ICC Publication No. 758.

[signature(s)]

{Note: All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.}

² Insert the expected expiration date. In the event of an extension of the time for completion of the Contract, the Client would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Client might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed *[six months]**[one year]*, in response to the Client’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”
