

**Expression of Interest
for
Environmental Auditor & Social Auditor**

In compliance with ADB Safeguard Policies and various prevalent, policies and Rules related to Environment, Rehabilitation & Wildlife, the Environmental and Social Management Systems (ESMS) has been developed and adopted by NCRPB with effect from April 2010. As per ESMS, there will be an annual independent evaluation of the environmental and social safeguards practices of the NCRPB and the projects funded by it. All the projects that are categorized to have high impacts, i.e. E1 and S1 will be covered in these audits. Also 25% of remaining projects will be covered under the audit.

It is proposed to hire one Environment Expert and one Social Expert by following ADB procurement system for hiring individual consultant. The expenditure will be incurred under ADB loan. The experts will be hired for audit for year 2010-14, 2014-15 and 2015-16. The tentative cost estimate has been prepared for the audit for year 2010-14, 2014-15 and 2015-16.

For above stated purpose, separate applications are invited for i) Environment Auditor and ii) Social Auditor for independent evaluation of the Environmental and Social Management System of NCRPB. The relevant documents are enclosed as follows,

Environment Auditor	
Expression of Interest	Annexure 1
Terms of Reference	Annexure 2
Estimated Cost	Annexure 3
Evaluation Criteria	Annexure 4
Social Auditor	
Expression of Interest	Annexure 5
Terms of Reference	Annexure 6
Estimated Cost	Annexure 7
Evaluation Criteria	Annexure 8

Applications should be submitted on ADB Consultant Management System (CMS) available at www.cms.adb.org. Last date for receipt of applications on ADB CMS system is 15 June 2014 up to **09:29 PM (Indian Standard Time), 11:59 PM (Manila Time)**. In case of any query the applicants may send a mail to Assistant Director (Financial Management) at e mail address shusain.ncrpb@yahoo.com with a copy to ncrpb-dr@nic.in

Expression of Interest Individual Consultants

External Auditor for Environment Management System

A. Project Data

Project Number	ADB Loan No 2660 IND
Project Name	National Capital Region Urban Infrastructure Financing facility
Project Country	India

B. Consultant Data (*As per CMS registration)

*Name	
*Country of Nationality	
*Address of consultant	
*E-mail of consultant	
*ADB-CMS No.	

Assignment Specific Qualifications and Experience

<p>Assignment Specific Experience (Provide information demonstrating your ability, skills and experience to undertake advertised assignment and deliver inputs/ outputs required under the TOR)</p> <p>a) Experience in auditing of environmental management system for infrastructure projects: Name of project with time inputs</p> <p>b) Experience of carrying out environmental impact assessments and initial environmental examination reports: Name of project with time inputs</p> <p>c) experience of working in projects financed by bilateral / multilateral funding agencies for environmental safeguards: Name of project with time inputs</p>
<p>* Other Information (if this EOI is filled on the basis of simplified CMS registration, *provide summary of your qualifications and attach your CV to your CMS registration).</p> <p>a) Qualification:</p> <p>b) Professional attainment/memberships: only brief list</p> <p>c) Relevant publications: only brief list</p> <p>d) Certified auditor from reputed accreditation agency: Name of accreditation agency & year of accreditation</p>

C. Eligibility Declaration

I, the undersigned, certify to the best of my knowledge and belief

- My CMS registration contains current contact details
- The CV I attached to my CMS registration correctly describes my qualifications and my experience
- I am not employed by the Executing or the Implementing Agency
- I am not part of the team who wrote the terms of reference for this consulting services assignment.
- I am not sanctioned (not eligible for engagement) by ADB or another MDB.
- I have not been convicted of an offense or crime related to theft, corruption or fraud.

- I understand that it is my obligation to notify ADB should I become ineligible to work with ADB or another MDB, or should I be convicted of an offense related to theft, corruption or fraud.
- I understand that any misrepresentations that knowingly or recklessly mislead, or attempt to mislead may lead to the automatic rejection of the proposal or cancellation of the contract, if awarded, and may result in further remedial action, in accordance with ADB's Anticorruption Policy.

Completed by (Name/Position)	
Date (dd/mm/yyyy)	

Terms of Reference for External Audit of ESMS: Environment Section

NCRPB has adopted Environmental and Social Management System (ESMS) for all infrastructure projects under its financial assistance w.e.f. April 2010. Implementation of these projects as per ESMS is critical for improvement of environment. To ensure that the NCRPB's ESMS is established, maintained and is effective in ensuring project-level environment safeguard implementation, one person external independent auditor will be hired. The external auditor will conduct three audits i) for the period from inception of ESMS in NCRPB in April 2010 to March 2014, ii) for the period April 2014 to March 2015 and iii) for the period April 2015 to March 2016.

Objective

The objective is to obtain an external independent audit perspective on NCRPB's ESMS in terms of its internal functioning and also in rendering effectiveness in environment safeguards implementation for the projects financed by NCRPB.

Scope of Work

The auditor will do an independent evaluation of the environmental safeguard practices of the NCRPB and the projects funded by it including those under ADB, KFW line of credit.

The following will be the scope of work:

- a) To develop a broad audit program that will include an audit objective, scope, methodology and schedule and prepare an audit checklist that will cover meetings in NCRPB and meetings with the Implementing agencies and field visits.
- b) To conduct the audit as per the audit plan. This audit will necessarily check whether the procedures as stipulated in the ESMS have been followed, their effectiveness and how proper safeguards are practiced in the projects financed.
- c) The external auditor will conduct detailed audit of about 15 sub projects (for period 2010 to 2016) comprising of direct NCRPB funding and ADB, KFW line of credit funding. The sub projects shall be decided in consultation with NCRPB and shall include those subprojects with significant environmental impacts. It should take into account recommendations of ADB in the review of Environment Monitoring Reports.
- d) Assess the NCRPB's and Implementing Agency's ability to manage and address all relevant environmental risks and impacts of its business and operations, in particular, the issues identified in donor's environment safeguard requirements;
- e) Assess the client's compliance record with applicable laws and regulations of the jurisdictions in which the project operates, pertaining to environmental matters, including those laws implementing host country obligations under international law;
- f) Assess the implementation of grievance redressal mechanism (GRM) at NCRPB and IAs in terms of its effectiveness.
- g) Identify the NCRPB and its project proponent's main stakeholder groups and assess current stakeholder engagement activities.

- h) ESMS auditor will submit an audit report to NCRPB and after discussions will mutually agree on a timeframe to implement the follow-up actions. NCRPB will submit all final audit reports to ADB for review/record.
- i) ESMS auditors will carry out a desk review and field visits to confirm that the follow-up actions have been done. The audit will be deemed as closed only after this confirmation is obtained.
- j) To prepare a report and present the findings to the senior management of NCRPB.

Team composition, Qualification & Experience

The team composition will be one person having requisite experience in environment assessment of infrastructure projects. The Environmental expert should possess a master's degree in Environmental Science / Engineering / Planning. Preference will be given for professional attainment/memberships and relevant publications. The expert should preferably be certified by reputed accreditation agencies (NABET/MOEF). It is desirable for the expert to have proficiency in written and oral Hindi. The expert will have at least 10 years of experience, i) in auditing of environmental management system for infrastructure projects ii) experience of carrying out environmental impact assessments and initial environmental examination reports and iii) experience of working in infrastructure projects financed by bilateral / multilateral funding agencies for environmental safeguards. The person will have good mix of experience of both auditing and subject knowledge and experience on environment safeguards.

Time Input, Deployment & Place of Deployment

The time input will be 30 working days for each of the three years (Total input in three years will be 90 working days). Thirty working days will be spread in two spans. The first span will be for 24 days and remaining period will be in next span. For first year, the first span will start immediately after contract award and second span after compliance of recommendations of audit by NCRPB and Implementing Agencies. Deployment in subsequent years for first span will be as per mutual agreement but preferably immediately after end of financial year. The place of deployment will be New Delhi with some field visits in NCR area.

Outputs / deliverables

The following outputs / deliverables are envisaged:

- a) **In first span:** Audit report including reports of subprojects with recommended time-bound action plan for rectifying issues to be submitted in 24 working days of deployment.
- b) **In second span:** Conduct a follow-up audit to verify closure of findings & submit final compliance report

Payments

For each year, the payment will be made in two instalments. The first payment equivalent to 80% of the agreed contract value for the year shall be released on submission and acceptance of audit report by the competent authority. The balance 20% payment shall be released on submission of the final compliance report. No advance payment shall be made. Payment will be time based and also linked to outputs.

Termination of Services

If the work of auditor is not found satisfactory at any stage then the services can be terminated by the competent authority without assigning any reasons thereof.

Cost Estimate for External Auditor for Environment					Annexure 3	
	Remarks	Quantity	Unit	Rate INR	Amount INR	Amount USD @ INR 60=1\$
Remuneration		90	working day	14233	1280970	21350
Per diem allowance	<i>location</i>	90	calendar day	1500	135000	2250
Air travel	<i>route</i>	0	round trip	0	0	0
Land transport & vehicle hire		45	days	2206.67	99300.15	1655.0025
Communications		0	no	0	0	0
Report preparation, production & transmission		6	no	5000	30000	500
Studies, surveys & reports		0		0	0	0
Others		0		0	0	0
Contingency		5	%	1545270	77264	1288
Total					1622534	27042
Payment type : Time Based						

Technical Evaluation Criteria for Environmental Auditor

1. GENERAL QUALIFICATIONS (20 marks)

A	Master's degree holder in Environmental Science / Engineering / Planning	8
B	Doctorate (PhD) in Environmental Science / Engineering / Planning	2
C	Professional attainment, memberships	3
D	Relevant Publications	3
E	Certified as auditors by reputed accreditation bodies (National Accreditation Board of Education and Training (NABET), Ministry of Environment and Forest (MOEF)	4
	Total Maximum Marks	20

2. PROJECT RELATED EXPERIENCE (70 Marks)

A	Experience in auditing of environmental management system for infrastructure projects: 5 marks for each one year experience but minimum two years' experience is must	25
B	Experience of carrying out environmental impact assessments and initial environmental examination reports: 5 marks for each one year experience but minimum two years' experience is must	25
C	Experience of working in bilateral / multilateral agency funded projects for environmental safeguards: 4 marks for each one year experience but minimum two years' experience is must	20
	Total Maximum Marks	70

Note: The total experience under above 3 should be at least 10 years. If less, then the overall marks will be zero under project related experience

3. REGIONAL EXPERIENCE AND OTHERS (10Marks)

A	Proficiency in written and oral Hindi	10
	Total Maximum Marks	10

4. RATING:

A	Excellent	90 - 100
B	Good	80 - 89
C	Average	70 - 79
D	Below Average	0 - 69

Expression of Interest Individual Consultants

External Auditor for Social Management System

A. Project Data

Project Number	ADB Loan No 2660 IND
Project Name	National Capital Region Urban Infrastructure Financing facility
Project Country	India

B. Consultant Data (*As per CMS registration)

*Name	
*Country of Nationality	
*Address of consultant	
*E-mail of consultant	
*ADB-CMS No.	

Assignment Specific Qualifications and Experience

<p>Assignment Specific Experience (Provide information demonstrating your ability, skills and experience to undertake advertised assignment and deliver inputs/ outputs required under the TOR)</p> <p>a) Experience in auditing of resettlement and rehabilitation plans for infrastructure projects: Name of project with time inputs</p> <p>b) Experience in preparing Resettlement Action Plans (RAP) and Indigenous Peoples Development Plans (IPDP): Name of project with time inputs</p> <p>c) Experience of working in bilateral / multilateral agency funded projects for social safeguards Name of project with time inputs</p>
<p>* Other Information (if this EOI is filled on the basis of simplified CMS registration, *provide summary of your qualifications and attach your CV to your CMS registration).</p> <p>a) Qualification:</p> <p>b) Professional attainment/memberships: only brief list</p> <p>c) Relevant publications: only brief list</p> <p>d) Certified auditor from reputed accreditation agency: Name of accreditation agency & year of accreditation</p>

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Completed by (Name/Position)	
Date (dd/mm/yyyy)	

Terms of Reference for External Audit of ESMS: Social Section

NCRPB has adopted Environmental and Social Management System (ESMS) for all infrastructure projects under its financial assistance w.e.f. April 2010. Implementation of these projects as per ESMS is critical for improvement of social safeguards. To ensure that the NCRPB's ESMS is established, maintained and is effective in ensuring project-level social safeguard implementation, one person external independent auditor will be hired. The external auditor will conduct three audits i) for the period from inception of ESMS in NCRPB in April 2010 to March 2014, ii) for the period April 2014 to March 2015 and iii) for the period April 2015 to March 2016.

Objective

The objective is to obtain an external independent audit perspective on NCRPB's ESMS in terms of its internal functioning and also in rendering effectiveness in implementation of social safeguard in the projects financed by NCRPB.

Scope of Work

The auditor will do an independent evaluation of the social safeguard practices of the NCRPB and the projects funded by it including those under ADB, KFW line of credit.

The following will be the scope of work:

- a) To develop a broad audit program that will include an audit objective, scope, methodology and schedule and prepare an audit checklist that will cover meetings in NCRPB meetings with the implementing agencies and field visits.
- b) To conduct the audit as per the audit plan. This audit will necessarily check whether the procedures as stipulated in the ESMS have been followed, their effectiveness and how proper social safeguards are practiced in the projects financed.
- c) The external auditor will conduct detailed audit of about 15 sub projects (for the period April 2010 to March 2016) comprising of direct NCRPB funding and ADB, KFW line of credit funding. The sub projects shall be decided in consultation with NCRPB and shall include subprojects with significant resettlement impacts. It should take into account recommendation of ADB in the review of Social Monitoring Reports.
- d) Assess the NCRPB's and implementing agencies ability to manage and address all relevant social risks and impacts of its business and operations, in particular, the issues identified in donor's social safeguard requirements;
- e) Assess the client's compliance record with applicable laws and regulations of the jurisdictions in which the project operates, pertaining to social matters, including those laws implementing host country obligations under international law;
- f) Assess the implementation of grievance redressal mechanism (GRM) at NCRPB and IAs in terms of its effectiveness.
- g) Identify the NCRPB and its project proponent's main stakeholder groups and assess current stakeholder engagement activities.

- h) ESMS auditor will submit an audit report to NCRPB and after discussions will mutually agree on a timeframe to implement the follow-up actions. NCRPB will submit all final audit reports to ADB for review/record.
- i) ESMS auditors will carry out a desk review and field visits to confirm that the follow-up actions have been done. The audit will be deemed as closed only after this confirmation is obtained.
- j) To prepare a report and present the findings to the senior management of NCRPB.

Team composition, Qualification and Experience

The team composition will be one person having requisite experience in social impact assessment of infrastructure projects. The Social expert should possess a Master's Degree in Social Science/ Social Development or in allied areas. Preference will be given for professional attainment/memberships and relevant publications. The expert should preferably be certified by reputed accreditation agencies (NABET/MOEF). It is desirable for the expert to have proficiency in written and oral Hindi. The expert will have at least 10 years of experience in i) auditing of resettlement & rehabilitation plans for infrastructure projects, ii) preparing Resettlement Action Plans (RAP) and Indigenous Peoples Development Plans (IPDP), and iii) Experience of working in infrastructure projects financed by bilateral / multilateral funding agencies for social safeguards.

Time Input, Deployment & Place of Deployment

The time input will be 40 working days for each of the three years (Total input in three years will be 120 working days). Forty working days will be spread in two spans. The first span will be for 32 days and remaining period of eight working days will be in next span. For first year, the first span will start immediately after contract award and second span after compliance of recommendations of audit by NCRPB and Implementing Agencies. Deployment in subsequent years for first span will be as per mutual agreement but preferably immediately after end of financial year. The place of deployment will be New Delhi with some field visits in NCR area.

Outputs / deliverables

The following outputs / deliverables are envisaged:

- a) **First Span:** Audit report including reports of five subprojects with recommended time-bound action plan for rectifying issues to be submitted in 32 working days of deployment.
- b) **Second Span:** Conduct a follow-up audit to verify closure of findings & submit final compliance report.

Payments

For each year, the payment will be made in two instalments. The first payment equivalent to 80% of the agreed contract value for the year shall be released on submission and acceptance of audit report by the competent authority. The balance 20% payment shall be released on submission of the final compliance report. No advance payment shall be made. Payment will be time based and also linked to outputs.

Termination of Services

If the work of auditor is not found satisfactory at any stage then the services can be terminated by the competent authority without assigning any reasons thereof.

Cost Estimate for External Auditor for Social					Annexure 7	
	Remarks	Quantity	Unit	Rate INR	Amount INR	Total USD @ Rs60=1\$
Remuneration		120	working day	7910.9	949308	15822
Per diem allowance	<i>location</i>	120	calendar day	1500	180000	3000
Air travel	<i>route</i>	0	round trip	0	0	0
Land transport & vehicle hire		60	days	2206.67	132400.2	2206.67
Communications		0	no	0	0	0
Report preparation, production & transmission		6	no	5000	30000	500
Studies, surveys & reports			LS	120000	120000	2000
Others		0		0	0	0
Contingency		5	%	1411708	70585	1176
Total					1482294	24705
Payment type: Time Based						

Technical Evaluation Criteria for Social Auditor

1. GENERAL QUALIFICATIONS (20 marks)

A	Master's degree holder in Social Science/ Social Development and allied areas	8
B	Doctorate (PhD) in Social Science/ Social Development and allied areas	2
C	Professional attainment, memberships	3
D	Relevant Publications	3
E	Certified as auditors by reputed accreditation bodies (National Accreditation Board of Education and Training (NABET), Ministry of Environment and Forest (MOEF)	4
	Total Maximum Marks	20

2. PROJECT RELATED EXPERIENCE (70 Marks)

A	Experience in auditing of resettlement & rehabilitation plans for infrastructure projects: 5 marks for each one year experience but minimum two years' experience is must	25
B	Experience of preparing Resettlement Action Plans (RAP) and Indigenous Peoples Development Plans (IPDP): 5 marks for each one year experience but minimum two years' experience is must	25
C	Experience of working in bilateral / multilateral agency funded projects for social safeguards: 4 marks for each one year experience but minimum two years' experience is must	20
	Total Maximum Marks	70

Note: The total experience under above 3 should be at least 10 years. If less, then the overall marks will be zero under project related experience.

3. REGIONAL EXPERIENCE AND OTHERS (10Marks)

A	Proficiency in written and oral Hindi	10
	Total Maximum Marks	10

4. RATING:

A	Excellent	90 - 100
B	Good	80 - 89
C	Average	70 - 79
D	Below Average	0 - 69