



उत्तर प्रदेश UTTAR PRADESH

AA 726274

This CONTRACT (hereinafter called the "Contract") is made the *Eighth* day of the month of *March, 2019*, between, on the one hand, **Project Director, State of Maharashtra's Agri-business and Rural Transformation Project (SMART)** (hereinafter called the "Client") and, on the other hand, **M/s. Mott MacDonald Private Limited, Noida 201301, Uttar Pradesh, India.** (hereinafter called the "Consultant").

WHEREAS

- the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the "Services");
- 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;
- the Client has applied for a loan from the, International Bank for Reconstruction and Development (IBRD): toward the cost of the Services and intends to apply a portion of the proceeds of this loan 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 agreement, including prohibitions of withdrawal from the loan 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 agreement or have any claim to the loan proceeds;

TRANSMISSION OF DOCUMENTS
TO THE PROJECT MANAGER
FOR THE PROJECT

7 MAR 2019

क्र.स. 149 स्टाम्प विक्रेता की तिथि
स्टाम्प क्रय करने का प्रयोजन
स्टाम्प केता का नाम व पूरा पता Mott McDonald Private Ltd
स्टाम्प की धनराशि 500/-

विकास चौहान स्टाम्प विक्रेता

ला. नं.-170/2018 ला, अवधि 31-3-2019

सब-रजिस्ट्रार कार्यालय सैक्टर-33, नोएडा

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:

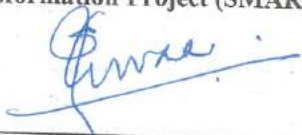
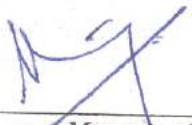
- (a) The General Conditions of Contract (including Attachment 1 "Fraud and Corruption");
- (b) The Special Conditions of Contract;
- (c) Appendices:
 - Appendix A: Terms of Reference
 - Appendix B: Key Experts
 - Appendix C: Breakdown of Contract Price
 - Appendix D: Form of Advance Payments Guarantee- NA

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. 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 Project Director, State of Maharashtra's Agri-business and Rural Transformation Project (SMART)	For and on behalf of M/s. Mott McDonald Private Limited.
	
[Suhas Diwase, Project Director, SMART]	Sai Narasimhan, Managing Director Sai Narasimhan, Divisional General Manager

State of Maharashtra's Agri-Business &
Rural Transformation (SMART) Project
Project Coordination & Management Unit

CONTRACT FOR CONSULTANT'S SERVICES

Lump-Sum

Project Name: State of Maharashtra's Agri-business and Rural Transformation Project (SMART)

Loan No. P 168310

Contract No. SMART/PMU/CS/01/2018-19/01

Assignment Title: Consultancy Services for Environmental and Social Assessment (ESA) for the SMART Project

Lump-Sum contract

between

Project Director, State of Maharashtra's Agri-business and Rural Transformation Project (SMART)
F/E, 78, LDB Training Center Building, Gultekdi, Market Yard,
Pune- 411 037. Maharashtra, India.

and

M/s. Mott McDonald Private Limited,
5/6th Floor, Logix Techno Park, Tower C, Plot 5, Sector 127,
Noida- 201 301 (Uttar Pradesh).

Dated: 8th March 2019



TABLE OF CONTENTS

I. General Conditions of Contract	7
A. GENERAL PROVISIONS	7
2. Relationship between the Parties	8
3. Law Governing Contract	8
4. Language	9
5. Headings	9
6. Communications	9
7. Location	9
8. Authority of Member in Charge	9
9. Authorized Representatives	9
10. Fraud and Corruption	9
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT	10
11. Effectiveness of Contract	10
12. Termination of Contract for Failure to Become Effective	10
13. Commencement of Services	10
14. Expiration of Contract	10
15. Entire Agreement	10
16. Modifications or Variations	10
17. Force Majeure	10
18. Suspension	12
19. Termination	12
C. OBLIGATIONS OF THE CONSULTANT	14
20. General	14
21. Conflict of Interest	15
22. Confidentiality	16
23. Liability of the Consultant	16
24. Insurance to be taken out by the Consultant	16
25. Accounting, Inspection and Auditing	16
26. Reporting Obligations	17
27. Proprietary Rights of the Client in Reports and Records	17
28. Equipment, Vehicles and Materials	17
D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS	18
29. Description of Key Experts	18
30. Replacement of Key Experts	18
31. Removal of Experts or Sub-consultants	18
E. OBLIGATIONS OF THE CLIENT	19
32. Assistance and Exemptions	19
33. Access to Project Site	19
34. Change in the Applicable Law Related to Taxes and Duties	20




35. Services, Facilities and Property of the Client	20
36. Counterpart Personnel	20
37. Payment Obligation	20
F. PAYMENTS TO THE CONSULTANT	20
38. Contract Price	20
39. Taxes and Duties	21
40. Currency of Payment	21
41. Mode of Billing and Payment	21
42. Interest on Delayed Payments	22
G. FAIRNESS AND GOOD FAITH	22
43. Good Faith	22
H. SETTLEMENT OF DISPUTES	22
44. Amicable Settlement	22
45. Dispute Resolution	22
II. Special Conditions of Contract	25
NA 29	
III. Appendices	33
Appendix A - Terms of Reference	33
Appendix B - Key Experts	41
Appendix C - Breakdown of Contract Price	47



STAMP PAPER

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- (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 applied for a loan from the, International Bank for Reconstruction and Development (IBRD): toward the cost of the Services and intends to apply a portion of the proceeds of this loan 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 agreement, including prohibitions of withdrawal from the loan 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 agreement or have any claim to the loan 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
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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. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

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 - (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and
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For and on behalf of Project Director, State of Maharashtra's Agri-business and Rural Transformation Project (SMART)	For and on behalf of M/s. Mott McDonald Private Limited.
	
[Suhas Diwase, Project Director, SMART]	, Managing Director Sai Narasimham, Director General

I. 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) "Consultant" means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
- (f) "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).
- (g) "Day" means a working day unless indicated otherwise.
- (h) "Effective Date" means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- (i) "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.
- (j) "Foreign Currency" means any currency other than the currency of the Client's country.



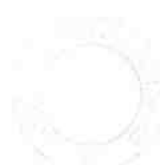
- (k) "GCC" means these General Conditions of Contract.
- (l) "Government" means the government of the Client's country.
- (m) "Joint Venture (JV)" means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to 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.
- (n) "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.
- (o) "Local Currency" means the currency of the Client's country.
- (p) "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.
- (q) "Party" means the Client or the Consultant, as the case may be, and "Parties" means both of them.
- (r) "SCC" means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- (s) "Services" means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- (t) "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.
- (u) "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.



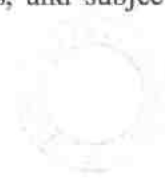
- 4. Language** 4.1. This Contract has been executed in the language specified in the SCC, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.
- 5. Headings** 5.1. The headings shall not limit, alter or affect the meaning of 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 WBG'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 44 & 45.

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 45.1;
- (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 45.1.
- (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 38 through 42) 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,**
- 25.1 The Consultant shall keep, and shall make all reasonable



Inspection and Auditing

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 Appendix to the General Conditions the Consultant shall permit and shall cause its subcontractors and subconsultants to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or the accounts and records relating to the performance of the Contract and the submission of the bid, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Consultant's and its Subcontractors' and subconsultants' attention is drawn to Sub-Clause 10.1 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.

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

- 29. Description of Key Experts** 29.1 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**.
- 30. Replacement of Key Experts** 30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.
- 30.2 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.
- 31. Removal of Experts or Sub-consultants** 31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or if the Client determines that a Consultant's Expert or Sub-consultant has engaged in Fraud and Corruption while performing the Services, the Consultant shall, at the Client's written request, provide a replacement.
- 31.2 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.
- 31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.
- 31.4 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**32. Assistance and Exemptions**

32.1 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.
- (c) 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.
- (d) 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.
- (e) Assist the Consultant, any Sub-consultants and the Experts of 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.
- (f) Provide to the Consultant any such other assistance as may be specified in the SCC.

33. Access to Project Site

33.1 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.

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

34.1 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 38.1

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

35.1 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**.

**36. Counterpart
Personnel**

36.1 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**.

36.2 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.

**37. Payment
Obligation**

37.1 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

38. Contract Price

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

38.2 Any change to the Contract price specified in Clause GCC 38.1 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**.



39. Taxes and Duties

39.1 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.

39.2 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.

40. Currency of Payment

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

41. Mode of Billing and Payment

41.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.

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

41.2.1 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.

41.2.2 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.

41.2.3 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

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

41.2.4 With the exception of the final payment under 41.2.3 above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations hereunder.

42. Interest on Delayed Payments

42.1 If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 41.2.2, 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

43. Good Faith

43.1 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

44. Amicable Settlement

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

44.2 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 45.1 shall apply.

45. Dispute Resolution

45.1 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 Appendix 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.

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II. 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	The addresses are <i>[fill in at negotiations with the selected firm]</i>: Client : Project Director, SMART, F/E, 78, LDB Training Center Building, Gultekdi, Market Yard, Pune- 411 037. Maharashtra, India. Website: www.smart-mh.org Tel: +91- 020-24270315/16 E-mail:pcmu.smart@gmail.com Consultant : <u>M/s. Mott McDonald Private Limited</u> <u>5/6th Floor, Logix Techno Park, Tower C, Plot 5,</u> <u>Sector 127, Noida- 201 301 (Uttar Pradesh).</u> Attention : <u>Ms. Veena Gupta, Sr. Project Manager</u> Facsimile : <u>+91(0) 1203992396</u> E-mail (where permitted) : <u>veena.gupta@mottmac.com</u>
8.1	N/A
9.1	The Authorized Representatives are: For the Client: Project Director, SMART, F/E, 78, LDB Training Center Building,

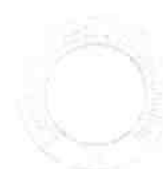
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	Gultekdi, Market Yard, Pune- 411 037. Maharashtra, India. Website: www.smart-mh.org Tel: +91- 020-24270315/16 E-mail:pcmu.smart@gmail.com For the Consultant: <u>Ms. Veena Gupta, Sr. Project Manager</u> <u>M/s. Mott McDonald Private Limited,</u> <u>5/6 th Floor, Logix Techno Park,</u> <u>Tower C, Plot 5, Sector 127, Noida 201301,</u> <u>Uttar Pradesh, India.</u> <u>Phone: +91(0) 1203992396, +91(0)12 03992300</u> <u>E-mail Id: veena.gupta@mottmac.com</u>
11.1	N/A
12.1	Termination of Contract for Failure to Become Effective: The time period shall be: 22 days.
13.1	Commencement of Services: The number of days shall be: 8 Days. 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: Till 31st August 2019.
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	Limited to consultancy fees paid to the Consultant.
24.1	The insurance coverage against the risks shall be as follows: (a) Professional liability insurance, with a minimum coverage of <i>Equivalent to cost of contract</i>"; (b) Third Party liability insurance, with a minimum coverage of <i>[Equivalent to cost of contract]</i>"; (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 (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.
27.1	----- NA -----
27.2	The Consultant shall not use these <i>documents and software</i> for purposes unrelated to this Contract without the prior written approval of the Client.
38.1	The Contract price is: Rs. 25,25,324/- (Remuneration Rs. 18,50,324.00 + Reimbursable Expenses 6,75,000/-) exclusive of local indirect taxes. Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall "be paid" by the Client <i>for the Consultant.</i> The amount of such taxes is Rs. 4,54,558/- (Rs. Four lakhs and Fifty Four thousand Five Hundred Fifty Eight only).
39.1 and 39.2	The Client warrants that: "the Client shall reimburse the Consultant, the Sub-consultants and the Experts" any indirect taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Client's country, on the Consultant, the Sub-consultants and the Experts in respect of:



	(a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of the Client's country), in connection with the carrying out of the Services; (b) any equipment, materials and supplies brought into the Client's country by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them; (c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client; (d) any property brought into the Client's country by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of the Client's country), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Client's country, provided that: (i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of the Client's country in importing property into the Client's country; and (ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in the Client's country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of the Client's country, or (b) shall reimburse them to the Client if they were paid by the Client at the time the property in question was brought into the Client's country.															
41.2	The payment schedule: <table><tr><th>Sr. No.</th><th>Deliverables</th><th>% Payment</th></tr><tr><td>1.</td><td>Submission of the inception report</td><td>10 %</td></tr><tr><td>2.</td><td>Submission of Draft ESA report with ESMF</td><td>15 %</td></tr><tr><td>3.</td><td>Submission of draft ESMF and after submission of proof of completion of consultation workshops</td><td>15 %</td></tr><tr><td>4.</td><td>Submission of Final ESMF Report along with</td><td>50 %</td></tr></table>	Sr. No.	Deliverables	% Payment	1.	Submission of the inception report	10 %	2.	Submission of Draft ESA report with ESMF	15 %	3.	Submission of draft ESMF and after submission of proof of completion of consultation workshops	15 %	4.	Submission of Final ESMF Report along with	50 %
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	<table><tr><td></td><td>all data collected for writing the reports. Submission of power-point presentation of the final ESA and ESMF reports</td><td></td></tr><tr><td>5</td><td>After submission of report of completion of Need Based Changes</td><td>10%</td></tr></table>		all data collected for writing the reports. Submission of power-point presentation of the final ESA and ESMF reports		5	After submission of report of completion of Need Based Changes	10%
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5	After submission of report of completion of Need Based Changes	10%					
41.2.1	NA						
41.2.4	The accounts are: for local currency: Account Name :- <u>Mott McDonald Private Limited</u> Name of the Bank :- Bank of India Branch Name :- Mumbai Large Corporate Branch Account No. :- 004930100006107 IFS Code :- BKID0000160 SWIFT CODE :- BKIDINBBMLC MICR Code :- 400013127						
42.1	The interest rate is: [8% per Year].						
45.1	Disputes shall be settled by arbitration in accordance with the following provisions: 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: (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 [name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs-Conseil (FIDIC) of Lausanne, Switzerland] 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, [insert the name of the same professional body as above] shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute. (b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each						

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	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 international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>. (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.
	2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract. 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. 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 an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties/or of the Government's country. For the purposes of this Clause, "home country" means any of:</i> (a) the country of incorporation of the Consultant <i>[If the Consultant consists of more than one entity, add: or of any of their members or Parties];</i> or

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	(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or (c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or (d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.
	5. <u>Miscellaneous</u>. In any arbitration proceeding hereunder: (a) proceedings shall, unless otherwise agreed by the Parties, be held in <i>[select a country which is neither the Client's country nor the Consultant's country]</i>; (b) the <i>[type of language]</i> language shall be the official language for all purposes; and (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.



III. Appendices

APPENDIX A – TERMS OF REFERENCE

I. Background and Rationale:

Maharashtra has widespread dependence on agriculture with 55 % of its total population directly or indirectly dependent on this sector (Niti Aayog). The State accounts for 11.81% of the India's Gross Cropped Area (GCA), contributes 13.31 % to the country's GDP and 11 % to its own income. Agriculture has grown at an annual average rate of 6.4 % from 2004-05 to 2011-12 in the State. Maharashtra's share in Indian food processing is about 13 %. However, the sector is yet to harness the full potential in terms of contribution to GDP, job creation and addressing challenges posed by socio-environmental and climate change factors. The present agricultural production system in Maharashtra lacks in aggregation by the farmers themselves leading to rent seeking by a long chain of intermediaries. For favoring market led strategy conducive to farmers, there is pressing need to facilitate aggregation of farm produce through the development of producer organizations and provide them market linkage through end-to-end solutions in Public-Private Partnership (PPP) mode.

Govt. of Maharashtra aims to implement SMART Project¹ to revamp agricultural value chains, with special focus on small and marginal farmers across the State aligned with the Government of India's efforts towards doubling of farmers' income by 2022.

The proposed Project Development Objective (PDO) is:

“To support the development of inclusive and competitive agriculture value chains, focusing on small holder farmers and agri-entrepreneurs in Maharashtra”.

This will be achieved by expanding access to new and organized markets for producers and enterprises with complementary investments in technical services and risk management capabilities”. The project is expected to benefit approximately 2000 FPOs of the State through the development of the productive partnerships between them and private entities, MSMEs, start-ups, etc.

II. Key Project Components:

Component 1: Supporting Enterprise Growth and Expanding Market Access

The objective of this component is to enhance provision of relevant Technical and Business Development Services (BDS) to agribusiness enterprises, improve both domestic, and export market access. This component will include the following activities:

- a) Provide a range of technical services to agri-enterprises and CBOs including product development and quality; food safety and traceability; assistance for developing business plans and commercial loan applications; adoption of new technologies; and skills training.
- b) Financing Market Access Plans for CBOs and agri-enterprise associations including support to meet domestic/global food quality standards.
- c) Productive Partnership for supporting linkages between CBOs and lead commercial buyers.

¹ <http://www.smart-mh.org/en>



- d) Scaling up export-linked clusters through support for adoption of elite planting materials, and implementation of Good Agricultural Practices Standards at the cluster-level.
- e) Supporting increased testing and technical service provision to improve food safety standards at the regional level.
- f) Pilot program on urban food systems to effectively link agricultural production in surrounding areas to the selected cities.

Component 2: Building Risk Mitigation Mechanisms

The objective of this component is to enhance capacity to respond to commodity-price fluctuations and agriculture sector crises; develop access to timely information on markets and productions trends and enhance access of producers to financing and hedging instruments. This component will include the following activities:

- a) Systematic monitoring and reporting of crop production and yields; price forecasting for key commodities; and disseminating this information widely.
- b) Setting up a Crisis Response Cell within the Department of Agriculture to proactively respond to rapid price fluctuations and agricultural distress.
- c) Expand use of Warehouse Receipt Financing through improved quality and management of notified warehouses, and assisting producers with using the financing instrument.

Component 3: Enhancing Institutional Capacity for Agribusiness Reforms

The objective of this component is to support the State in conceiving and implementing an evidence-based agribusiness support reform program; and to better manage risks arising from integration into global markets. This component will include the following activities:

- a) Research, evaluations and monitoring mechanisms of reform efforts.
- b) Training and capacity building of staff of concerned government departments.
- c) Setting up Agribusiness Stewardship Councils to coordinate actions to increase competitiveness of key commodities.

Component 4: Project Management, Monitoring and Evaluation

This component will strengthen capacities for Project Management, Monitoring and Evaluation (M&E) (including, inter alia, the areas of procurement and financial management) through the provision of goods, consultant services, training, and financing of incremental operating costs.

III. Objective of this Assignment:

The purpose of this consultancy work is to:



- (i) Conduct an Environment and Social Assessment (ESA) to identify and assess potential environmental and social impacts and risks in the implementation of the SMART project and;
- (ii) Based on the findings of the ESA, prepare an Environment and Social Management Framework (ESMF), to avoid, minimize and mitigate potential adverse environmental and social impacts of the project's proposed interventions and enhance the potential positive environmental and social impacts of the project interventions.

IV. Scope of Work and Outline of Key Activities:

1. Environmental and Social Assessment (ESA): The consultant(s) will conduct an environment and social assessment to identify key environmental and social issues, challenges and risks with regard to the proposed project activities and locations. This assessment will be undertaken in nine Agro-Climatic Zones of Maharashtra under the SMART Project. The ESA shall be prepared after conducting field visits/primary survey to a sample of proposed sites and a thorough review of literature and collection of secondary data. Moreover, during field visits, stakeholders and beneficiaries will be consulted in every location to understand their needs and concerns and how the project can address these better. The ESA will include:

- a) **Environmental and Social Baseline(s):** Consultants will prepare baseline of the key environmental and social parameters, including but not limited to usage of agrochemicals, practice of organic / low input farming, irrigation practices, food safety, health, hygiene, use of solar energy in agro-processing industries, presence of indigenous people (STs), socio-economic status of direct project beneficiaries at the community level, land holding pattern, etc. Consultants should propose additional parameters, as may be required. While secondary data will be collected for baselines, wherever necessary; limited primary data collection may be undertaken.

Keeping in view the scope of the given study and its related timeline, viz., 03 Months; representative 100 number of samples of different abovementioned indicators should be selected from the 09 Agro-Climatic Zones of Maharashtra.

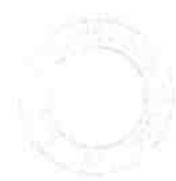
The agency will do 50 samples in 05 agro-climatic zones (Eastern Vidarbha Zone, Central Vidarbha Zone, Central Maharashtra Plateau Zone, North Konkan Coastal Zone and South Konkan Coastal Zone) while project staff will collect data for 50 samples in remaining 04 agro-climatic zones (Western Ghat Zone, Sub-Montane Zone, Western Maharashtra Plain Zone and Scarcity Zone) and from the proposals received for productive partnerships, market access plans and collateral management agencies. The Agency will do analysis for all the 100 samples.

The sites selected for developing baselines should represent all nine agro-climatic zones of Maharashtra and cover all stakeholders such as Community Based Organizations (FPCs, CLFs, PACS, CMRCs)², SC and ST population with adequate gender representation (women).

² FPC- Farmer Producer Company, CLF- Cluster Level Federation, PACS- Primary Agricultural Credit Society, CMRCs- Community-managed Resource Centers

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- b) **Social Assessment:** Social Assessment of rural households should be done to assess the patterns of asset ownership, livelihoods, access of excluded groups to goods & services, etc. to identify and suggest interventions to increase ownership of the SMART project interventions. Social development outcomes of the assessment exercise should focus on poverty reduction, equity and inclusion, strengthening of social capital and social cohesion, and promotion of accountable and transparent governance, as well as suggest measures to mitigate adverse impacts anticipated from project activities.
- c) **Review of the Legal and Policy Environment:** With respect to the proposed project interventions, the consultants will review the existing legal and policy environment of Government of India³ and Govt. of Maharashtra⁴ in relation to their applicability to the proposed project interventions, investments and compliance. The Consultants will also review the applicability of the World Bank's Environment and Social Safeguards Policies (OP 4.01 - Environmental Assessment, OP4.03 - Performance Standards for Private Sector Activities, OP4.04 - Natural Habitats, OP 4.09- Pest Management, OP 4.10 - Indigenous Peoples and OP 4.12 - Involuntary Resettlement, etc.). Identify which of the environmental and social laws are applicable to the project along with the World Bank's safeguards policies⁵ triggered by the project and provide adequate justification as well as ensure that mitigation measures and actions are included in the ESMF to meet the requirements of the triggered policies.
- d) **Analysis of GHG Footprint and Climate Risks of Select Value Chains:** Based on the agreed sample value chains, the consultants will estimate the current GHG emissions and climate footprint of the selected value chains and suggest measures to lower it along the same. The resultant carbon estimate findings would be crucial and act as one of the key basis to estimate Statewide Overall GHG Footprint and Climate Risks of the SMART project.
- e) **Stakeholder Consultations:** The consultants will carry out detailed and in-depth consultations with all the stakeholder (direct community level beneficiaries, men and women farmers, CBOs, agri-business enterprises of varying sizes, consumers, State Government Departments, etc.) and prepare stakeholder feedback report with names of participants, photographs and short videos. These consultations will cover key challenges and issues faced by these entities and possible solutions and recommendations suggested by the stakeholders.
- f) **Assess Food Safety Standards:** Based on a Consultative dialogue with the food industries and consumers, consultants will assess key issues and gaps in existing capacities for improving the adoption of food safety standards in the agribusiness sector. This should include a comparison with the India Gap Standards and Maximum Residue Level (MRL). The Consultant/s will identify and list the commodities for which food

³ <http://www.envfor.nic.in/legis/legis.html>

⁴ <http://www.landsofinaharashtra.com/landrelatedlaws.html>

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

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safety standards are available and also those commodities that are traded but do not currently have any standards⁶.

- g) **Identify Environmental Impacts and Risks:** Based on historical trends and field-based observations, stakeholder consultations and overall findings of the ESA, consultants will identify potential and likely environmental adverse risks and impacts of the proposed project activities (for devising mitigation measures). Both short-term and long-term as well as direct and indirect impacts and risks needs to be identified.
- h) **Assess capacity of proposed PMU to respond to identified environmental and social risks and impacts:** The consultants will assess the adequacy of the proposed PMU and other institutional arrangements for implementation of the SMART project in addressing identified environmental and social risks and impacts and suggest measures to strengthen such capacity.

2. Environmental and Social Management Framework (ESMF): Based on the findings of the ESA, the consultant/s will develop an ESMF that lists all identified potential impacts and risks and proposed mitigation actions, along with a monitoring framework for each risk and action. It will include, among others:

- a) **Impacts and Mitigation Action:** Based on the identified impacts and risks, develop implementable and practical mitigation actions to address/reduce/reverse adverse environmental and social impacts against each of the identified (in the ESA) adverse environmental impacts and risks. Mitigation measures could be at the level of policy, mainstreamed into project design, capacity development and/or implemented as stand-alone;
- b) **Measures for Enhancing Positive Environmental and Social Outcomes:** Suggest appropriate measures to enhance positive environmental and social impacts, such as, arising from the use of improved production processes that reduces use of water, electricity and other natural resources, improve ventilation of the production unit to ensure that employees work in safe ambient temperatures, use of easily degradable packaging materials, on the environment side; and ways to include more female beneficiaries at the higher end of the value chain and to involve members from marginalized sections on the social side;
- c) **Negative List:** A negative list of activities having significant, long-term and irreversible adverse impacts will be prepared that will not be supported through project investments;
- d) **Specific Strategies and Plans:** The consultants will develop the following project specific strategies and plans – Gender Strategy, Planning Framework, Stakeholder Engagement Plan, Pest Management Plan and Food Safety Strategy. Based on the ESA, additional strategies may need to be developed. Additional strategies, such as, health,

⁶ <https://www.ifc.org/wps/wcm/connect/c7bfaf0048855482b314f36a6515bb18/Final%2B-%2BFood%2Band%2BBeverage%2BProcessing.pdf?MOD=AJPERES>

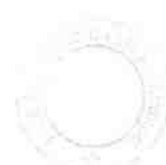


hygiene and safety management plan, periodic and regular cleaning protocol for production and aggregation units, system for periodic third-party inspection and certification of participating units, self-declaration protocols etc., may be prepared, as required based on the findings of the ESA;

- e) **Implementation Arrangements for ESMF:** Suggest, in proportion to the identified risks and impacts, institutional and implementation mechanisms, including the requirement of qualified staff(s) with clear roles and responsibilities for implementing the proposed mitigation actions at all stages of the project, including measures for integration in designing of sub-projects;
- f) **Monitoring Plan:** Provide a list of measurable indicators for monitoring the performance of agreed mitigation actions during project implementation, including the methods of measuring, frequency and responsibility of reporting;
- g) **Capacity Enhancement:** Suggest measures, including trainings, for strengthening the Project Management capacity to implement, monitor, document and report on the various provisions of the ESMF;
- h) **Clauses for Inclusion in Bid Documents:** The ESMF should be able to provide a list of potential clauses related to food processing units that shall be integrated/incorporated into the bidding/contract documents and/or loan appraisal documents of financial institutions participating in this project, as may be required based on the size and nature of civil contracts;
- i) **National and International Good Practices:** Prepare a list of international good practices and sustainability initiatives developed, adopted and practiced by private sector related to contract farming, Farmer Producer Organizations/Companies, upgradation and upkeep of the food processing units; and
- j) **Specific Studies:** Based on the findings of the ESA and the coverage of ESMF, suggest a list of specific studies that shall be taken up under the project for increasing the understanding of the issues and/or for developing strategies to address challenging issues related to the project's policy, regulatory and operational aspects; and
- k) **Budget for ESMF:** Based on the suggested mitigation actions, staff and human resource requirements, monitoring and capacity building needs, the consultants will propose a financial budget for implementing the ESMF.

Expected Outputs:

- a) Comprehensive report on Environmental and Social Assessment (ESA);
- b) A detailed Environmental and Social Management Framework (ESMF) with implementation matrix giving roles and responsibilities;



- c) Project specific strategies and plans – Gender Strategy, Indigenous People's Planning Framework, Resettlement Action Plan, Stakeholder Management Plan, Pest Management Plan and Food Safety Strategy and Employee Health, Hygiene and Safety plan.
- d) Any other plan that may be required as per the findings of the ESA and required for ESMF.

Team Composition for ESA and ESMF

At a minimum, the consultants will deploy the following experts. The consultants are encouraged to suggest additional technical resources for conducting the ESA and preparing the ESMF.

- a) **One Team Leader:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 10 years in preparing environmental and social management plans and frameworks in natural resource sector, agriculture and farm level interventions, food processing and/or related aspects. Prior experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.
- b) **One Environmental Management Expert:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 05 years in environmental assessment of projects, particularly related to agriculture sector.
Preference shall be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.
- c) **One Social Development Expert:** A graduate in social sciences with at least 05 years of prior experience in designing and conducting field based primary surveys and multi-stakeholder consultations. S/he should have experience of conducting social assessments for World Bank, or other multi/ bi-lateral agencies, for large-scale projects; understanding of social safeguard policies and their triggers. Sound understanding of social and gender issues around enterprise development; and livelihoods related to inclusion, restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing. S/he should preferably have knowledge and experience in working and understanding of the State's social context and handling community based NRM / livelihoods issues.
- d) **Gender Expert:** Graduate in social science with five years' research and experience in gender related issues; familiar with current discourse on gender issues, and knowledge in designing, monitoring and evaluating gender and inclusion projects in development.



- e) **One Agro-Food Processing Industry Expert:** A graduate in science/engineering, preferably from food processing related discipline. S/he should have at least 08 years of prior experience in food processing sector with familiarity of FSSAI functioning, requirements and related aspects.
- f) **One Quality Assurance Expert:** A graduate in science/engineering with at least 05 years of prior experience in working on quality assurance, preferably in food processing sector. Familiarity with food safety standards is essential.

V. Timeline of Deliverables:

Milestones for ESMF Study	Timelines (from issuance of Contract)
Inception Report for ESA with detailed field visit schedule and stakeholder consultation plan; the inception report should include data collection instruments	01 st -02 nd Week
Field visits and stakeholder consultations	02 nd -05 th Week
Draft ESA report with ESMF	06 th -07 th Week
Draft ESMF and consultation workshops	08 th Week
Final ESMF Report along with all data collected for writing the reports	09 th -10 th Week
A power-point presentation of the final ESA and ESMF reports	11 th -12 th Week
Need Based Changes	13 th -14 th Week onwards

Please Note: The Implementation period of the given assignment shall be of 03 to 03.10 Months (approx. 13-14 Weeks)

Annexure 1: ESA Exercise to be carried out Covering Selected Indicators (mentioned above) and taking representative samples from the 09 Agro-Climatic Zones of Maharashtra under the SMART Project



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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.]



FORM TECH – 6 (CONTINUED)

Position Title and No.	Team Leader
Name of Expert:	Anjay Kumar
Date of Birth:	1st March 1976
Country of Citizenship/Residence	India

Education:

- Master of Technology (Environmental Science and Engineering), Indian School of Mines, Dhanbad, 2004
- Bachelor of Engineering (Environmental Engineering), Kuvempu University, Shimoga, Karnataka, 2000

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2006 to Present	Employer: Mott MacDonald Private Limited Position Held: Project Manager Contact for Reference: +91-120-2543582	India	Diverse experience in carrying out projects pertaining environmental impact assessment, environmental management, environmental and social due diligence and capacity assessment and institutional strengthening. Provide technical advice to Project Implementation Units (PIUs) in all environment related aspects of project implementation such as environmental safeguards, including review of project reports and documents, monitoring and evaluating the implementation of projects for environmental mitigation, monitoring measures, and coordination and implementation of Environmental Management Framework (ESMF). Well versed with the environmental guidelines of World Bank, IFC, ADB, AIIB and local government policies and legislations, responsible for preparing emergency/contingency plans in infrastructure projects. Provide expert advice to project proponent and project team to strategize and efficiently comply to environmental commitments, Environmental Risk analysis and management, design and implementation of mitigation strategies.
2004 - 2005	Employer: Intercontinental Consultants and Technocrats Private Limited Position Held: Assistant Manager Contact for Reference: +91-11-40863000, 26523036	India	Responsible for conducting environmental survey and preparation of environmental safeguard reports; particularly as the project area consisted of the World's one of the most fragile ecosystems - the Himalaya. In this case, great care and detailing was carried out during the assessment for the road improvement project strategic option study of 13,000 km roads, major district roads and State Highways in Uttaranchal (for projection to the Asian Development Bank).
2001 - 2002	Employer: Pollution Control Devices, New Delhi Position Held: Design Engineer	India	Responsible for handling the engineering design of Water Treatment Plant for 500 m3/sec output using Reverse Osmosis System for Pollution Control Devices. Responsible for carrying out the erection and commissioning of treatment plant for cyanide and chromium removal for Pavana Zadi, Harinagar, Aligarh, Uttar Pradesh.



Membership in Professional Associations and Publications:

- Applied 'carbon critical design': A comparison of the construction carbon footprint of Viaduct Flyovers, to Reinforced Soil Flyovers. Author Adrian Anderson and Anjay Kumar, Journal of Indian Road Congress, Volume 73 Part 4, January 2014
- Mineral Industries and their environmental aspect in Indian contexts Author: Mrinal K. Ghosh and Anjay Kumar, Indian Journal of engineering and materials sciences volume 11, Oct. 2004, pp. 433-437

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent
Telugu	Good	Good	Good

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts: • First point of contact for World Bank and SMART • Carry out the management and administration of the project, ensuring overall quality of the planned outputs and outcomes • Activity planning and inputs on environmental and social aspects • Execution of planned activities and timely delivery of project objectives • Provide technical inputs, guide and oversee environmental, social and gender aspects.
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks Project Name: Project Management and Supervision Consultancy for Visakhapatnam- Chennai Industrial Corridor Development Plan funded by Asian Development Bank Client Name: Department of Industries, Government of Andhra Pradesh Year and Location: July 2018 to June 2022, Andhra Pradesh Position Held: Environmental Specialist Details: MM is providing PMC support to the VCIC development project with an objective of providing services such as industrial corridor management, infrastructure strengthening, institutional capacity building and program management strengthening. Moreover, as the environmental specialist under this project, Anjay Kumar is responsible for providing assistance in the context of environmental assessment, supervising EMP implementation and preparation of semi-annual monitoring report. Project Name: Project Management Consultancy for Sustainable Urban Transport Project (SUTP) Efficient and Sustainable City Bus Services (ESCBS) (World bank funded GEF-5), India Client Name: Ministry of Urban Development Year and Location: 2010 to 2018, Delhi, Chandigarh, Jaipur, Mira Bhaingar, Pimpri Chinchwad, Hubli Dharwad, Naya Raipur, Mysore Position Held: Environmental Safeguard Specialist Details: GEF-SUTP, a \$207.53 Million World Bank funded project, aims to encourage implementation of NUTP and achieve a paradigm shift in urban transport systems in favour of sustainable development. Involved in preparing, maintaining and co-ordinating MoUD's EMS goals in line with Integrated Environmental Management System (ESIS), overlook operational safety, manage team of EMS advisors in different cities, and co-ordinate all EMS related aspects associated with multiple construction projects. Beyond this, an environmental specialist for this project, Anjay Kumar was also responsible for coordinating the implementation of Environmental and Social Management Framework (ESMF) in Pimpri Municipal Corporation (PCMC), Naya Raipur Development Authority (NRDA) and Hubli - Dharwad Municipal Corporation (HDMC) BRTS. Attending to his role, he monitored and ensured the implementation of ESMF and EMP related to the plantation of 18000 trees in Hubli - Dharwad and 3900 trees in PCMC and also prepared a review report for the estimation of Green House Gas emission under this project. Project Name: Environmental and Social Due Diligence of 4 Highways Projects on IFC performance standard Asian Infrastructure Investment Bank (AIIB) Environmental and Social Policy basis Client Name: Oriental Structures Engineers Private Limited Year and Location: 2018, Nagpur, Kanpur Position Held: Lead Environmental Specialist

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Mott MacDonald | Consultant | Consulting Services for Environmental and Social Assessment (ESA) for the SMART
Technical Proposal

47

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

Anjay Kumar



01.03.2019

Name of Expert

Signature

Date

Sai Narasimham

01.03.2019

Name of authorized
Representative of the consultant

Signature

Date



Mott MacDonald (Confidential) Consulting Services for Environmental and Social Assessment (ESA) for the SMART Technical Proposal

48



Position Title and No.	Environmental Management Expert
Name of Expert:	Jini Rajendran
Date of Birth:	11th May 1980
Country of Citizenship/Residence	India

Education:

- M. Tech Environmental Engineering, Visvesvaraya National Institute of Technology (VNIT), Nagpur, 2008
- B. Tech Civil Engineering, Government Rajiv Gandhi Institute of Technology (GRIT), Kottayam, Kerala, 2003

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2009 to Present	Employer: Mott MacDonald Private Limited Position Held: Senior Specialist Consultant Contact for Reference: Name: Mr Amitava Roy Mobile No. 9840502308	India	Environmental consulting with in-depth knowledge in environmental permit regulations in India. Profound knowledge of present environmental legislation and process with ability to interpret environmental laws accordingly. Review of environmental management studies such as Environmental Impact Assessment / Environmental Management Plan.
2009 to 2009	Employer: Indwa Technologies Private Limited Position Held: Environmental Engineer Contact for Reference: Name: Mr Venkat Puranam Contact No. 9849083088	India	Indwa Technologies Private Limited is an environmental consultancy under Manikya group Hyderabad. Worked as an in-charge of Environmental Management Cell in Industrial park. Major tasks were review of environmental management within the industrial parks, preliminary data collection for installation of CETP (common effluent treatment plant), and bringing industries within the industrial park in to agreement to use CETP
2008 to 2009	Employer: IL and FS Technologies Limited Position Held: Technical Officer Contact for Reference: +911244718400	India	IL and FS technologies Limited is an IT solution provider with its main branch as IL and FS, Mumbai. Worked for desktop application development and creating user manual in GIS domain for land registration system to Philippines land Registration Authority
2006 to 2008	Employer: RMSI Private Limited Position Held: Senior GIS Engineer Contact for Reference: Mr Vikasdeep Verma Mobile No 9886657408....	India	RMSI India Ltd is risk management solution provider. Worked as senior GIS engineer for car navigation system project for Tele atlas North America. Major tasks performed were GIS data analysis, client communication, project tracking, documentation and conducting training programmes.

Membership in Professional Associations and Publications:

- Nil

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent
Malayalam	Good	Good	Good

Adequacy for the Assignment:

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Matt MacDonald | Confidential | Consulting Services for Environmental and Social Assessment (ESA) for the SMART Technical Proposal

48

Detailed Tasks Assigned on Consultant's Team of Experts:	
• Undertake screening of current environmental aspects and processes • Review the legal and policy environment pertaining to environmental aspects • Engage with key stakeholders and drive consultations on environment related aspects • Drive analysis of GHG footprint and Climate risks related to select value chains • Prepare project specific strategies and plans related to aspects of environment • Recommend measures to mitigate environmental risks and prepare environmental management plans. • Preparation of Environment Management Framework	
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks	
Project Name: Environment and Social Due Diligence (ESDD) for 3 Airports in India Client Name: HOWE Engineering Projects Pvt Ltd Year & Location: October 2018 to January 2019, Jaipur, Ahmedabad and Trivandrum Position Held: Senior Consultant Details: As part of Bid advisory service for an eligible bidder for privatization of 6 major-minor airports in India, the client has appointed MM to carry out ESDD for 3 airports. Was responsible for conducting site visit and ESDD report preparation for the 3 airports.	
Project Name: Technoeconomic Viability for an MSW based WTE project Client Name: Antony Lara Renewable Energy Private Limited Year & Location: October 2018 to January 2018, Pune Position Held: Senior Consultant Details: A leading solid waste management company who has won through competitive bidding to set-up MSW based WTE project on DBOT basis has appointed MM to provide services of techno-economic viability study for the project. Was responsible for technology review and environmental compliance of the project.	
Project Name: Environmental and Social Due Diligence for 44 MW Bagasse based Cogen Plant Client Name: Maanaveeya Development and Finance Private Ltd Year & Location: August 2018 to October 2018, Kolhapur Position Held: Senior Consultant Details: An Indian subsidiary of a global financial institute intended to provide working capital term loan to a Cogen power plant for purchase of additional bagasse from local farmers to replace coal. As a part of this envisaged funding exercise the institution intended to engage MM to carry out Environmental and Social Due Diligence (ESDD) of the 44 MW bagasse-based co-gen power plant. Was responsible for overall project execution including site visit and client interactions.	
Project Name: Environmental and Social Due Diligence for a Port Project in Bangladesh Client Name: Hongkong and Shanghai Banking Corporation (HSBC) Year & Location: May 2018 to December 2018, Bangladesh Position Held: Senior Specialist Details: Worked for Environmental and Social Due Diligence for a port project in Bangladesh. ESDD was prepared in accordance with IFC performance standards on Environmental and Social Sustainability requirements, World Bank Environmental Health and Safety guidelines applicable to the sector and National regulations related to environment health and safety applicable in Bangladesh for the project. The scope involved review of EIA and SIA reports and other environment health and safety related documents	
Project Name: National Highway Environmental and Social Due Diligence Client Name: Oriental Structural Engineers Pvt Ltd Year & Location: 2018, Maharashtra, Madhya Pradesh, U.P India Position Held: Environmental Health and Safety Specialist Details: Worked for Environmental and Social Due Diligence for a chain of existing National Highway Project in central India. ESDD was prepared in accordance with IFC performance standards on Environmental and Social Sustainability requirements, World Bank Environmental Health and Safety guidelines applicable to the sector and National regulations related to environment health and safety applicable in India for the project. The scope involved review of EIA and SIA reports and other environment health and safety related documents	
Project Name: Edible Oil Refinery Green Field and Brown Field Expansion Environmental and Social Due Diligence Client Name: Adani Wilmar Limited Year & Location: April 2018 to September 2018, Gujarat, Odisha, West Bengal, India Position Held: Environmental Health and Safety Specialist	



Details: Worked on Environmental and Social Due Diligence for acquisition of brown field expansion and new green field edible oil refineries projects for a renowned client in India. ESDD was prepared in accordance with IFC performance standards on Environmental and Social Sustainability requirements, World Bank Environmental Health and Safety guidelines applicable to the sector and National regulations related to environment health and safety applicable in India for the project. The scope involved review of EIA and SIA reports and other environment health and safety related documents.
Project Name: <i>Techno Economic Viability Study and Environmental Social and Governance Rating for an Agri-Grain Silo Company</i> Client Name: State Bank of India Capital Ventures Ltd Year & Location: January 2018 to April 2018, Punjab, U.P, India Position Held: Senior Specialist Consultant Details: SBICAP Ventures Ltd approached Mott Macdonald to conduct TEV study along with review of ESG aspects as per the requirements of IFC Performance Standard and applicable local regulatory requirement in India. Role was to conduct the ESG rating study with respect to IFC Performance Standards for grain silo located at two locations in Delhi and Punjab respectively. The scope involved review of EIA and SIA reports and other environment health and safety related documents
Project Name: <i>Steel & Power Plant – Technical and Commercial Due Diligence</i> Client Name: ADV Partners Advisors India Pvt Ltd Year & Location: June 2015 to September 2015, Karnataka, India Position Held: Senior Specialist Consultants Details: ADV Partners Advisors India Pvt Ltd. (ADV) has appointed Mott MacDonald India to conduct a Technical and Commercial Due Diligence of an Integrated steel and power plant in South India. Reviewed environmental, social and governance aspect of the Project in compliance with Performance Standard on Social and Environmental Sustainability, IFC 2012. The Scope included review of EIA / EMP reports and other documents related to environment, health and Safety
Project Name: <i>IESPL Wind Farm Development – Techno Economic Viability</i> Client Name: IESPL Year & Location: January 2018 March 2018, Tamil Nadu, India Position Held: Senior Specialist Consultants Details: IESPL is in process of developing wind farms sites in Tamil Nadu and Maharashtra and has approached PNB to revive the project. PNB has approached Mott MacDonald India to undertake techno economic viability study. Reviewed status of statutory and environmental compliance.
Project Name: <i>Kineta Renewable Energy Pvt Ltd - Solar Power Technical Assessment and Valuation</i> Client Name: Kineta Renewable Energy Pvt Ltd Year & Location: 2018, Andhra Pradesh, India Position Held: Senior Specialist Consultants Details: The Company has approached Mott MacDonald India to conduct technical assessment and valuation of a 5.16 MW solar power plant in A.P. Reviewed status of statutory and environmental compliance
Project Name: <i>Structural and Environmental Assessment and Fixed Asset Valuation – Herbal Life International India Private Limited, Baddi Solan, Himachal Pradesh, India</i> Client Name: Herbal Life International India Private Limited Year & Location: December 2012 to April 2013, Himachal Pradesh Position Held: Senior Consultant Details: Responsible for conducting environmental site assessment in accordance with the scope of work provided by the client. The scope also included review of statutory clearances and approvals related to environment, health and safety.
Project Name: <i>Adhunik Power Lender's Engineer – Adhunik Thermal Energy limited – Jharkhand India</i> Client Name: State Bank of India Year & Location: January 2011 to March 2013, Jharkhand Position Held: Senior Consultant Details: State Bank of India has appointed Mott MacDonald as Lender's Engineer to carry out project review and monitoring during construction for setting up 1,000 MW thermal power plant based on coal as primary fuel – Responsible for review of statutory and environmental compliance requirements for the project
Project Name: <i>Detailed Feasibility Study – Steel and Power Plant – BS Limited – Tanzania</i> Client Name: BS Group Year & Location: March 2013 to May 2013, Tanzania



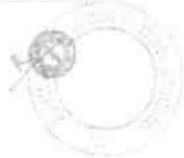
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Technical Proposal

61

Position Held: Senior Consultant Details: BSL has appointed Mott MacDonald to undertake the task of preparing Detailed Feasibility Study for setting up an integrated steel plant with an estimated capacity of about 1 Million Ton Per Annum (MTPA) of long steel products. – Responsible for review of environment and statutory compliance part of the Project
Project Name: Appraisal – Hyderabad Integrated Municipal Solid Waste Management Client Name: Axis Bank Year & Location: 2014, Hyderabad Position Held: Senior Consultant Details: Axis Bank intended to engage an independent agency to review the project progress status of Hyderabad Integrated Municipal Solid Waste Management project. Scope was to review the overall progress of the project against the Detailed Project report of Greater Hyderabad Municipal Corporation (GHMC). Responsible for review of documents and conduct site visit to report the overall progress of the project.
Project Name: Lenders Engineer – Composite Marine Chemical Manufacturing Facility Client Name: Bank of India Year & Location: January 2011 to May 2014, Kutch Position Held: Senior Consultant Details: Bank of India, Chennai has appointed Mott MacDonald in India (MM) as Lenders' Independent Engineer (LIE) for the Project to undertake technical due diligence of the project and conduct quarterly construction monitoring. Responsible to review the environmental, health and Safety related compliance status of the project. This included review of EIA and EMP reports and its implementation at site.
Project Name: Rohit Surfactants Private Limited Soda Ash Project – Lenders Engineering Service Client Name: State Bank of India Year & Location: 2017, Dwarka, Gujarat Position Held: Senior Consultant Details: RSPL Limited intent to establish 500,000TPA soda ash plant in Dwarka, Gujarat. State Bank of India has appointed Mott MacDonald as Lenders Independent Engineer for the project. Responsible for reviewing status of statutory clearances and approvals and compliance with environmental regulations, laws and policies
Project Name: Asian Development Bank Public Private Partnership Monitor Client Name: Asian Development Bank Year & Location: 2016-17, Singapore Position Held: Senior Consultant Details: Mott MacDonald Singapore was appointed by ADB to prepare and disseminate a report that will serve as a practical guide for PPP stakeholders in ADB Developing Member Countries. Mott MacDonald India was asked to prepare PPP monitor report for India. Responsible for review the regulatory framework related to PPP in India which included PPP laws, PPP types, eligible sectors for PPP in India, Land rights, Environmental & Social issues, Foreign investor participation restrictions, Dispute resolution and enforcement mechanism, Lenders Security rights, Termination and Compensation and government supports for PPP project
Project Name: Chambal Fertilizer Expansion – Lenders Engineering Service Client Name: Chambal Fertilizers and Chemicals Limited (CFCL) Year & Location: 2016-17, Rajasthan Position Held: Senior Consultant Details: Chambal Fertilizers and Chemicals Limited (CFCL) is in process of setting up brownfield expansion project comprising of 2200 TPD ammonia unit, 3880 TPD Urea unit and 20 MW gas based captive power plant in its existing premises at Gadepan in Kota Rajasthan. SBI as lead lender has approached Mott MacDonald to carry out LE services. Provided inputs on the statutory requirements of the project and reviewed the EIA and EMP reports for environmental compliance
Project Name: Axis Bank HiM SW Project Review - Appraisal – Hyderabad, India Client Name: Axis Bank Year & Location: 2014, Hyderabad Position Held: Senior Consultant Details: Review the progress of Integrated Municipal Solid Waste Management Project by HiMSW (a SPV of Ramky Enviro Engineers Limited - REEL) against the Greater Hyderabad Municipal Corporation (GHMC) approved DPR for the said Project. – Worked for Reconciliation of physical progress with financial cost incurred and overall report writing
Project Name: Structural and Environmental Assessment and Fixed Asset Valuation Client Name: Herbal Life International India Private Limited Year & Location: 2012, Himchal Pradesh

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52

Position Title and No.	Social Development Expert
Name of Expert:	Dr. Nithya Yogaraj
Date of Birth:	19th March 1988
Country of Citizenship/Residence	India

Representative of the consultant

Education:

- PhD (Social Sciences), University of Madras, 2001
- MA (Public Affairs), University of Madras, 1991
- B.Sc., (Chemistry), from University of Madras, 1989

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2011 to Present	Employer: Mott MacDonald Pvt. Ltd. Position Held: Project Manager Contact for Reference: Mr. Ajey Nandurkar, Project Finance Lead, Advisory	India	As a Project Manager, responsible for assessing projects funded by International agencies and has worked on projects addressing poverty reduction, youth skill development, sanitation, child protection, health, nutrition, training, gender and corporate social responsibility for clients such as World Bank, Asian Development Bank, UNICEF, and not for profit organizations. Moreover, the responsibilities as a part of this position encompassed all aspects of program management including business development, client coordination, proposal development, operational assignment execution, report writing, client presentations, training workshops and capacity building of team, team management and coordination, and ensuring client satisfaction.
2004 - 2011	Employer: Deloitte Touché Tohmatsu India Pvt. Ltd. Position Held: Senior Consultant, Project Associate Contact for Reference: Mr. C.K. Mohan, Senior Director, 9178627964	India	Responsible for conceptualizing the various M&E studies and surveys including indicators to be covered, sample methodology, and timing and duration of the survey. In addition to this, preparation of monitoring and evaluation framework and development of data collection tools formed some of the other key tasks under the purview of this role.
2001 - 2004	Employer: DESH (NGO) Position Held: Research Associate Contact for Reference: Dr. Saraswathi Sankaran, 044 2451 1187	India	As a part of Deepam Educational Society for Health (DESH), conducted activities for projects funded by international funding agencies including periodical monitoring and documentation of the same, resulting in course correction and assessment of project impact.

Membership in Professional Associations and Publications:

- UN-Solution Exchange in India

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent

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Mott MacDonald (Consultants) Consulting Services for Environmental and Social Assessment (ESA) for the SMART Technical Proposal

63

Position Title and No.	Social Development Expert
Name of Expert:	Dr. Nithya Yogaraj
Date of Birth:	19th March 1988
Country of Citizenship/Residence	India

Representative of the consultant

Education:

- PhD (Social Sciences), University of Madras, 2001
- MA (Public Affairs), University of Madras, 1991
- B.Sc., (Chemistry), from University of Madras, 1989

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2011 to Present	Employer: Mott MacDonald Pvt. Ltd. Position Held: Project Manager Contact for Reference: Mr. Ajey Nandurkar, Project Finance Lead, Advisory	India	As a Project Manager, responsible for assessing projects funded by International agencies and has worked on projects addressing poverty reduction, youth skill development, sanitation, child protection, health, nutrition, training, gender and corporate social responsibility for clients such as World Bank, Asian Development Bank, UNICEF, and not for profit organizations. Moreover, the responsibilities as a part of this position encompassed all aspects of program management including business development, client coordination, proposal development, operational assignment execution, report writing, client presentations, training workshops and capacity building of team, team management and coordination, and ensuring client satisfaction.
2004 - 2011	Employer: Deloitte Touché Tohmatsu India Pvt. Ltd. Position Held: Senior Consultant, Project Associate Contact for Reference: Mr. C.K. Mohan, Senior Director, 9178827984	India	Responsible for conceptualizing the various M&E studies and surveys including indicators to be covered, sampling methodology, and timing and duration of the survey. In addition to this, preparation of monitoring and evaluation framework and development of data collection tools formed some of the other key tasks under the purview of this role.
2001 - 2004	Employer: DESH (NGO) Position Held: Research Associate Contact for Reference: Dr. Saraswathi Sankaran, 044 2451 1187	India	As a part of Deepam Educational Society for Health (DESH), conducted activities for projects funded by international funding agencies including periodical monitoring and documentation of the same, resulting in course correction and assessment of project impact.

Membership in Professional Associations and Publications:

- UN-Solution Exchange in India

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent

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Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts: • Undertake screening of the current social aspects and processes • Develop parameters for assessing social aspects related to rural households and drive the assessment • Suggest mitigation measures to mitigate adverse impacts arising out of the project • Review the legal and policy environment pertaining to social aspects • Engage with key stakeholders and drive consultations on social aspects • Prepare project specific strategies and plans related to such aspects • Preparation of Social Management Framework
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks Project Name: Environmental and Social Due Diligence (ESDD) of the 44MW bagasse-based co-gen power plant Client Name: Manaveeya Development and Finance Company Year and Location: 2018 and Kolhapur, Maharashtra Position Held: Social Specialist Details: The scope of this study is limited to the proposed external bagasse sourcing arrangements for the Cogen power plant, which is expected to improve the operating conditions of the power plant as well as better prospects to the external bagasse suppliers (farmers). For the social assessment, two – three panchayats in the command area and 15-20 farmer households were covered through in-depth interviews and focus group discussions. Based on the observations, report was prepared and submitted.
Project Name: Environment and Social Due Diligence of Edible Oil Refinery of Adani Wilmar Ltd Client Name: Cooperative Rabobank U.A., Mumbai and Hong Kong Branches Year and Location: 2018, Paradip, Odisha and Haldia, West Bengal Position Held: Social Specialist Details: The purpose of the assignment is to independently evaluate the projects with respect to Environmental, Social and Health and Safety status and IFC performance standards to identify compliance gaps, issues, improvement opportunities and develop a detailed time bound mitigation/follow-up Environmental and Social Action Plan (ESAP) to ensure compliance to the applicable reference framework requirements. Activities carried out under the assignment include carrying out field visits, documenting observations and preparing reports
Project Name: Climate Adaptation through Sub-Basin Development Investment Program – ADB Funded TA – 8166 Client Name: Asian Development Bank Year and Location: July 2013 to March 2015, Tamil Nadu Position Held: Social Survey Expert Details: The purpose of the TA is to prepare an investment plan that will deliver the Climate Adaptation through Sub-Basin Development Program (CASDP) in the Cauvery River delta sub-basin. ADB and the Government of Tamil Nadu intend that the investment plan will be implemented through a multi-tranche finance facility (MFF). Her role was to conduct a Rapid Social assessment and collection of baseline data on socio economic indicators specifically means of livelihood, income, access to water and other services, security and protection from natural and climate related disasters (flooding, growing salinity, drought, etc) among others. These data will in turn, help carry out a social and gender analysis and provide a baseline against which envisaged improvements in the communities' lives can be measured involving stakeholders
Project Name: TA 8556: REG-Supporting the Cities Development Initiative Asia Integrated Drainage System and Climate Change Adaptation Project, Mysuru, India – ADB Funded Client Name: Asian Development Bank Year and Location: February 2016 to August 2016, Mysuru, Karnataka Position Held: Social and Gender Specialist Details: Role was to carry out an assessment of potential social and environmental impacts of potential investment project components on the poor and identification of potential adverse impacts and recommend mitigation measures, ensuring that internationally acceptable social and environmental safeguard criteria are built into PFS project recommendations. For this purpose, field surveys to assess social, gender poverty and environment aspects were carried out
Project Name: Baseline Survey for National Rural Livelihood Mission Client Name: Gujarat Livelihood Promotion Company Year and Location: 2015-16, Gujarat Position Held: Team Member



Details: Finalising baseline indicators, questionnaires for capturing baseline indicators, data analysis and interpretation and preparation of draft and final reports Project Name: <i>Process Monitoring of Rajasthan Rural Livelihoods Project (RRLP) – World Bank funded</i> Client Name: Rajasthan Rural Livelihood Mission Year and Location: March 2015 -18, Rajasthan Position Held: Project Manager Details: Preparing process monitoring framework, training of team member on conducting process monitoring, finalization of quarterly and annual reports
Project Name: <i>Process Monitoring of Jharkhand State Rural Livelihoods Mission – World Bank funded</i> Client Name: Jharkhand State Livelihood Promotion Society Year and Location: June 2016 -18, Jharkhand Position Held: Project Manager Details: Preparing process monitoring framework, training of team member on conducting process monitoring, preparation and finalization of quarterly and annual reports, presentation of study findings, client coordination and team management
Project Name: <i>Preparation of Project Completion Reports for Tamil Nadu Empowerment and Poverty Reduction Project – World Bank funded</i> Client Name: Tamil Nadu Empowerment and Poverty Reduction Project – World Bank Funded Year and Location: November 2016 to June 2017, Tamilnadu Position Held: Team Leader Details: The project has been completed in the all 28 districts, for which, Project Completion Reports (PCRs) would need to be prepared as per the mandate for all World Bank funded projects. The objective of the consultancy is to prepare the PCRs for the State, all 26 districts and provide training support for village PCR preparation and prepare thematic studies in selected areas as provided by TNPVP
Project Name: <i>Conducting Process Monitoring of Region 1 for Tamil Nadu Empowerment and Poverty Reduction Project – World Bank funded</i> Client Name: Tamil Nadu Empowerment and Poverty Reduction Project Year and Location: 2012 to 2015, Tamil Nadu Position Held: Team Leader Details: - Supporting the Project by conducting continuous and concurrent field-based process monitoring, covering all processes, identifying critical deviations in project implementation and factors responsible for it. - Facilitating project management at all levels to take appropriate decisions for course correction. - Identifying and flagging off specific areas/ issues based on process monitoring for thematic and evaluation studies. - Conducting thematic studies on the areas specifies by the project. Developing a good feedback mechanism for learning and adaptation.
Project Name: <i>Monitoring and Evaluation study on Adaptation of Cropping Mechanism to deal with Climate Change and Variability in different Agro-Climatic Zone</i> Client Name: Central Research Institute for Dry Land Agriculture (ICAR) Year and Location: July 2011 to January 2012, India Position Held: Zonal Coordinator for the Southern States Details: - Elicit and understand the perceptions of farmers w.r.t. climate change and variability - Capture extreme weather events based on historical data of 30 years (rainfall, temperature, cyclone, flood, etc. from the nearest weather station - Examine impact of extreme weather events such as incidence of droughts, floods, heat and cold waves, cyclones, frost, untimely rains etc. at farmer/household level. - Document mechanisms adopted at household and community levels to adapt to and cope with the climate change or variability - Document information on investments that affect response to climate change and variability - Document policies/ initiatives of the government at state and district level Assess preparedness of government and communities to deal with climate change and variability
Project Name: <i>Assessment of Gender Equity and Functionality of CBOs and Networks under International NGO Partnership Program and their capacity building</i>

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Client Name: IPE Global Year and Location: 2014, Select states of India Position Held: Core Team Member Details: As part of the assessment, NGOs working on the rights of women, children and marginalized communities such as tribal and Muslims in Odisha were covered as part of the programs of international NGOs such as Save the Children, Oxfam, Skill share International, Water Aid, Action Aid, Voluntary Services Overseas were visited and reports submitted.
Project Name: <i>Evaluation of the Swarna Jayanti Shahari Rozgar Yojana (SJSRY) during the 11th Plan period</i> Client Name: Human Settlements Management Institute, Research, and Training Wing of HUDCO Year and Location: 2013-14, India Position Held: Team Member Details: - Functioning of Community institutions and their networks and its socio-economic impact - Skill Training programs and causal inferences on its impact on employment generation Employment and enterprise efficiency and outcomes
Project Name: <i>Evaluation Study on the Plan Schemes of the Coir Board – Development of Production Infrastructure and Science and Technology</i> Client Name: Coir Board, Kerala Year and Location: 2012 to 2013, Kerala Position Held: Team Member Details: Qualitative and quantitative data was collected from 100 industries and their workers. Focus group discussions were carried out in Coir Clusters and scientists of coir board. Reports with SWOC analysis and recommendations were submitted based on the analysis of findings made.
Project Name: <i>Evaluation of Gender Sensitization and People Friendly Police Project</i> Client Name: UNICEF Year and Location: 2010, Karnataka Position Held: Project Coordinator Details: The GSPP is a three-day intense training workshop for police personnel on issues related to violence against women and children with emphasis on attitudinal and behavioural change of the police. This initiative is a collaboration between the Karnataka State Police (KSP) and United Nations Children's Fund (UNICEF). The evaluation of GSPP focused on assessing appropriateness of training, transfer of knowledge, institutionalization and extent of program ownership and assessment of training impacts and benefits
Project Name: <i>Conducting Process Monitoring of Region 1 for Tamil Nadu Empowerment and Poverty Reduction Project – World Bank funded</i> Client Name: Tamil Nadu Empowerment and Poverty Reduction Project Year and Location: 2008 to 2010, Tamil Nadu Position Held: Team Leader Details: - Supporting the Project by conducting continuous and concurrent field-based process monitoring, covering all processes, identifying critical deviations in project implementation and factors responsible - Facilitating project management at all levels to take appropriate decisions for course correction. - Identifying and flagging off specific areas/ issues based on process monitoring for thematic and evaluation studies. - Conducting thematic studies on the areas specified by the project. Developing a good feedback mechanism for learning and adaptation.
Project Name: <i>Desk Review of Child Marriage</i> Client Name: UNICEF Year and Location: 2008-09, India Position Held: Senior Consultant Details: This study involved a thorough desk review and compilation of policies, legislations as well as schemes addressing the causes and consequences of child marriage both directly as well as in the larger context of child protection. This was carried out in six states across the country where Child Marriage, Child Trafficking and Child are areas of concern for the state
Project Name: <i>Institutional Assessment of Self-Help Groups (SHG) and SHG Federations</i> Client Name: Tamil Nadu Empowerment and Poverty Reduction Project - World Bank funded Year and Location: 2005, Tamil Nadu



Position Held: Team Member

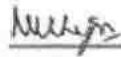
Details: The assignment involved assessing the operational and financial efficiency and strengths and weaknesses of SHG and their federations in Tamil Nadu. Based on the assessment, recommendations were provided on promotion and strengthening of SHGs and federations including capacity building.

Expert's contact information: Email: Nithya.Yogaraj@motdmac.com Phone No. +91 (0) 44 30542884

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

Nithya Yogaraj



01.03.2019

Name of Expert

Signature

Date

Sai Narasimham

01.03.2019

Name of authorized
Representative of the consultant

Signature

Date



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62



Position Title and No.	Gender Expert
Name of Expert:	Ruchi Khurana
Date of Birth:	13 th March, 1977
Country of Citizenship/Residence	India

Education:

- * MSc. Social Policy and Development, London School of Economics and Political Science (London, UK), 2005
- * M. Plan Urban and Regional Planning, Centre for Environmental Planning and Technology (Ahmedabad, India), 2002
- * M.A Geography, Delhi School of Economics, Delhi University (Delhi, India), 2000
- * B.A (Hons) Geography, Kamala Nehru College, Delhi University (Delhi, India), 1998

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2010 to Present	Independent Consultation Practice - Social Development, Policy and Planning Projects through service contracts with consulting firms in various technical capacities	India	Provide consultancy inputs on ADB & DFID funded projects to consulting firms and public-sector clients including Ministry of Housing & Urban Poverty Alleviation, Ministry of Urban Development, Ministry of New and Renewable Energy, Government of India. Held Service Contracts with CDM Smith Inc, ICF-GHK International, Deloitte Touché Tohmatsu India LLP, Impact Foundation, Water Aid India etc on aspects such as knowledge management & learning, social and gender development, participatory social planning, socio-economic impact assessments etc.
2008 to 2009	Employer: Shukur Associates Private Limited, London Position Held: Project Analyst – Social Development & Local Regeneration Projects Contact for Reference: NA	UK	Responsible for research and management of socio-economic and local regeneration projects for the UK based public & voluntary sector contracts.
2007 to 2008	Employer: Business Link London, Serco Solutions, London Position Held: Project Manager- Diversity and Equality Directorate Contact for Reference: NA	UK	Responsible for research, knowledge management, performance monitoring and drafting of directorate specific strategy & policy documents for Business Link London. Organised stakeholder consultations, managed knowledge content, documented success stories and managed steering group meetings.
2006 to 2007	Employer: Consultancy & Project Development Unit, Talent! Recruitment Limited, London Position Held: Research Analyst Contact for Reference: NA	UK	Responsible for socio-economic assessment of local business needs for recruitment, retention practices & skills capacities for London Borough of Camden under the 'Camden Working Employers Engagement Programme'
May 2006 To June 2006	Employer: The United Nations- India Country Team (UNDP-ILO/UNIDO), Delhi Position Held: Research Associate (Poverty: Work &	India	Responsible for moderating and facilitating knowledge sharing, networking and administration for Knowledge Management and Partnership (Solution Exchange) Programme related to urban poverty, work and gender

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Technical Proposal

58

	Employment Community of Practice) Contact for Reference: NA		
March 2006 to April 2006	Employer: International Development Research Centre, ARO, Delhi Position Held: Consultant Contact for Reference: NA	India	Framed country case profiles, managed web-content and facilitated cross thematic knowledge sharing for 'Knowledge Networking for Development in Asia-Pacific Program' (ENRAP)- Phase II.
November 2005 to November 2005	Employer: Save the Children-UK, London Position Held: Consultant Contact for Reference: NA	UK	Socio economic impact assessment to support a policy document for Young Lives International Research Project
October 2005 to December 2005	Employer: The Young Foundation, London Position Held: Researcher-Intern Contact for Reference: NA	UK	Research and logistical inputs for the 'Transforming Neighbourhood Programme'
June 2004 to September 2004	Employer: International Development Research Centre, ARO, Delhi Local Facilitator (India), Position Held: Program Assistant (Asia-Pacific) Contact for Reference:	India	Program administration, local facilitation and management of program website for the 'Knowledge Networking for Development in Asia-Pacific Program' (ENRAP)- Phase I
September 2002 to June 2004	Employer: Self Employed Women's Association, Ahmedabad Position Held: Consultant Contact for Reference:	India	Research, project management, media advocacy, knowledge management support to SEWA's research, communication & organizational wing
April 2002 to August 2002	Employer: National Council of Applied Economic Research, Delhi Position Held: Research Associate Contact for Reference:	India	Intensive research to the DFID funded collaborative research programme on trade reforms for a firm level understanding of the impacts of globalization on the garment sector of India through a microcosm study of Delhi- National Capital Region and Ahmedabad.
January 2002 to March 2002	Employer: School of Planning and Public Policy, Centre for Environmental Planning and Technology, Ahmedabad Position Held: Research Associate Contact for Reference:	India	Research inputs for CEPT- University of Oslo collaborative research programme on 'Understanding Impacts of Globalization on Micro-Enterprise Activities in Low Income Settlements of Ahmedabad'.

Membership in Professional Associations and Publications:

- Member of Institute of Town Planners India (ITPI-Delhi); Membership no. 2013-02/AITP

Publications:

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80

- Towards Economic Freedom: The Impact of SEWA (with Dr. Martha A Chen and Nidhi Mirani), SEWA Academy of Shree SEWA Mahila Trust, Ahmedabad, India, 2005
- The Changing Scenario in the Garment Industry of Ahmedabad (with Dr. C.N. Ray and Dr. Jeemol Unni), Spatio- Economic Development Record Journal, Vol-9, No.5, pp 28-39, Delhi, India, 2002
- The Changing Scenario in the Garment Industry of India: Case Study of Ahmedabad, School of Planning Working Paper Series, Centre for Environmental Planning and Technology, 2002

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts: • Undertake screening of the current gender related aspects and systems • Review existing gender related policies • Engage with key stakeholders and drive consultations on gender related aspects • Prepare project specific strategies and plans related to such aspects • Contribute to preparation of the Social Management Framework; particularly for aspects related to gender
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks Project: Transaction Adviser for Bulk, Distribution System, and Sewerage Systems for Shimla Water Supply and Sewerage Project Year and Location: September 2018- 2019 (mobilisation to be Initiated), Shimla, India Client: Shimla Municipal Corporation, Government of Himanchal Pradesh Position held: Social Expert Details: Responsible for reviewing and integrating studies on WSS operations including DPRs, social safeguards reports, social due diligence plans etc and provide additional recommendations and actions where required as per the World Bank safeguards framework. Responsible for review of impact assessments for safety and social related issues in the proposed projects including key principles of social management of inclusion, gender, citizen engagement and social accountability.
Project: The Gender Task Force- Water Sanitation and Hygiene Portfolio Year and Location: January - October 2018 (Ongoing), Delhi, India Client: The Impact Foundation-India (DASRA) Position held: Resource Consultant-GTF Details: Consulting support to the GTF anchor partners (Centre for Policy Research & Water Aid India) through research, policy analysis and coordination. Responsible for creating knowledge products including conceptual framework, position papers and broad recommendations on identified themes within gender and sanitation discourse. Co-organised national Convention on 'Redefining Universal Sanitation- A Gender Perspective' through consultations with key stakeholders to drive strategic outputs on gender and sanitation. Participated and represented the GTF in events for Menstrual Hygiene Management (organised by the MHM Taskforce) and Gender Responsive Budgeting in Sanitation in Swachh Bharat Mission (organised by National Foundation for India and UN Women).
Project: Women Leadership in Swachh Bharat Mission- A Study of Jharkhand State Initiatives Year and Location: August- September 2018, Jharkhand, India Client: Water Aid India Position held: Consultant Details: Moderated a group of trained women masons (Rani Mistris) in a two days' workshop to identify women leaders and documented their struggles and opportunities. Responsible for conducting qualitative focus group discussions with selected women leaders and document their case studies. Provide analytical report writing inputs for the study that clearly demonstrates the role played by women across the sanitation value chain and provide recommendations for furthering women's leadership in SBM.
Project: TA 8979 IND: Preparing the Solar Park Development and Transmission Sector Project Year and Location: December 2016- March 2018, Delhi, India Client: Solar Energy Corporation of India Ltd, Ministry of New & Renewable Energy, Government of India

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Position held: Gender Expert Details: Responsible for conducting a detailed gender analysis through identification of key project stakeholder groups. Assessment and identification of potential gender differentiated impacts of Solar Parks. DPR consulting support and development of Gender Action Plan with gender design features for respective States. Sensitise and build capacities of officials and nodal agencies towards planning and implementation activities to ensure all activities are conducted with gender sensitive approach. Document and share good practices/case studies on gender mainstreaming in infrastructure projects.
Project: ADB Loan 2660 IND: National Capital Regional Urban Infrastructure Financing Facility- Tranche 1 Year and Location: December 2012- August 2016, Delhi, India Client: National Capital Regional Planning Board, Government of India Position held: Gender cum Project Performance & Monitoring Specialist Details: Defined and designed project performance monitoring system in line with ADB requirements for monitoring project progress by identifying measurable key performance indicators and service level benchmarks with special reference to pro-poor infrastructure and gender inclusive outcomes. Assigned as the Gender Focal Point for the implementation of Gender Action Plan and captured gender related progress in monitoring framework for quarterly progress reports. Sensitised NCRPB staff, subproject Implementing Agencies and contractors towards gender mainstreaming and gender responsive designs through training workshops and meetings. Prepared monthly progress reports and created knowledge products on themes of gender safeguards and inclusive infrastructure. Provided support to other ADB documents including SPRSS & GAP formulation in preparedness for Tranche 2. Documented emerging good practices and lessons learnt specific to gender mainstreaming efforts achieved by NCRPB by contributing to the Project Completion Report. Held project site supervisions and gender audits with safeguard experts for gender inclusive outcomes during construction phase, land acquisition and post R&R entitlement disbursements for most vulnerable women categories identified in the project.
Project: DFID-Gol Support to National Policies for Urban Poverty Reduction Programme for National Urban Livelihoods Mission (NULM) Directorate Year and Location: 2014-2015, Delhi, India Client: Ministry of Housing and Urban Affairs (MoHUA), Government of India Positions held: Knowledge and Learning Specialist Details: Managed Innovative & Special Projects component of NULM for improving livelihood options amongst urban poor by reviewing innovative proposals designed specifically for most vulnerable categories of women, minority groups and disabled persons. Provided advice to NGOs, women workers' trade unions, state urban development authorities etc on submitted proposals. Co-organised Project Approval Committee meetings and assisted in sanctioning two projects with special focus on women with disabilities and HIV/AIDS. Co-organised Gol-DFID joint international conference on 'Gender and Urban Poverty' and a National workshop on 'Global Best Practices Study on Urban Livelihoods'. Assisted in writing a thematic paper on 'Gender Perspectives in Addressing Urban Poverty: India's Efforts in Bringing Urban Women out of Poverty' and workshop proceedings on 'Gender and Urban Poverty'.
Project: ADB Loan MFF IND: North Eastern Region Capital Cities Development Investment Programme Year and Location: 2013-2015, Kohima-Nagaland, Gangtok-Sikkim, India Client: State Investment Program Management and Implementation Unit (SIPMIU), Department of Urban Development, Government of Nagaland and Sikkim Position held: Project Performance and Monitoring Specialist Details: Defined and designed project performance monitoring system in line with ADB requirements for monitoring project progress and achievements through measurable key performance indicators and service level benchmarks including gender specific outcomes. Prepared progress reports on benefit monitoring including gender and health indicators in accordance with the Gender Action Plan. Provided gender related advice to SIPMIU officials including GAP monitoring and identification of most vulnerable categories of women.
Project: ADB TA 7148 IND 'Promoting Inclusive Urban Development Indian Cities' Year and Location: July 2011- May 2013, Delhi, India Client: Ministry of Housing and Urban Affairs (MoHUA), Government of India Position held: Knowledge Management Specialist Details: Facilitated and analysed stakeholder consultations & surveys with key role players of housing sector for different cities to identify policy gaps and concerns for future housing stock generation including rental housing. Produced, managed and disseminated knowledge products (case studies, primary data and interim reports) for on-going knowledge sharing with national and international consultants, ADB, Ministry and other externally funded projects on project specific targets. Responsible for writing technical reports, editing and

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proof reading all knowledge products, documenting TA processes and project outcomes against key project milestones. Prepared a dissemination & knowledge management strategy for RAY programme. Liaised with officials of local urban bodies and development authorities, organised State level workshops, ministerial meetings and study tours in Jodhpur, Ahmedabad and Delhi. Represented TA team in MoHUA led conferences Steering Group discussions and rental housing task force meetings.

Project: Living Islam Out Loud: Making Our Voices Heard

Year and Location: 2009, London, UK

Client: Faith Matters- UK

Positions held: Project Manager

Details: Organised and managed a series of thought-provoking events, debates, workshops and the first ever UK sneak community preview of a ground-breaking film 'The New Muslim Cool'. These events helped women groups, women enterprise networks, faith organisations etc to address concerns and share experiences in themes of civic participation, gender identities and social cohesion.

Project: Management of Diversity & Equality Directorate Functions, Business Link London Programme

Year and Location: 2007-2008, London, UK

Client: Serco Solutions- London

Positions held: Project Manager – Diversity & Equality Directorate

Details: Responsible for research, policy analysis and monitoring of directorate specific activities within the change management unit at Serco. Sensitised delivery managers and corporate staff on BLL's commitment of serving D&E target groups (including businesses owned by women, BAME groups and disabled persons) through presentations and discussion meetings. Prepared fact sheets and documents on themes of public gender duty, social model of disability, active women enterprise links and various BAME oriented businesses for knowledge sharing. Co-organised stakeholder consultations and implemented customer satisfaction surveys to shape BLL's outreach plan. Analysed D&E relevant policy functions acts and regulations and co-drafted SES Strategy paper and action plans. Defined and monitored progress against key equality performance indicators and prepared quarterly progress reports. Provided administrative and research support for a positive gender audit under the flagship accreditation of Prowess-Women in Business Network and the Two Ticks Policy status.

Project: Knowledge Management and Partnership (Solution Exchange) Programme

Year and Location: May-June 2006, Delhi, India

Client: The UN-India Country Team (UNDP-ILO-UNIDO)

Positions held: Research Associate- Poverty (Work & Employment) E-Community of Practice

Details: Moderated & facilitated knowledge sharing, networking and overall administration of the E-community of Practice on cross cutting themes of poverty, employability, gender, corporate social responsibility, health (HIV/AIDS), disability etc. Formulated, compiled and edited knowledge content & prepared consolidated research summaries. Prepared community newsletters, news digests and updates. Organized Annual National Visioning Workshop for 200 plus participants.

Project: The Young Lives International Research Project (Ethiopia Component)

Year and Location: Nov 2005, London, UK

Client: Save the Children –UK

Positions held: Consultant- Social Impact Assessment

Details: Analysed Focus-Group Discussions, scoped out socio-economic impact assessment, provided recommendations towards impacts of liberalisation on agriculture and coffee trade with special focus on childhood poverty and intra-household gender dynamics

Project: Consulting support to Research, Organisational and Capacity Building Training Wing of Self-Employed Women's Association (SEWA Academy)

Year and Location: 2002-2004, Ahmedabad, India

Client: Self Employed Women's Association

Positions held: Consultant

Details: Provided in house trainings to SEWA staff and grassroots research team for conducting evidence-based research including household surveys on women-oriented themes like work, health, skill development and informal trade groups. Trained staff in maintaining and indexing a systematic inventory of more than 300 exclusive research studies conducted for SEWA. Gender sensitised researchers on unique concerns and challenges faced by adolescent girls in rural settings. Assisted in coordinating baseline and midterm performance assessments via control group surveys of selected adolescent respondents. Process documented dynamics of adolescent girls and teachers in Adolescent Clubs. Undertook impact assessments of control groups on parameters like economic wellbeing, reproductive health, vocational training, self-efficacy, leadership skills as achieved through programme interventions. Organised

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and documented exposure visits, vocational training programmes, capacity building training sessions and career fairs for the target group
 Provided research and logistical inputs to the Ford Funded SEWA@30: Looking Back-Moving Forward' to evaluate and assess the impacts of SEWA's philosophy, strategies, innovative practices and programmes on its members and wider environment. This study was published as a booklet 'Towards Economic Freedom: The Impact of SEWA'.
 Provided research and editing support to SEWA Video for media advocacy projects showcasing short documentaries and case studies on topics related to women and their need for technology, education, skill development and capacity building trainings

Expert's contact information: Email: ruchi27@gmail.com

Phone No. +91 9891648311

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

Ruchi Khurana



01.03.2019

Name of Expert

Signature

Date

Sai Narasimham

01.03.2019

Name of authorized
Representative of the consultant

Signature

Date



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84

Position Title and No.	Agro-Food Processing Industry Expert
Name of Expert:	Bhagyashri Mhatre
Date of Birth:	9th November 1983
Country of Citizenship/Residence	India

Education:

- B. Tech – Food Technology, University Department of Chemical Technology, 2005

✚ Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2017 to Present	Employer: Florence Agro Position Held: Freelance Consultant Contact for Reference NA	India	• Developing Ready to Drink Mock tails for an Orissa Based Company • (Research & study conducted on different aspects RTD mock tails in glass bottles & its shelf stability, Raw material identification, recipe development, Physical-chemical-Microbiological study, commercial trials conducted at plant level) • Developing Turmeric holy water for Mumbai Based Company • (Desk research conducted on benefits of turmeric & curcumin on human body, absorption of curcumin in body, developed interesting flavours suitable for consumption, physical study of the products, worked on improvement of shelf stability with retorting) • Working on Ready to Cook Gravy Products for Mumbai Based Company • (Desk & on field research conducted for consumer needs & demands for RTC gravy products, Finalization of products, Recipe development with well-known chefs, studied different packaging materials & its effects on shelf stability of the gravy products, physical tests conducted for finished products, Sensory evaluation of finished products with sensory panel conducted) • Developing Ready to make sprout-based Breakfast shakes for Pune based company • Conducted desk research for daily nutritional needs of kids of different age groups, evaluated their daily intake from foods & milk etc., raw material selection (No any artificial thing is being used, Recipe development work is under progress) • Developed & successfully Launched Various Fruit Iced Teas in Mumbai • In Discussion with a Rajkot based company for setting up manufacturing unit of Confectionaries. • Working as ISO 22000:2005 auditor for THR (Take Home ration) manufacturing units across Maharashtra. • (Self-help group in Maharashtra manufactures ready to cook food for below poverty line people, we have conducted Food safety audits for such 15 + units across Maharashtra as per the guidelines of FSSAI 2006) • Helping Small & medium food industries to setup & implement quality processes.

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July 2018 to November 2018	Employer: Scope Ingredients Pvt. Ltd Position Held: Research and Development Manager Contact for Reference: NA	India	- Studying technical aspects of various forms of stevia & its application in fruit beverage products. - Developing beverages with stevia & reduced sugar. - Development of Fruit crushes syrups & concentrates with sugar & with reduced sugar - Responsible for studying application of different natural & nature identical flavours, colours & extracts with fruit juices, fruit syrups & crushes for improved shelf life. - Responsible for R&D of beverages and some Dairy products for increased shelf life with use of stevia & less sugar. - Procuring raw materials and responsible for handling supply chain management - Close co-ordination with suppliers and vendors for smooth operations - Coordination with the clients & understanding market requirements - Responsible for quality control & Assurance of the products - Responsible for product-cost management
2017 to 2018	Employer: The Good Juicery Pvt. Ltd Position Held: Research and Development Manager Contact for Reference: NA	India	- Developed new fruit beverages and healthy fruit snacks for QSR & HORECA Segments. - Was Responsible for studying application of different natural & nature identical flavours, colours & extracts with fruit juices for improved shelf life. - Was Responsible for R&D of beverages and fruit snacks for increased shelf life without addition of preservatives and sugar - Was Procuring raw materials and responsible for handling supply chain management - Was Responsible for production planning and validating the production processes - Close co-ordination with production units, suppliers and vendors for smooth operations - Was Responsible for quality control & Assurance of the products - Was Responsible for product-cost management - Managed Production of fruit beverages at Third party manufacturing units. - Was Responsible for Food Safety & GMP practices to be followed.
2011 to 2014	Employer: MITCON Consultancy and Engineering Services Ltd Position Held: Product Development & Entrepreneurship Development Trainer Contact for Reference: NA	India	- Helped new businesses for finalization of food products, including product recipes, R&D & Launching of the products (beverages, Milk & milk products, Snack products, spices, Tomato products, CO2 extracted oleoresins etc) - Was engaged in development of new products in fruit juices, bakery products, milk products etc. - Studied applications for different ingredients like colours, flavours & extracts. (natural /NI/ Artificial) & use of ingredients in different food products. - Studied advantages / disadvantages of using different ingredients in the food products.



			• Worked on technology transfer for the new businesses. • Conducted food processing EDP programmes for budding entrepreneurs • New training module development etc • Close coordination with the flavour houses & ingredient suppliers
2010 to 2011	Employer: Ace Agro Industries Pvt. Ltd Position: Executive Technical Contact for Reference: NA	India	• Commissioned new plant for frozen fruits & vegetables (IQF line) • Setup of production processes & quality control lab • Validation of processes
2008 to 2009	Employer: Jain Irrigation System Ltd Position: Shift In-charge – Production Contact for Reference: NA	India	• Worked in aseptic production of fruit purees, pulps & concentrates • Worked in production at IQF plant of Taiyo Lucid, Japan • Handled individual 12 hours shifts for Pomegranate processing plant • Developed new products for sweetened fruit purees. • Application of the natural enzymes in pomegranate juice & concentrate for improved product texture. • Sensory evaluation of various aseptic & frozen fruit purees & concentrates. • Quality Assurance of the aseptic & frozen fruit purees & concentrate products. • Documentation & implementation of ISO 9001, ISO22000, ISO 14001 & OHSAS 18001 on production floor • Validation of all aseptic products • SAP implementation & trainings given on production floor

Membership in Professional Associations and Publications:

NA

Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent

Adequacy for the Assignment:**Detailed Tasks Assigned on Consultant's Team of Experts:**

- Review the current status of the agro food processing industry
- Undertake screening of the policies, norms, guidelines and standards governing the industry
- Engage with key stakeholders and drive consultations on aspects related to agri-business
- Prepare project specific strategies and plans related to such aspects

Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks**Project Name:** Production of Pomegranate Juice concentrate**Client Name:** Jain Irrigation Systems Ltd. Jalgaon**Year & Location:** 2007-2008 at Jalgaon**Position Held:** Shift In charge (Team Member)



Details: The project was about to setup Asia's biggest pomegranate juice processing plant. Was involved in running operations & product Development. Documenting all the processes as per ISO 9001, ISO 22000:2005, ISO 14001 & OHSAS 18001

Project Name: Product Development of Sweetened fruit purees

Client Name: Jain Irrigation Systems Ltd. Jalgaon

Year & Location: 2008 at Jalgaon

Position Held: Shift In charge, Project Head

Details: Product development of sweetened fruit purees for direct consumer use. Studied specifications of the raw materials, finished products. Physical, chemical, microbiological study of the finished products. Sensory evaluation of the products. Packaging material study & finalization

Project Name: Evaluation & Auditing of THR (Take Home Ration) Manufacturing Units

Client Name: Thakur Food Processors Pvt Ltd

Year & Location: 2014-2016, Pune & Suburbs

Position Held: Food Safety Auditor

Details: Visit & done food Safety audits for THR Manufacturing units as per FSSAI 2006, Food Safety Practices & Maharashtra Govt guidelines. Issued them Audit Reports & Certificates.

Project Name: Product Development of Fruit Nectars

Client Name: Good Juicery Pvt Ltd.

Year & Location: 2017 Pune

Position Held: Research & Development Manager

Details: Details study of Market, new product development (without added sugar without preservatives), study of physical, chemical, microbiological & sensory attributes of the finished products. Worked on product costing. Study & Finalization of primary & secondary packaging material. Actual commercial production at third party manufacturers.

Project Name: Product Development of Ready to Drink Mocktails

Client Name: Novolutions Beverages Pvt Ltd

Year & Location: 2018 Pune

Position Held: Product Development Consultant

Details: Details study of Market, new product development, study of physical, chemical, microbiological & sensory attributes of the finished products. Worked on product costing. Study & Finalization of primary & secondary packaging material. Actual commercial production at third party manufacturers.

Expert's contact information: Email: bhagyashrichaven83@gmail.com Phone No. +91 8999199418

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

Bhagyashri Mhatre



01.03.2019

Name of Expert

Signature

Date

Sai Narasimham

01.03.2019

Name of authorized
Representative of the consultant

Signature

Date



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68

Position Title and No.	Quality Assurance Expert
Name of Expert:	Venugopal K. J
Date of Birth:	31st May, 1968
Country of Citizenship/Residence	India

Education:

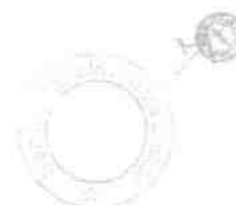
- PhD- Insect Pest Biology, Banaras Hindu University, Varanasi, India, 1998
- M.Sc. (Life Sciences) Ed.- National Council for Education, Research and Training, Bhubaneswar, 1991
- B.Sc.-Biology, University of Calicut, 1988

Employment record relevant to the assignment:

Period	Employing organization and your title/position. Contact information for references	Country	Summary of activities performed relevant to the Assignment
2013 to Present	Employer: Food Safety and Quality Solutions Inc., Ernakulam, Kerala, India- 682038 Position Held: Partner & Managing Director Contact for Reference: 1. Mr. Sibi K. Thomas, Partner & Executive Director, Food Safety and Quality Solutions Inc., Ernakulam, Kerala, India- 682018. Cell no. +91-9846046884. 2. Mr. Philip Kuruvilla, Advisor to World Spice organisation, No.123, Lane 8, Vinoba Nagar, Chilavannur, Kochi- 682020. Cell no. +91-9895233117	India	• FSQS Inc. provides long-term agricultural, process, quality, regulatory and food safety solutions to the global food supply chain by working closely with clients in the areas of food and agriculture sector through a model of contract-based and long-term association. The company is a provider of end-to-end supply chain solutions and services to the ever-changing quality and food safety demands of the clients. Our mission is to support and improve food and agriculture supply chain quality globally by sharing and transfer of technology, knowledge and expertise so that we eat better and safer food every day. Customized solutions for processes, quality, documentation, training, and supply and business development are provided after a systematic study and gap analysis. • Worked with 70+ companies on 100+ projects in India, south Asia, UAE, Africa, Europe, and USA. • Working as associate consultant for global consulting firms such as BCG group, NCBA CLUSA, Grant Thornton, Alpha sights, Ernest & Young • Worked as expert in ADB, World Bank, IDH, GIZ projects • Delivered invited talks in Agritex (India), PRDIS-SLEA (Srilanka), IFT (USA), DIFSC (Dubai), ICFST (Italy), ISC (India), NRCSS (India), POE (India), ERI (India) and ACE (Japan) conferences
2003 to 2013	Employer: AVT McCormick Ingredients Private Limited Position Held: Head-Quality, Agro-projects, R&D Contact for Reference: 1. Mr. MSA Kumar, CEO Coach, Catalyst 360, Padamugal, Kochi-682037, India. Cell no. +91-9846035959. 2. Mr. Ramesh V, Guest faculty- Finance Management,	India	• Headed the Quality, Agro projects and R&D department. Responsible for quality assurance, quality control, new product development and agricultural projects of the company. • Honour or award-Exemplary performance award- For leading all 3 labs to win McCormick labs of the year in consecutive years-2005&2006

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Language Skills:

Language	Speaking	Reading	Writing
English	Excellent	Excellent	Excellent
Hindi	Excellent	Excellent	Excellent

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts:
- Assessing the current quality standards in the agri-food processing sector - Engage in a dialogue with key players of food industries and customers - Assess key issues and gaps in improving adoption of food safety standards in agribusiness sector
Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
Project Name: Sustainability assessment and monitoring in spices Client Name: IDH (Initiatief Duurzame Handel), Netherlands & SSI (Sustainable Spice Initiative), India Year & Location: 2018 till date, India- (Andhra Pradesh, Gujarat, Rajasthan) Position Held: Sustainability Field assessor and trainer Details: Developed a sustainability standard as assessment tool for spices in India, conducted sustainability assessment of spices projects in Andhra Pradesh, Gujarat, Rajasthan, monitoring, field audit and training, Advised and trained the participating NGOs on tools and techniques for assessment of implementation of integrated pest management.
Project Name: Biodiversity assessment and monitoring in spices Client Name: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, IBBi (India Business & Biodiversity Initiative), India Year & Location: 2018- till date; India (Kerala, Karnataka) Position Held: Supply chain biodiversity assessor and trainer Details: Developing tools for Biodiversity assessment, Conducting training on biodiversity assessment and baseline
Project Name: Study and report on pepper supply chain in Vietnam Client Name: World Bank and National Cooperative Business Association- Cooperative League USA (NCBA CLUSA) Year & Location: 2018; Vietnam Position Held: Pepper supply chain quality expert Details: Prepared a list of existing practices of advisory services to black pepper smallholders, Prepared a list of existing agronomy products/package of practices with potential to improve small holder practices and improve income, Understand baseline conditions of black pepper production, farm input usage, harvest and post-harvest practices, pesticide usage against MRLs, cost of production and farm revenues, sources of extension services, sources of farm financing, marketing support, Understand supply demand conditions of planting materials and input materials, Determine major constraints and opportunities for developing agriculture of black pepper, Proposed strategies to alleviate/mitigate constraints, Provided recommendations for advisory services needed to improve productivity and farm income
Project Name: Supply Chain assessment of spice value chain in India and Cambodia Client Name: ADB (Asian Development Bank) and Grant Thornton. Year & Location: 2014, India, Cambodia Position Held: Quality and food safety assessor of agricultural and manufacturing operations Details: Assess various quality assurance and quality management parameters of the spice supply chain in India and Cambodia, quality control and quality assurance system gap assessment and report
Project Name: Multiple supply quality related and food safety related studies, gap assessments, quality and food safety system evaluation, monitoring of quality and food safety management system, auditing of food supply chain & providing recommendations and solutions to the clients Client Name: 70+ clients- Multinational food and agricultural companies, Indian and foreign food exporters, retailers, agricultural operators, food manufacturers, NGOs, trade organisations etc. Some of the clients: USA; Frontier Corporation, USA; European Spice Services, Belgium; GIZA herbs and seeds (Egypt; PT. Aman Jaya, Indonesia; Unispices, Vietnam; Eastern spices and condiments, Kohinoor foods, Synthite industries, Symega savouries, Olam, Geofresh (India) Year & Location: 2013 till date Position Held: Food safety and quality consultant

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Details: Consultancy services providing long-term, contract-based techno management solutions to supply chain food safety, quality and regulatory issues. I have worked very closely with clients on assessment and improvement of areas related to quality, food safety, GMP, process and supply quality, sourcing to assist customers in India and abroad to focus on supply chain quality initiatives. Main focus of work over the past 8 years have been assessment of food safety and quality and provide quality solutions, from business start-up and expansion, consulting, training, management of client's QA programs, or auditing in HACCP, GFSI, SQF, BRC, FSSC 22000, GMP and sourcing certifications such as SEDEX, FAIR-TRADE, DEMETER, RFA, Organic, GAP etc. or laboratory management system as per ISO 17025.

Project Name: *Quality Assurance, Quality Control, Laboratory management, R&D and New Product Development, Agro-project management*

Client Name: AVT McCormick Ingredients Private Limited

Year & Location: 2003-2013, India, Asia pacific

Position Held: Head of Quality Department

Details: Quality and food safety management of the company and supply chain, laboratory management of the chemical, physical and microbiological labs, development of new products and R&D for the company, working on agricultural projects for backward integration, integrated pest management, regulatory compliance of raw materials. Work involved management of various quality assurance and quality control management parameters of the spice supply chain.

Project Name: *Agricultural R&D and New Product Development, Agro-project management, regulatory management and ensuring regulatory compliance*

Client Name: AVT Natural Products Limited

Year & Location: 2000-2013, India, Asia pacific

Position Held: Manager- R&D and Agro Projects

Details: Multi locational agricultural trials for new product development and R&D works for the company, working on agricultural projects for backward integration, integrated pest management, regulatory compliance of raw materials. Work involved management of various agricultural projects related to new product development, quality parameters of the spice supply chain.

Project Name: *Studies on development of reproductive system in relation to the socio-biology of the eusocial wasp.*

Client Name: CSIR- Govt. of India, and Indian Institute of Science, Bangalore.

Year & Location: 1999-2000, India

Position Held: Post-Doctoral Research Associate.

Details: Laboratory and field research on the eusocial wasp related to the development of queen and its reproductive system as a result of sociobiological interactions.

Project Name: *Studies on storage product beetle in relation to insect resistant plant proteins*

Client Name: Entomology Research Institute, Chennai, India

Year & Location: 1996-1999, India, Asia pacific

Position Held: Research Scientist

Details: Laboratory and field studies on the storage beetle on biochemical and molecular biological aspects in relation to effects of insect resistant plant proteins.

Expert's contact information: Email: venug@foodsafety.in

Phone No. +91 9847084531

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

Venugopal K. J

01.03.2019

Name of Expert

Signature

Date

Sai Narasimham

01.03.2019

Name of authorized

Signature

Date



APPENDIX C – BREAKDOWN OF CONTRACT PRICE**Form Fin – 2: Summary of Cost**

Sr No.	Consultancy Head	Cost (INR)
1.	Remuneration	18,50,323/-
2.	Reimbursable	6,75,000/-
Sub-Total		25,25,323/-
3	GST 18% on Consultancy Services	4,54,558/-
Total Amt.		29,79,881/-



Form Fin – 3: Breakdown of Remuneration

Sr No.	Position	Proposed by SMART Team		
		Person - Month Remuneration Rate	Time Input in Person-Month	Amt. in INR for Experts
E-1	Team Leader (Env. Science/Eng Graduate – 10 Yrs. Exp)	4,69,429	1.00	4,69,429
E-2	Environment Management Specialist (Env. Science/Eng Graduate – 05 Yrs. Exp)	2,59,042	2.00	5,18,085
E-3	Social Expert (Social Science Graduate – 05 Yrs. Exp)	3,00,792	2.00	6,01,584
E-4	Gender Expert (Social Science Graduate – 05 Yrs. Exp in Gender Issues)	3,19,275	0.25	79,819
E-5	Quality Assurance (Science/Eng Graduate – 05 Yrs. Exp on Food Quality Assurance)	7,25,625	0.15	1,08,844
E-6	Agro Food Processing (Food Processing Graduate – 08 Yrs. Exp in Food Processing)	2,90,250	0.25	72,563
Total			5.65	18,50,323/-





Form Fin – 4: Breakdown of Reimbursable Expenses

Sr No.	Position	Proposed by Mott MacDonald Pvt. Ltd.			
		Unit	Unit Cost	Qty	Cost (INR)
1	Travel Cost				
1.1	Travel by flight from Delhi/Hyderabad/Chennai to Pune and return	Ticket	20,000	12	2,40,000
1.2	In/out airport transportation	Trip	2,000	12	24,000
1.3	Local Travel	Day	2,500	22	55,000
1.4	Travel to study area	Trip	15,000	05	75,000
2	Per Diem Allowance	Day	4,000	63	2,52,000
3	Communication Cost	Month	1,000	4	4,000
4	Printing of Reports	LS			25,000
Total					6,75,000/-

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PCMU SMART <pcmu.smart@gmail.com>

SMART- Regarding issue of RFP for Selection of Consulting Services for: Consulting Services for Environmental and Social Assessment (ESA) for the SMART Project

Kumar, Anjay <Anjay.Kumar@mottmac.com>

Fri, Mar 22, 2019 at 4:25 PM

To: PCMU SMART <pcmu.smart@gmail.com>

Cc: "Gupta, Veena" <Veena.Gupta@mottmac.com>, "Rajendran, Jini" <Jini.Rajendran@mottmac.com>, "Yogaraj, Nithya" <Nithya.Yogaraj@mottmac.com>, "Bhattacharya, Arijit" <Arijit.Bhattacharya@mottmac.com>

Dear Mr Ravi Parmar,

As discussed over phone, we confirm our availability for power point presentation scheduled at 4 pm on 27 March 2019. Kindly confirm the venue.

Thanks,

Anjay Kumar

M.Tech. (Environmental. Sc.& Engineering)

Environmental Specialist

D +91 (0)12 0399 2412 T +91 (0)12 0399 2300 M +91(0) 9313329631
F +91 (0)12 0254 3562

anjay.kumar@mottmac.com

Mott MacDonald

<https://mail.google.com/mail/u/0?ik=f851ef85de&view=pt&search=all&permmsgid=msg-f%3A1626702897701424548&siml=msg-f%3A1626702897701424548>

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SELECTION OF CONSULTANTS

Request for Proposals Consulting Services

Procurement of:

Consulting Services for Environmental and Social
Assessment (ESA) for the SMART Project

RFP No: SMART/PCMU/CS/01/2018-19

**Consulting Services for: Consulting Services for Environmental and Social
Assessment (ESA) for the SMART Project**

**Client: State of Maharashtra's Agribusiness and Rural Transformation
(SMART)**

Country: India

Issued on: 21st February 2019

TABLE OF CONTENTS

PART I.....	5
Section 1. Request for Proposal Letter	5
Section 2. Instructions to Consultants and Data Sheet	9
A. General Provisions	9
1. Definitions.....	9
2. Introduction.....	11
3. Conflict of Interest	12
4. Unfair Competitive Advantage	13
5. Fraud and Corruption.....	13
6. Eligibility	13
B. Preparation of Proposals.....	15
7. General Considerations	15
8. Cost of Preparation of Proposal	15
9. Language.....	15
10. Documents Comprising the Proposal.....	15
11. Only One Proposal.....	16
12. Proposal Validity	16
13. Clarification and Amendment of RFP	17
14. Preparation of Proposals Specific Considerations	18
15. Technical Proposal Format and Content.....	19
16. Financial Proposal.....	19
C. Submission, Opening and Evaluation	20
17. Submission, Sealing, and Marking of Proposals	20
18. Confidentiality	21
19. Opening of Technical Proposals	22
20. Proposals Evaluation.....	22
21. Evaluation of Technical Proposals.....	22
22. Financial Proposals for QBS.....	23
23. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods)	23
24. Correction of Errors	24
25. Taxes.....	25
26. Conversion to Single Currency	25
27. Combined Quality and Cost Evaluation	25
D. Negotiations and Award.....	26
28. Negotiations	26
29. Conclusion of Negotiations.....	27
30. Standstill Period	27
31. Notification of Intention to Award	28
32. Notification of Award	28
33. Debriefing by the Client.....	29
34. Signing of Contract.....	30

35. Procurement Related Complaint	30
E. Data Sheet.....	31
Section 3. Technical Proposal – Standard Forms	39
Checklist of Required Forms	39
Form TECH-1	40
Form TECH-2	42
Form TECH-3	44
Form TECH-4	45
Form TECH-5	46
Form TECH-6	47
Section 4. Financial Proposal - Standard Forms.....	53
Section 5. Eligible Countries	63
Section 6. Fraud and Corruption.....	65
Section 7. Terms of Reference.....	67
PART II.....	75
Section 8. Conditions of Contract and Contract Forms	75
Time-Based Form of Contract	77
Lump-Sum Form of Contract.....	77
Preface.....	81
I. Form of Contract.....	83
II. General Conditions of Contract	87
A. GENERAL PROVISIONS.....	87
2. Relationship between the Parties	88
3. Law Governing Contract.....	88
4. Language.....	88
5. Headings	89
6. Communications	89
7. Location	89
8. Authority of Member in Charge	89
9. Authorized Representatives	89
10. Fraud and Corruption.....	89
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT.....	90
11. Effectiveness of Contract.....	90
12. Termination of Contract for Failure to Become Effective.....	90
13. Commencement of Services	90
14. Expiration of Contract.....	90
15. Entire Agreement.....	90
16. Modifications or Variations	90
17. Force Majeure	90
18. Suspension	92
19. Termination.....	92

C. OBLIGATIONS OF THE CONSULTANT	94
20. General.....	94
21. Conflict of Interest	95
22. Confidentiality	96
23. Liability of the Consultant	96
24. Insurance to be taken out by the Consultant	96
25. Accounting, Inspection and Auditing	96
26. Reporting Obligations	97
27. Proprietary Rights of the Client in Reports and Records.....	97
28. Equipment, Vehicles and Materials	97
D. CONSULTANT’S EXPERTS AND SUB-CONSULTANTS	98
29. Description of Key Experts.....	98
30. Replacement of Key Experts	98
31. Removal of Experts or Sub-consultants.....	98
E. OBLIGATIONS OF THE CLIENT	98
32. Assistance and Exemptions.....	98
33. Access to Project Site.....	99
34. Change in the Applicable Law Related to Taxes and Duties	100
35. Services, Facilities and Property of the Client.....	100
36. Counterpart Personnel.....	100
37. Payment Obligation	100
F. PAYMENTS TO THE CONSULTANT.....	100
38. Contract Price.....	100
39. Taxes and Duties.....	100
40. Currency of Payment	101
41. Mode of Billing and Payment	101
42. Interest on Delayed Payments.....	102
G. FAIRNESS AND GOOD FAITH.....	102
43. Good Faith	102
H. SETTLEMENT OF DISPUTES	102
44. Amicable Settlement.....	102
45. Dispute Resolution.....	102
III. Special Conditions of Contract	107
NA 111	
IV. Appendices.....	115
Appendix A – Terms of Reference	115
Appendix B - Key Experts.....	115
Appendix C – Breakdown of Contract Price	115
Appendix D - Form of Advance Payments Guarantee	119

PART I

Section 1. Request for Proposal Letter

Request for Proposal Letter

Consulting Services

Name of Assignment: Selection of Consulting Services for: Consulting Services for Environmental and Social Assessment (ESA) for the SMART Project

RFP Reference No.: SMART/PCMU/CS/01

Loan No.: P168310

Country: India

Date: 21/02/2019.

To,

Ms. Veena Gupta

Senior Project Manager

Mott MacDonald Private Limited.

5/6th Floor

Logix Techno Park

Tower C, Plot 5, Sector 127

Noida 201301, Uttar Pradesh

India

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Email ID- Veena.Gupta@mottmac.com

Dear Mr. /Ms.:

1. The Government of India (hereinafter called “Borrower”) has applied for financing from the International Bank for Reconstruction and Development (IBRD) the “Bank” in the form of a “loan” toward the cost of State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project 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. Payments by the Bank will be made only at the request of the State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan agreement. The loan agreement prohibits a withdrawal from the loan 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 a decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations. No party other than the

Borrower shall derive any rights from the loan agreement or have any claims to the proceeds of the loan. “For this contract, the Borrower shall process the payments using the Direct Payment disbursement method, as defined in the World Bank’s Disbursement Guidelines for Investment Project Financing.”

2. The Client now invites proposals to provide the following consulting services (hereinafter called “Services”): **Environmental and Social Assessment (ESA) for the SMART Project**. More details on the Services are provided in the Terms of Reference (Section 7).
3. ----- Deleted -----.
4. It is not permissible to transfer this RFP to any other firm.
5. A firm will be selected under **Consultant’s Qualifications Selection Method** 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” July 2016, Revised November 2017 and August 2018 (“Procurement Regulations”), which can be found at the following website: www.worldbank.org

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)

6. Please inform us on **February 22, 2019** in writing at the following address, upon receipt:

**Project Director,
SMART,
F/E/78, 1st Floor, Land Development Banks Training Center,
Market yard, Gultekdi, Pune-4110037,
Tel: 020-24270315, 24270316, Fax : 020-24270322
E-Mail : pcmu.smart@gmail.com**

- (a) that you have received this Request for Proposals; and

- (b) whether you intend to submit a proposal alone or intend to enhance your experience by requesting permission to associate with other firm(s) (if permissible under Section 2, Instructions to Consultants (ITC), Data Sheet 14.1.1).
7. “Attention is drawn to the Procurement Regulations requiring the Borrower to disclose information on the successful Consultant’s beneficial ownership, as part of the Contract Award Notice, using the Beneficial Ownership Disclosure Form as included in the Request for Proposals.”]
8. Details on the proposal’s submission date, time and address are provided in ITC 17.7 and ITC 17.9.

Yours sincerely,

Sd/-

**Project Director,
SMART,
F/E/78, 1st Floor, Land Development Banks Training Center,
Market yard, Gultekdi, Pune-4110037,**

Section 2. Instructions to Consultants and Data Sheet

[Notes to the Client: this part of Section 2, Instructions to Consultants, shall not be modified. Any necessary changes, acceptable to the Bank, to address specific country and project issues, to supplement, but not over-write, the provisions of the Instructions to Consultants (ITC), shall be introduced through the Data Sheet only. "Notes to the Client" should be deleted from the final RFP issued to the shortlisted Consultants].

Instructions to Consultants

A. General Provisions

1. Definitions

- (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.
- (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.
- (c) "Bank" means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).
- (d) "Borrower" means the Government, Government agency or other entity that signs the *[loan/financing/grant¹]* agreement with the Bank.
- (e) "Client" means the implementing agency that signs the Contract for the Services with the selected Consultant.
- (f) "Consultant" means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.
- (g) "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).
- (h) "Data Sheet" means an integral part of the Instructions

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]

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.

- (i) “Day” means a calendar day, unless otherwise specified as “Business Day”. A Business Day is any day that is an official working day of the Borrower. It excludes the Borrower’s official public holidays.
- (j) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).
- (k) “Government” means the government of the Client’s country.
- (l) “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;
- (m) “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.
- (n) “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.
- (o) “ITC” (this Section 2 of the RFP) means the Instructions to Consultants that provides—the shortlisted Consultants with all information needed to prepare their Proposals.
- (p) “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.

- (q) “Proposal” means the Technical Proposal and the Financial Proposal of the Consultant.
- (r) “RFP” means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SPD - RFP.
- (s) “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.
- (t) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- (u) “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.
- (v) “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.
- (w) “ESHS” means environmental, social (including sexual exploitation and abuse (SEA) and gender based violence (GBV)), health and safety.

2. Introduction

- 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**.
- 2.2 The shortlisted 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.
- 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.

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**.

3. Conflict of Interest

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.

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 disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

3.2.1 Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting Activities

(i) Conflict between consulting activities and procurement of goods, works or non-consulting services: 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.

b. Conflicting Assignments

(ii) Conflict among consulting assignments: 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.

c. Conflicting Relationships

- (iii) Relationship with the Client's staff: 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.

4. Unfair Competitive Advantage

- 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 shortlisted Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.

5. Fraud and Corruption

- 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.
- 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 their 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.

6. Eligibility

- 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.
- 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.

6.3 As an exception to the foregoing ITC 6.1 and ITC 6.2 above:

a. Sanctions

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 shall have determined. The list of debarred firms and individuals is available at the electronic address specified **in the PDS**.

b. Prohibitions

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:

- (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

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.

d. Restrictions for Public Employees

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:

- (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.

e. Borrower Debarment

6.3.5 A firm that is under a sanction of debarment by the Borrower from being awarded a contract is eligible to participate in this procurement, unless the Bank, at the Borrower's request, is satisfied that the debarment; (a) relates to fraud or corruption, and (b) followed a judicial or administrative proceeding that afforded the firm adequate due process.

B. Preparation of Proposals

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

10.1 The Proposal shall comprise the documents and forms

- Proposal** listed in the **Data Sheet**.
- 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).
- 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).
- 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**.
- 12. Proposal Validity**
- 12.1 **The Data Sheet** indicates the period during which the Consultant's Proposal must remain valid after the Proposal submission deadline.
- 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.
- 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.
- a. Extension of Validity Period**
- 12.4 The Client will make its best effort to complete the negotiations and award the contract within the proposal's validity period. 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.

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.

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.

b. Substitution of Key Experts at Validity Extension

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.

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.

c. Sub-Contracting

12.9 The Consultant shall not subcontract the whole of the Services.

13. Clarification and Amendment of RFP

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 shortlisted 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:

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 shortlisted Consultants and will be binding on them. The shortlisted Consultants shall acknowledge receipt of all amendments in writing.

13.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the shortlisted Consultants reasonable time to take an amendment into account in their Proposals.

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.

14. Preparation of Proposals Specific Considerations

14.1 While preparing the Proposal, the Consultant must give particular attention to the following:

14.1.1 If a shortlisted 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 with either (a) non-shortlisted Consultant(s), or (b) shortlisted Consultants if permitted in the **Data Sheet**. In all such cases a shortlisted Consultant must obtain the written approval of the Client prior to the submission of the Proposal. When associating with non-shortlisted firms in the form of a joint venture or a sub-consultancy, the shortlisted Consultant shall be a lead member. If shortlisted Consultants associate with each other, any of them can be a lead member.

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.

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.

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.

**15. Technical
Proposal Format
and Content**

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.

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.

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.

**16. Financial
Proposal**

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**.

**a. Price
Adjustment**

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**.

b. Taxes

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**. 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

- 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.

- 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.

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.

- 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.

- 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 between the original and the copies, the original shall prevail.

- 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].**”

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.**”

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**]”.

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.

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.

18. Confidentiality

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 Contract. Exceptions to this ITC are where the Client notifies Consultants of the results of the evaluation of the Technical Proposals.

18.2 Any attempt by shortlisted 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.

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.

19. Opening of Technical Proposals

19.1 The Client's evaluation committee shall conduct the opening of the Technical Proposals in the presence of the shortlisted 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.

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**.

20. Proposals Evaluation

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.

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 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:

- (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 to the RFP and TOR, and that have achieved the minimum qualifying technical score, advising them the following:

- (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.

23.3 The opening date should allow the Consultants sufficient time to make arrangements for attending the opening and shall be no less than seven (7) Business Days from the date of notification of the results of the technical evaluation, described in ITC 23.1 and 23.2.

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.

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.

24. Correction of Errors

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.

a. Time-Based Contracts

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.

b. Lump-Sum Contracts	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.
25. Taxes	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.
26. Conversion to Single Currency	26.1 For the evaluation purposes, prices shall be converted to a single currency using the selling rates of exchange, source and date indicated in the Data Sheet.
27. Combined Quality and Cost Evaluation	
a. Quality and Cost-Based Selection (QCBS)	27.1 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 technical and financial scores, will be invited for negotiations.

b. Fixed-Budget Selection(FBS)

27.2 In the case of FBS, those Proposals that exceed the budget indicated in ITC 14.1.4 of the **Data Sheet** shall be rejected.

27.3 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.

c. Least-Cost Selection

27.4 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

28. Negotiations

28.1 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.

28.2 The Client shall prepare minutes of negotiations that are signed by the Client and the Consultant's authorized representative.

a. Availability of Key Experts

28.3 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.

28.4 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.

b. Technical Negotiations

28.5 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.

c. Financial Negotiations

28.6 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.

28.7 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.

28.8 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.

29. Conclusion of Negotiations

29.1 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.

29.2 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.

30. Standstill Period

30.1 The Contract shall not be awarded earlier than the expiry of

the Standstill Period. The Standstill Period shall be ten (10) Business Days unless extended in accordance with ITC33. The Standstill Period commences the day after the date the Client has transmitted to each Consultant (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract. Where only one Proposal is submitted, or if this contract is in response to an emergency situation recognized by the Bank, the Standstill Period shall not apply.

31. Notification of Intention to Award

31.1 The Client shall send to each Consultant (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract to the successful Consultant. The Notification of Intention to Award shall contain, at a minimum, the following information:

- (a) the name and address of the Consultant with whom the client successfully negotiated a contract;
- (b) the contract price of the successful Proposal;
- (c) the names of all Consultants included in the short list, indicating those that submitted Proposals;
- (d) where the selection method requires, the price offered by each Consultant as read out and as evaluated;
- (e) the overall technical scores and scores assigned for each criterion and sub-criterion to each Consultant;
- (f) the final combined scores and the final ranking of the Consultants;
- (g) a statement of the reason(s) why the recipient's Proposal was unsuccessful, unless the combined score in (f) above already reveals the reason;
- (h) the expiry date of the Standstill Period; and
- (i) instructions on how to request a debriefing and/or submit a complaint during the Standstill Period.

32. Notification of Award

32.1 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 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.

Contract Award Notice

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:

- (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.

32.2 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

33. Debriefing by the Client

33.1 On receipt of the Client's Notification of Intention to Award referred to in ITC31.1, an unsuccessful Consultant has three (3) Business Days to make a written request to the Client for a debriefing. The Client shall provide a debriefing to all unsuccessful Consultants whose request is received within this deadline.

33.2 Where a request for debriefing is received within the deadline, the Client shall provide a debriefing within five (5) Business Days, unless the Client decides, for justifiable reasons, to provide the debriefing outside this timeframe. In that case, the standstill period shall automatically be extended until five (5) Business Days after such debriefing

is provided. If more than one debriefing is so delayed, the standstill period shall not end earlier than five (5) Business Days after the last debriefing takes place. The Client shall promptly inform, by the quickest means available, all Consultants of the extended standstill period

33.3 Where a request for debriefing is received by the Client later than the three (3)-Business Day deadline, the Client should provide the debriefing as soon as practicable, and normally no later than fifteen (15) Business Days from the date of publication of Public Notice of Award of contract. Requests for debriefing received outside the three (3)-day deadline shall not lead to extension of the standstill period.

33.4 Debriefings of unsuccessful Consultants may be done in writing or verbally. The Consultants shall bear their own costs of attending such a debriefing meeting

34. Signing of Contract

34.1 The Contract shall be signed prior to the expiration of the Proposal Validity Period 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.

34.2 The Consultant is expected to commence the assignment on the date and at the location specified in the **Data Sheet**.

35. Procurement Related Complaint

35.1 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
1 (b)	India
2.1	Name of the Client: <u>Project Director,</u> <u>SMART,</u> <u>F/E, 78, LDB Training Center Building,</u> <u>Gultekdi, Market Yard,</u> <u>Pune- 411 037.</u> <u>Maharashtra, India.</u> Method of selection: <u>Consultant's Qualifications Selection Method</u> as per the Procurement Regulations (available on www.worldbank.org)
2.2	Financial Proposal to be submitted together with Technical Proposal: Yes . The name of the assignment is: Consulting Services for Environmental and Social Assessment (ESA) for the SMART Project.
2.3	A pre-proposal conference will be held: No
2.4	The Client will provide the following inputs, N/A
4.1	N/A
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 <u>English</u> language. Proposals shall be submitted in <u>English</u> language. All correspondence exchange shall be in <u>English</u> language.
10.1	The Proposal shall comprise the following: <u>For FULL TECHNICAL PROPOSAL (FTP):</u> 1st Inner Envelope with the Technical Proposal: (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 (8) TECH-7 Code of Conduct (ESHS) [<i>Note to Client: include this for supervision of civil works contracts: The Consultant shall submit the Code of Conduct that will apply to the Consultant's Key Experts and Non-Key Experts, to ensure compliance with good Environmental, Social, Health and Safety (ESHS) practice. In addition, the Consultant shall submit an outline of how this Code of Conduct will be implemented. The successful Consultant shall be required to implement the agreed Code of Conduct upon contract award.]</i>] AND 2nd Inner Envelope with the Financial Proposal (if applicable): (1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) Statement of Undertaking (if required under Data Sheet 10.2 below)
10.2	Statement of Undertaking is required: <u>No</u>

11.1	Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible <u>No.</u>
12.1	Proposals must remain valid for <u>90 days</u> after the proposal submission deadline.
13.1	NA
14.1.1	Shortlisted Consultants may associate with (a) non-shortlisted consultant(s): No Or (b) other shortlisted Consultants: No
14.1.2	Estimated input of Key Experts' time-input: 15 person-month
14.1.3	<i>Not applicable</i>
14.1.4 and 27.2	<i>Not applicable</i>
15.2	The format of the Technical Proposal to be submitted is: FTP. Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements.
16.1	<i>[A <u>sample</u> list is provided below for guidance. Items that are not applicable should be deleted, others may be added. If the Client wants to set up maximum ceilings for unit rates of certain type of expenses, such ceilings should be indicated in the FIN forms.</i> <i>(1) a per diem allowance, including hotel, for experts for every day of absence from the home office for the purposes of the Services; (ceilings per person per day)</i> <i>(2) cost of travel by the most appropriate means of transport and the most direct practicable route; Pune to Pune (head quarter Pune) (ceilings</i>

	Rs. per vehicle) (3) <i>communications costs</i> ; (ceilings Rs per month)
16.2	A price adjustment provision applies to remuneration rates: No.
16.3	“Information on the Consultant’s tax obligations in the Client’s country can be found [http://mahagst.gov.in].
16.4	The Financial Proposal shall be stated in the Indian Rupees The Financial Proposal should state local costs in the Client’s country currency (local currency): Yes
C. Submission, Opening and Evaluation	
17.1	The Consultants shall not have the option of submitting their Proposals electronically.
17.4	The Consultant must submit: (a) Technical Proposal: one (1) original and Three copies; (b) Financial Proposal: one (1) original.
17.7 and 17.9	The Proposals must be submitted no later than: Date: 02 March 2019 Time: 14.00 hrs. The Proposal submission address is: Project Director, SMART, F/E/78, 1st Floor, Land Development Banks Training Center, Market yard, Gultekdi, Pune-4110037, Tel: 020-24270315, 24270316, Fax : 020-24270322 E-Mail : pcmu.smart@gmail.com

19.1	An online option of the opening of the Technical Proposals is offered: No. The opening shall take place at: Project Director, SMART, F/E/78, 1st Floor, Land Development Banks Training Center, Market yard, Gultekdi, Pune-4110037, Tel: 020-24270315, 24270316, Fax : 020-24270322 E-Mail : pcmu.smart@gmail.com, Date: 2nd March 2019. Time: 15.00																																							
19.2	In addition, the following information will be read aloud at the opening of the Technical Proposals : <u>N.A.</u>																																							
21.1	Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals: (i) Specific experience of consultants related to Assignment <table><tr><td></td><td>Points</td></tr><tr><td>Specific experience of the Consultant relevant to the assignment</td><td>5</td></tr><tr><td>Total</td><td>5</td></tr></table> (ii) Adequacy of the proposed methodology and work plan in responding to the TOR. <table><tr><td></td><td></td><td>Points</td></tr><tr><td>a)</td><td>Technical approach & Methodology</td><td></td></tr><tr><td></td><td>1. Specific Approach</td><td>20</td></tr><tr><td></td><td>2. Activity Schedule</td><td>10</td></tr><tr><td>b)</td><td>Work Plan</td><td></td></tr><tr><td></td><td>1. Adequacy of Plan</td><td>5</td></tr><tr><td></td><td>2. Duration and Input of staff months</td><td>5</td></tr><tr><td>c)</td><td>Organization & Staffing</td><td>5</td></tr><tr><td></td><td>Total</td><td>45</td></tr></table> (iii) Key professional staff Qualification and competence for the Assignment <table><tr><td></td><td></td><td>Points</td></tr><tr><td>(a)</td><td>Team Leader</td><td>12</td></tr></table>		Points	Specific experience of the Consultant relevant to the assignment	5	Total	5			Points	a)	Technical approach & Methodology			1. Specific Approach	20		2. Activity Schedule	10	b)	Work Plan			1. Adequacy of Plan	5		2. Duration and Input of staff months	5	c)	Organization & Staffing	5		Total	45			Points	(a)	Team Leader	12
	Points																																							
Specific experience of the Consultant relevant to the assignment	5																																							
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		Points																																						
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	Total	45																																						
		Points																																						
(a)	Team Leader	12																																						

	<table><tr><td>(b)</td><td>Environmental Management Expert</td><td>9</td></tr><tr><td>(c)</td><td>Social Development Expert</td><td>9</td></tr><tr><td>(d)</td><td>Gender Expert</td><td>6</td></tr><tr><td>(e)</td><td>Agro-Food Processing Industry Expert</td><td>5</td></tr><tr><td>(f)</td><td>Quality Assurance Expert</td><td>5</td></tr><tr><td></td><td>Total Points of Criteria (iii)</td><td>45</td></tr></table> The number of points to be assigned to each of the above positions or disciplines shall be determined considering the following three sub criteria and relevant percentage weights: <table><tr><td>1) General qualifications</td><td>[25%]</td></tr><tr><td>2) Adequacy for the assignment as seen in similar assignments</td><td>[60%]</td></tr><tr><td>3) Experience in region and language</td><td>[15%]</td></tr><tr><td colspan="2">Total weight: 100%</td></tr></table> (iv) Experience in organizing similar programme in region and language <table><tr><td>Knowledge of Local experience</td><td>5</td></tr></table> Grand Total = 100 Points The minimum technical score (St) required to pass is: <u>75 Points</u>	(b)	Environmental Management Expert	9	(c)	Social Development Expert	9	(d)	Gender Expert	6	(e)	Agro-Food Processing Industry Expert	5	(f)	Quality Assurance Expert	5		Total Points of Criteria (iii)	45	1) General qualifications	[25%]	2) Adequacy for the assignment as seen in similar assignments	[60%]	3) Experience in region and language	[15%]	Total weight: 100%		Knowledge of Local experience	5
(b)	Environmental Management Expert	9																											
(c)	Social Development Expert	9																											
(d)	Gender Expert	6																											
(e)	Agro-Food Processing Industry Expert	5																											
(f)	Quality Assurance Expert	5																											
	Total Points of Criteria (iii)	45																											
1) General qualifications	[25%]																												
2) Adequacy for the assignment as seen in similar assignments	[60%]																												
3) Experience in region and language	[15%]																												
Total weight: 100%																													
Knowledge of Local experience	5																												
21.1	Criteria, sub-criteria, and point system for the evaluation of the Simplified Technical Proposals are: N/A																												
	Public Opening of Financial Proposals																												
23.4	An online option of the opening of the Financial Proposals is offered: <u>No.</u>																												
23.5	Following the completion of the evaluation of the Technical Proposals, the Client will notify all Consultants of the location, date and time of the public opening of Financial Proposals. Any interested party who wishes to attend this public opening should contact [<i>Project Director, SMART, F/E/78, 1st Floor, Land Development Banks Training Center, Market yard, Gultekdi, Pune-4110037,.</i>] 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. Alternatively, a notice of the public opening of Financial Proposals may be																												

	published on the Client's website, if available.
25.1	For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as GST levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in the Client's country. 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	The single currency for the conversion of all prices expressed in various currencies into a single one is: in Indian Currency only.
27.1	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: $Sf = 100 \times Fm / F$, in which "Sf" is the financial score, "Fm" is the lowest price, and "F" the price of the proposal under consideration. <i>[or replace with another inversely proportional formula acceptable to the Bank]</i> The weights given to the Technical (T) and Financial (P) Proposals are: T = 80 and 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: $S = St \times T\% + Sf \times P\%$.
	D. Negotiations and Award
28.1	Expected date and address for contract negotiations: Date: 5th March 2019. Address: Project Director, SMART,

	F/E/78, 1st Floor, Land Development Banks Training Center, Market yard, Gultekdi, Pune-4110037
32.1	The successful Consultant <u>shall not</u> submit the Beneficial Ownership Disclosure Form.
34.2	Expected date for the commencement of the Services: Date: Immediate

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 ✓	FORM	DESCRIPTION	Page Limit
FTP			
✓	TECH-1	Technical Proposal Submission Form.	
✓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	
✓	TECH-2	Consultant's Organization and Experience.	
✓	TECH-2A	A. Consultant's Organization	
✓	TECH-2B	B. Consultant's Experience	
✓	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	
✓	TECH-3B	B. On the Counterpart Staff and Facilities	
✓	TECH-4	Description of the Approach, Methodology, and Work Plan for Performing the Assignment	
✓	TECH-5	Work Schedule and Planning for Deliverables	
✓	TECH-6	Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)	
✓	TECH-7	Code of Conduct (ESHS)	

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. *[Select appropriate wording depending on the selection method stated in the RFP: “We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope” or, if only a Technical Proposal is invited “We hereby are submitting our Proposal, which includes this Technical Proposal only in a sealed envelope.”]* 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 for the period of time specified in the Data Sheet, 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)

- (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 28.4 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 34.2 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}_____

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. *[If required under Data Sheet ITC32.1, the successful Consultant shall provide additional information on beneficial ownership, using the Beneficial Ownership Disclosure Form.]*

B - Consultant’s Experience

1. List only previous similar assignments successfully completed in the last [.....]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 US\$ equivalent)/ 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., US\$1 mill/US\$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., US\$0.2 mil/US\$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 and staffing 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 [**Note to Client: add the following for supervision of civil works contracts:** including the Environmental, Social (including sexual exploitation and abuse (SEA) and gender based violence (GBV)), Health and Safety (ESHS) aspects] 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.}
- c) **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 AND STP)

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 AND STP)

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				
NON-KEY EXPERTS															
N-1			[Home]												
			[Field]												
N-2															
n															
											Subtotal				
											Total				

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): _____

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts:	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
{List all deliverables/tasks as in TECH- 5 in which the Expert will be involved}	

Expert's contact information: (e-mail....., phone.....)

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available, as and when necessary, to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

{day/month/year}

Name of Expert

Signature

Date

and

{day/month/year}

Name of authorized
Representative of the Consultant
(the same who signs the Proposal)

Signature

Date

FORM TECH-7 (FOR FULL TECHNICAL PROPOSAL ONLY)

[Note to Client: include this requirement for supervision of civil works contracts.]

**Code of Conduct
Environmental, Social, Health and Safety (ESHS)**

The Consultant shall submit the Code of Conduct that will apply to the Consultant's Key Experts and Non-Key Experts, to ensure compliance with good Environmental, Social, Health and Safety (ESHS) practice as may be more fully described in the Term of Reference **described in Section 7**

The Consultant shall submit an outline of how the Code of Conduct will be implemented.

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 Remuneration, including Appendix A “Financial Negotiations - Breakdown of Remuneration Rates” in the case of QBS method
- FIN-4 Reimbursable expenses

FORM FIN-1

FINANCIAL 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 Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of {Indicate the corresponding to the amount(s) currency(ies)} {Insert amount(s) 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 {Insert currency} {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; delete columns which are not used}			
	{Insert Foreign Currency # 1}	{Insert Foreign Currency # 2, if used}	{Insert Foreign Currency # 3, if used}	{Insert Local Currency, if used and/or required (16.4 Data Sheet)}
Cost of the Financial Proposal				
Including:				
(1) Remuneration				
(2) Reimbursables				
Total Cost of the Financial Proposal: {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				
(i) {insert type of tax e.g., VAT or sales tax}				
(ii) {e.g., income tax on non-resident experts}				
(iii) {insert type of tax}				
Total Estimate for Indirect Local Tax:				

Footnote: Payments will be made in the currency(ies) expressed above (Reference to ITC 16.4).

FORM FIN-3 BREAKDOWN OF REMUNERATION

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

A. Remuneration								
No.	Name	Position (as in TECH-6)	Person-month Remuneration Rate	Time Input in Person/Month (from TECH-6)	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN-2}
_____	Key Experts							
K-1			[Home]					
			[Field]					
K-2								
_____	Non-Key Experts							
N-1			[Home]					
N-2			[Field]					
	Total Costs							

Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

1. Review of Remuneration Rates

- 1.1. The remuneration rates are made up of salary or a base fee, social costs, overheads, profit, and any premium or allowance that may be paid for assignments away from headquarters or a home office. An attached Sample Form can be used to provide a breakdown of rates.
- 1.2. If the RFP requests submission of a technical proposal only, the Sample Form is used by the selected Consultant to prepare for the negotiations of the Contract. If the RFP requests submission of the financial proposal, the Sample Form shall be completed and attached to the Financial Form-3. Agreed (at the negotiations) breakdown sheets shall form part of the negotiated Contract and included in its Appendix D or C.
- 1.3. At the negotiations the firm shall be prepared to disclose its audited financial statements for the last three years, to substantiate its rates, and accept that its proposed rates and other financial matters are subject to scrutiny. The Client is charged with the custody of government funds and is expected to exercise prudence in the expenditure of these funds.
- 1.4. Rate details are discussed below:
 - (i) Salary is the gross regular cash salary or fee paid to the individual in the firm's home office. It shall not contain any premium for work away from headquarters or bonus (except where these are included by law or government regulations).
 - (ii) Bonuses are normally paid out of profits. To avoid double counting, any bonuses shall not normally be included in the "Salary" and should be shown separately. Where the Consultant's accounting system is such that the percentages of social costs and overheads are based on total revenue, including bonuses, those percentages shall be adjusted downward accordingly. Where national policy requires that 13 months' pay be given for 12 months' work, the profit element need not be adjusted downward. Any discussions on bonuses shall be supported by audited documentation, which shall be treated as confidential.
 - (iii) Social Charges are the costs of non-monetary benefits and may include, inter alia, social security (including pension, medical, and life insurance costs) and the cost of a paid sick and/or annual leave. In this regard, a paid leave during public holidays or an annual leave taken during an assignment if no Expert's replacement has been provided is not considered social charges.
 - (iv) Cost of Leave. The principles of calculating the cost of total days leave per annum as a percentage of basic salary is normally calculated as follows:

$$\text{Leave cost as percentage of salary} = \frac{\text{total days leave} \times 100}{[365 - w - \text{ph} - v - s]}$$

Where w = weekends, ph = public holidays, v = vacation, and s = sick leave.

Please note that leave can be considered as a social cost only if the Client is not charged for the leave taken.

- (v) Overhead are the Consultant's business costs that are not directly related to the execution of the assignment and shall not be reimbursed as separate items under the Contract. Typical items are home office costs (non-billable time, time of senior Consultant's staff monitoring the project, rent of headquarters' office, support staff, research, staff training, marketing, etc.), the cost of Consultant's personnel not currently employed on revenue-earning projects, taxes on business activities, and business promotion costs. During negotiations, audited financial statements, certified as correct by an independent auditor and supporting the last three years' overheads, shall be available for discussion, together with detailed lists of items making up the overheads and the percentage by which each relates to basic salary. The Client does not accept an add-on margin for social charges, overhead expenses, etc. for Experts who are not permanent employees of the Consultant. In such case, the Consultant shall be entitled only to administrative costs and a fee on the monthly payments charged for sub-contracted Experts.
- (vi) Profit is normally based on the sum of the Salary, Social costs, and Overheads. If any bonuses paid on a regular basis are listed, a corresponding reduction shall be made in the profit amount. Profit shall not be allowed on travel or any other reimbursable expenses.
- (vii) Away from Home Office Allowance or Premium or Subsistence Allowances. Some Consultants pay allowances to Experts working away from headquarters or outside of the home office. Such allowances are calculated as a percentage of salary (or a fee) and shall not draw overheads or profit. Sometimes, by law, such allowances may draw social costs. In this case, the amount of this social cost shall still be shown under social costs, with the net allowance shown separately.

UNDP standard rates for the particular country may be used as reference to determine subsistence allowances.

Sample Form

Consultant:
Assignment:

Country:
Date:

Consultant's Representations Regarding Costs and Charges

We hereby confirm that:

- (a) the basic fees indicated in the attached table are taken from the firm's payroll records and reflect the current rates of the Experts listed which have not been raised other than within the normal annual pay increase policy as applied to all the Consultant's Experts;
- (b) attached are true copies of the latest pay slips of the Experts listed;
- (c) the away- from-home office allowances indicated below are those that the Consultant has agreed to pay for this assignment to the Experts listed;
- (d) the factors listed in the attached table for social charges and overhead are based on the firm's average cost experiences for the latest three years as represented by the firm's financial statements; and
- (e) said factors for overhead and social charges do not include any bonuses or other means of profit-sharing.

[Name of Consultant]

Signature of Authorized Representative

Date

Name: _____

Title: _____

**Consultant's Representations Regarding Costs and Charges
(Model Form I)**

(Expressed in {insert name of currency*})

Personnel		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	Proposed Fixed Rate per Working Month/Day/Hour	Proposed Fixed Rate per Working Month/Day/Hour ¹
Home Office									
Client's Country									

{* If more than one currency is used, use additional table(s), one for each currency}

1. Expressed as percentage of 1
2. Expressed as percentage of 4

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

B. Reimbursable Expenses								
N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN-2}
	{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.

Section 5. Eligible Countries

In reference to ITC6.3.2, for the information of shortlisted 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

Environmental and Social Assessment (ESA) For State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project

I. Background and Rationale:

Maharashtra has widespread dependence on agriculture with 55 % of its total population directly or indirectly dependent on this sector (Niti Aayog). The State accounts for 11.81% of the India's Gross Cropped Area (GCA), contributes 13.31 % to the country's GDP and 11 % to its own income. Agriculture has grown at an annual average rate of 6.4 % from 2004-05 to 2011-12 in the State. Maharashtra's share in Indian food processing is about 13 %. However, the sector is yet to harness the full potential in terms of contribution to GDP, job creation and addressing challenges posed by socio-environmental and climate change factors. The present agricultural production system in Maharashtra lacks in aggregation by the farmers themselves leading to rent seeking by a long chain of intermediaries. For favoring market led strategy conducive to farmers, there is pressing need to facilitate aggregation of farm produce through the development of producer organizations and provide them market linkage through end-to-end solutions in Public-Private Partnership (PPP) mode.

Govt. of Maharashtra aims to implement SMART Project¹ to revamp agricultural value chains, with special focus on small and marginal farmers across the State aligned with the Government of India's efforts towards doubling of farmers' income by 2022.

The proposed Project Development Objective (PDO) is:

“To support the development of inclusive and competitive agriculture value chains, focusing on small holder farmers and agri-entrepreneurs in Maharashtra”.

This will be achieved by expanding access to new and organized markets for producers and enterprises with complementary investments in technical services and risk management capabilities”. The project is expected to benefit approximately 2000 FPOs of the State through the development of the productive partnerships between them and private entities, MSMEs, start-ups, etc.

II. Key Project Components:

Component 1: Supporting Enterprise Growth and Expanding Market Access

The objective of this component is to enhance provision of relevant Technical and Business Development Services (BDS) to agribusiness enterprises, improve both domestic, and export market access. This component will include the following activities:

- a) Provide a range of technical services to agri-enterprises and CBOs including product development and quality; food safety and traceability; assistance for developing business plans and commercial loan applications; adoption of new technologies; and skills training.
- b) Financing Market Access Plans for CBOs and agri-enterprise associations including support to meet domestic/global food quality standards.

¹<http://www.smart-mh.org/en>

- c) Productive Partnership for supporting linkages between CBOs and lead commercial buyers.
- d) Scaling up export-linked clusters through support for adoption of elite planting materials, and implementation of Good Agricultural Practices Standards at the cluster-level.
- e) Supporting increased testing and technical service provision to improve food safety standards at the regional level.
- f) Pilot program on urban food systems to effectively link agricultural production in surrounding areas to the selected cities.

Component 2: Building Risk Mitigation Mechanisms

The objective of this component is to enhance capacity to respond to commodity-price fluctuations and agriculture sector crises; develop access to timely information on markets and productions trends and enhance access of producers to financing and hedging instruments. This component will include the following activities:

- a) Systematic monitoring and reporting of crop production and yields; price forecasting for key commodities; and disseminating this information widely.
- b) Setting up a Crisis Response Cell within the Department of Agriculture to proactively respond to rapid price fluctuations and agricultural distress.
- c) Expand use of Warehouse Receipt Financing through improved quality and management of notified warehouses, and assisting producers with using the financing instrument.

Component 3: Enhancing Institutional Capacity for Agribusiness Reforms

The objective of this component is to support the State in conceiving and implementing an evidence-based agribusiness support reform program; and to better manage risks arising from integration into global markets. This component will include the following activities:

- a) Research, evaluations and monitoring mechanisms of reform efforts.
- b) Training and capacity building of staff of concerned government departments.
- c) Setting up Agribusiness Stewardship Councils to coordinate actions to increase competitiveness of key commodities.

Component 4: Project Management, Monitoring and Evaluation

This component will strengthen capacities for Project Management, Monitoring and Evaluation (M&E) (including, inter alia, the areas of procurement and financial management) through the provision of goods, consultant services, training, and financing of incremental operating costs.

III. Objective of this Assignment:

The purpose of this consultancy work is to:

- (i) Conduct an Environment and Social Assessment (ESA) to identify and assess potential environmental and social impacts and risks in the implementation of the SMART project and;
- (ii) Based on the findings of the ESA, prepare an Environment and Social Management Framework (ESMF), to avoid, minimize and mitigate potential adverse environmental and social impacts of the project's proposed interventions and enhance the potential positive environmental and social impacts of the project interventions.

IV. Scope of Work and Outline of Key Activities:

1. Environmental and Social Assessment (ESA): The consultant(s) will conduct an environment and social assessment to identify key environmental and social issues, challenges and risks with regard to the proposed project activities and locations. This assessment will be undertaken in nine Agro-Climatic Zones of Maharashtra under the SMART Project. The ESA shall be prepared after conducting field visits/primary survey to a sample of proposed sites and a thorough review of literature and collection of secondary data. Moreover, during field visits, stakeholders and beneficiaries will be consulted in every location to understand their needs and concerns and how the project can address these better. The ESA will include:

- a) **Environmental and Social Baseline(s):** Consultants will prepare baseline of the key environmental and social parameters, including but not limited to usage of agrochemicals, practice of organic / low input farming, irrigation practices, food safety, health, hygiene, use of solar energy in agro-processing industries, presence of indigenous people (STs), socio-economic status of direct project beneficiaries at the community level, land holding pattern, etc. Consultants should propose additional parameters, as may be required. While secondary data will be collected for baselines, wherever necessary; limited primary data collection may be undertaken. Keeping in view the scope of the given study and its related timeline, viz., 03 Months; representative 100 number of samples of different abovementioned indicators should be selected from the 09 Agro-Climatic Zones of Maharashtra.

The sites selected for developing baselines should represent all nine agro-climatic zones of Maharashtra and cover all stakeholders such as Community Based Organizations (FPCs, CLFs, PACS, CMRCs)², SC and ST population with adequate gender representation (women).

- b) **Social Assessment:** Social Assessment of rural households should be done to assess the patterns of asset ownership, livelihoods, access of excluded groups to goods & services, etc. to identify and suggest interventions to increase ownership of the SMART project interventions. Social development outcomes of the assessment exercise should focus on poverty reduction, equity and inclusion, strengthening of social capital and social

²FPC- Farmer Producer Company, CLF- Cluster Level Federation, PACS- Primary Agricultural Credit Society, CMRCs- Community-managed Resource Centers

cohesion, and promotion of accountable and transparent governance, as well as suggest measures to mitigate adverse impacts anticipated from project activities.

- c) **Review of the Legal and Policy Environment:** With respect to the proposed project interventions, the consultants will review the existing legal and policy environment of Government of India³ and Govt. of Maharashtra⁴ in relation to their applicability to the proposed project interventions, investments and compliance. The Consultants will also review the applicability of the World Bank's Environment and Social Safeguards Policies (OP 4.01 - Environmental Assessment, OP4.03 - Performance Standards for Private Sector Activities, OP4.04 – Natural Habitats, OP 4.09- Pest Management, OP 4.10 - Indigenous Peoples and OP 4.12 - Involuntary Resettlement, etc.). Identify which of the environmental and social laws are applicable to the project along with the World Bank's safeguards policies⁵ triggered by the project and provide adequate justification as well as ensure that mitigation measures and actions are included in the ESMF to meet the requirements of the triggered policies.
- d) **Analysis of GHG Footprint and Climate Risks of Select Value Chains:** Based on the agreed sample value chains, the consultants will estimate the current GHG emissions and climate footprint of the selected value chains and suggest measures to lower it along the same. The resultant carbon estimate findings would be crucial and act as one of the key basis to estimate Statewide Overall GHG Footprint and Climate Risks of the SMART project.
- e) **Stakeholder Consultations:** The consultants will carry out detailed and in-depth consultations with all the stakeholder (direct community level beneficiaries, men and women farmers, CBOs, agri-business enterprises of varying sizes, consumers, State Government Departments, etc.) and prepare stakeholder feedback report with names of participants, photographs and short videos. These consultations will cover key challenges and issues faced by these entities and possible solutions and recommendations suggested by the stakeholders.
- f) **Assess Food Safety Standards:** Based on a Consultative dialogue with the food industries and consumers, consultants will assess key issues and gaps in existing capacities for improving the adoption of food safety standards in the agribusiness sector. This should include a comparison with the India Gap Standards and Maximum Residue Level (MRL). The Consultant/s will identify and list the commodities for which food safety standards are available and also those commodities that are traded but do not currently have any standards⁶.

³<http://www.envfor.nic.in/legis/legis.html>

⁴<http://www.landsofmaharashtra.com/landrelatedlaws.html>

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

⁶<https://www.ifc.org/wps/wcm/connect/c7bfaf0048855482b314f36a6515bb18/Final%2B-%2BFood%2Band%2BBeverage%2BProcessing.pdf?MOD=AJPERES>

- g) **Identify Environmental Impacts and Risks:** Based on historical trends and field-based observations, stakeholder consultations and overall findings of the ESA, consultants will identify potential and likely environmental adverse risks and impacts of the proposed project activities (for devising mitigation measures). Both short-term and long-term as well as direct and indirect impacts and risks need to be identified.
- h) **Assess capacity of proposed PMU to respond to identified environmental and social risks and impacts:** The consultants will assess the adequacy of the proposed PMU and other institutional arrangements for implementation of the SMART project in addressing identified environmental and social risks and impacts and suggest measures to strengthen such capacity.

2. Environmental and Social Management Framework (ESMF): Based on the findings of the ESA, the consultant/s will develop an ESMF that lists all identified potential impacts and risks and proposed mitigation actions, along with a monitoring framework for each risk and action. It will include, among others:

- a) **Impacts and Mitigation Action:** Based on the identified impacts and risks, develop implementable and practical mitigation actions to address/reduce/reverse adverse environmental and social impacts against each of the identified (in the ESA) adverse environmental impacts and risks. Mitigation measures could be at the level of policy, mainstreamed into project design, capacity development and/or implemented as stand-alone;
- b) **Measures for Enhancing Positive Environmental and Social Outcomes:** Suggest appropriate measures to enhance positive environmental and social impacts, such as, arising from the use of improved production processes that reduces use of water, electricity and other natural resources, improve ventilation of the production unit to ensure that employees work in safe ambient temperatures, use of easily degradable packaging materials, on the environment side; and ways to include more female beneficiaries at the higher end of the value chain and to involve members from marginalized sections on the social side;
- c) **Negative List:** A negative list of activities having significant, long-term and irreversible adverse impacts will be prepared that will not be supported through project investments;
- d) **Specific Strategies and Plans:** The consultants will develop the following project specific strategies and plans – Gender Strategy, Planning Framework, Stakeholder Engagement Plan, Pest Management Plan and Food Safety Strategy. Based on the ESA, additional strategies may need to be developed. Additional strategies, such as, health, hygiene and safety management plan, periodic and regular cleaning protocol for production and aggregation units, system for periodic third-party inspection and certification of participating units, self-declaration protocols etc., may be prepared, as required based on the findings of the ESA;

- e) **Implementation Arrangements for ESMF:** Suggest, in proportion to the identified risks and impacts, institutional and implementation mechanisms, including the requirement of qualified staff(s) with clear roles and responsibilities for implementing the proposed mitigation actions at all stages of the project, including measures for integration in designing of sub-projects;
- f) **Monitoring Plan:** Provide a list of measurable indicators for monitoring the performance of agreed mitigation actions during project implementation, including the methods of measuring, frequency and responsibility of reporting;
- g) **Capacity Enhancement:** Suggest measures, including trainings, for strengthening the Project Management capacity to implement, monitor, document and report on the various provisions of the ESMF;
- h) **Clauses for Inclusion in Bid Documents:** The ESMF should be able to provide a list of potential clauses related to food processing units that shall be integrated/incorporated into the bidding/contract documents and/or loan appraisal documents of financial institutions participating in this project, as may be required based on the size and nature of civil contracts;
- i) **National and International Good Practices:** Prepare a list of international good practices and sustainability initiatives developed, adopted and practiced by private sector related to contract farming, Farmer Producer Organizations/Companies, upgradation and upkeep of the food processing units; and
- j) **Specific Studies:** Based on the findings of the ESA and the coverage of ESMF, suggest a list of specific studies that shall be taken up under the project for increasing the understanding of the issues and/or for developing strategies to address challenging issues related to the project's policy, regulatory and operational aspects; and
- k) **Budget for ESMF:** Based on the suggested mitigation actions, staff and human resource requirements, monitoring and capacity building needs, the consultants will propose a financial budget for implementing the ESMF.

Expected Outputs:

- a) Comprehensive report on Environmental and Social Assessment (ESA);
- b) A detailed Environmental and Social Management Framework (ESMF) with implementation matrix giving roles and responsibilities;
- c) Project specific strategies and plans – Gender Strategy, Indigenous People's Planning Framework, Resettlement Action Plan, Stakeholder Management Plan, Pest

Management Plan and Food Safety Strategy and Employee Health, Hygiene and Safety plan.

- d) Any other plan that may be required as per the findings of the ESA and required for ESMF.

Team Composition for ESA and ESMF

At a minimum, the consultants will deploy the following experts. The consultants are encouraged to suggest additional technical resources for conducting the ESA and preparing the ESMF.

- a) **One Team Leader:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 10 years in preparing environmental and social management plans and frameworks in natural resource sector, agriculture and farm level interventions, food processing and/or related aspects. Prior experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.
- b) **One Environmental Management Expert:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 05 years in environmental assessment of projects, particularly related to agriculture sector.
Preference shall be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.
- c) **One Social Development Expert:** A graduate in social sciences with at least 05 years of prior experience in designing and conducting field based primary surveys and multi-stakeholder consultations. S/he should have experience of conducting social assessments for World Bank, or other multi/ bi-lateral agencies, for large-scale projects; understanding of social safeguard policies and their triggers. Sound understanding of social and gender issues around enterprise development; and livelihoods related to inclusion, restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing. S/he should preferably have knowledge and experience in working and understanding of the State's social context and handling community based NRM / livelihoods issues.
- d) **Gender Expert:** Graduate in social science with five years' research and experience in gender related issues; familiar with current discourse on gender issues, and knowledge in designing, monitoring and evaluating gender and inclusion projects in development.
- e) **One Agro-Food Processing Industry Expert:** A graduate in science/engineering, preferably from food processing related discipline. S/he should have at least 08 years

of prior experience in food processing sector with familiarity of FSSAI functioning, requirements and related aspects.

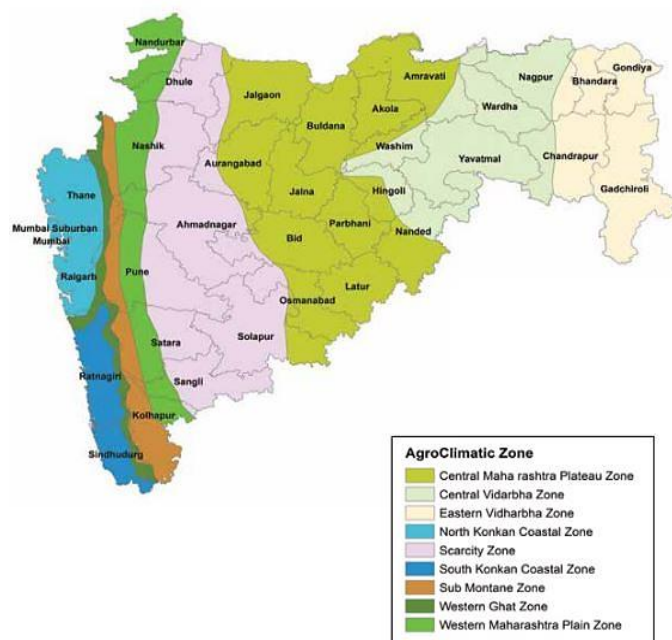
- f) **One Quality Assurance Expert:** A graduate in science/engineering with at least 05 years of prior experience in working on quality assurance, preferably in food processing sector. Familiarity with food safety standards is essential.

V. Timeline of Deliverables:

Milestones for ESMF Study	Timelines (from issuance of Contract)
Inception Report for ESA with detailed field visit schedule and stakeholder consultation plan; the inception report should include data collection instruments	01 st -02 nd Week
Field visits and stakeholder consultations	02 nd -05 th Week
Draft ESA report with ESMF	06 th -07 th Week
Draft ESMF and consultation workshops	08 th Week
Final ESMF Report along with all data collected for writing the reports	09 th -10 th Week
A power-point presentation of the final ESA and ESMF reports	11 th -12 th Week
Need Based Changes	13 th -14 th Week onwards*

Please Note: The Implementation period of the given assignment shall be of 03 to 03.10 Months (approx. 13-14 Weeks) * The need based changes will be required upto August 2019.

ESA Exercise to be carried out Covering Selected Indicators (mentioned above) and taking representative samples from the 09 Agro-Climatic Zones of Maharashtra under the SMART Project



PART II

Section 8. Conditions of Contract and Contract Forms

Foreword

1. Part II includes two types of standard Contract forms for Consulting Services (a Time-Based Contract and a Lump-Sum Contract) that are based on the contract forms included in the harmonized Request for Proposals(RFP) (Master Document for Selection of Consultants prepared by participating Multilateral Development Banks (MDBs).
2. **Time-Based Contract.** This type of contract is appropriate when it is difficult to define or fix the scope and the duration of the services, either because they are related to activities carried out by others for which the completion period may vary, or because the input of the consultants required for attaining the objectives of the assignment is difficult to assess. In time-based contracts the Consultant provides services on a timed basis according to quality specifications, and Consultant's remuneration is determined on the basis of the time actually spent by the Consultant in carrying out the Services and is based on (i) agreed upon unit rates for the Consultant's experts multiplied by the actual time spent by the experts in executing the assignment, and (ii) reimbursable expenses using actual expenses and/or agreed unit prices. This type of contract requires the Client to closely supervise the Consultant and to be involved in the daily execution of the assignment.
3. **Lump-Sum Contract.** This type of contract is used mainly for assignments in which the scope and the duration of the Services and the required output of the Consultant are clearly defined. Payments are linked to outputs (deliverables) such as reports, drawings, bill of quantities, bidding documents, or software programs. Lump-sum contracts are easier to administer because they operate on the principle of a fixed price for a fixed scope, and payments are due on clearly specified outputs and milestones. Nevertheless, quality control of the Consultant's outputs by the Client is paramount.
4. The templates are designed for use in assignments with consulting firms and shall not be used for contracting of individual experts. These standard Contract forms are to be used for complex and/or large value assignments, and/or for contracts above US\$300,000 equivalent or more unless otherwise approved by the Bank.

STANDARD FORM OF CONTRACT

Consultant's Services

Lump-Sum

Contents

Preface.....	81
I. Form of Contract.....	83
II. General Conditions of Contract	87
A. GENERAL PROVISIONS	87
2. Relationship between the Parties	88
3. Law Governing Contract.....	88
4. Language	88
5. Headings.....	89
6. Communications	89
7. Location.....	89
8. Authority of Member in Charge.....	89
9. Authorized Representatives	89
10. Fraud and Corruption	89
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT	90
11. Effectiveness of Contract	90
12. Termination of Contract for Failure to Become Effective	90
13. Commencement of Services.....	90
14. Expiration of Contract.....	90
15. Entire Agreement	90
16. Modifications or Variations	90
17. Force Majeure	90
18. Suspension	92
19. Termination.....	92
C. OBLIGATIONS OF THE CONSULTANT	94
20. General	94
21. Conflict of Interest	95
22. Confidentiality	96
23. Liability of the Consultant	96
24. Insurance to be taken out by the Consultant	96
25. Accounting, Inspection and Auditing	96
26. Reporting Obligations	97
27. Proprietary Rights of the Client in Reports and Records.....	97
28. Equipment, Vehicles and Materials	97
D. CONSULTANT’S EXPERTS AND SUB-CONSULTANTS.....	98
29. Description of Key Experts.....	98
30. Replacement of Key Experts.....	98
31. Removal of Experts or Sub-consultants.....	98

E. OBLIGATIONS OF THE CLIENT	98
32. Assistance and Exemptions.....	98
33. Access to Project Site.....	99
34. Change in the Applicable Law Related to Taxes and Duties	100
35. Services, Facilities and Property of the Client.....	100
36. Counterpart Personnel.....	100
37. Payment Obligation	100
F. PAYMENTS TO THE CONSULTANT.....	100
38. Contract Price.....	100
39. Taxes and Duties	100
40. Currency of Payment	101
41. Mode of Billing and Payment	101
42. Interest on Delayed Payments.....	102
G. FAIRNESS AND GOOD FAITH.....	102
43. Good Faith	102
H. SETTLEMENT OF DISPUTES	102
44. Amicable Settlement.....	102
45. Dispute Resolution.....	102
III. Special Conditions of Contract	107
IV. Appendices.....	115
Appendix A – Terms of Reference	115
Appendix B - Key Experts.....	115
Appendix C – Breakdown of Contract Price	115
Appendix D - Form of Advance Payments Guarantee	119

Preface

1. The standard Contract form consists of four parts: the Form of Contract to be signed by the Client and the Consultant, the General Conditions of Contract (GCC), including Attachment 1 - Fraud and Corruption; the Special Conditions of Contract (SCC); and the Appendices.
2. The General Conditions of Contract, including Attachment 1, shall not be modified. The Special Conditions of Contract that contain clauses specific to each Contract intend to supplement, but not over-write or otherwise contradict, the General Conditions.

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. 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) “Consultant” means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
- (f) “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).
- (g) “Day” means a working day unless indicated otherwise.
- (h) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- (i) “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.
- (j) “Foreign Currency” means any currency other than the currency of the Client’s country.
- (k) “GCC” means these General Conditions of Contract.

- (l) “Government” means the government of the Client’s country.
- (m) “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.
- (n) “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.
- (o) “Local Currency” means the currency of the Client’s country.
- (p) “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.
- (q) “Party” means the Client or the Consultant, as the case may be, and “Parties” means both of them.
- (r) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- (s) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- (t) “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.
- (u) “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 WBG'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 44 & 45.

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 45.1;
- (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 45.1.
- (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 38 through 42) 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**

21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity

Not to Engage in Certain Activities	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 Appendix to the General Conditions the Consultant shall permit and shall cause its subcontractors and subconsultants to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or the accounts and records relating to the performance of the Contract and the submission of the bid, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Consultant's and its Subcontractors' and subconsultants' attention is drawn to Sub-Clause 10.1 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.

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

29. Description of Key Experts	29.1 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 .
30. Replacement of Key Experts	30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts. 30.2 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.
31. Removal of Experts or Sub-consultants	31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or if the Client determines that a Consultant's Expert or Sub-consultant has engaged in Fraud and Corruption while performing the Services, the Consultant shall, at the Client's written request, provide a replacement. 31.2 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. 31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client. 31.4 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

32. Assistance and	32.1 Unless otherwise specified in the SCC , the Client shall use its

Exemptions

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.
- (c) 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.
- (d) 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.
- (e) Assist the Consultant, any Sub-consultants and the Experts of 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.
- (f) Provide to the Consultant any such other assistance as may be specified in the **SCC**.

33. Access to Project Site

33.1 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.

- 34. Change in the Applicable Law Related to Taxes and Duties**
- 34.1 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 38.1
- 35. Services, Facilities and Property of the Client**
- 35.1 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**.
- 36. Counterpart Personnel**
- 36.1 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**.
- 36.2 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.
- 37. Payment Obligation**
- 37.1 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**
- 38. Contract Price**
- 38.1 The Contract price is fixed and is set forth in the **SCC**. The Contract price breakdown is provided in **Appendix C**.
- 38.2 Any change to the Contract price specified in Clause GCC 38.1 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**.
- 39. Taxes and Duties**
- 39.1 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**.

39.2 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.

40. Currency of Payment

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

41. Mode of Billing and Payment

41.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.

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

41.2.1 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.

41.2.2 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.

41.2.3 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. 41.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the **SCC**.

41.2.4 With the exception of the final payment under 41.2.3 above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations hereunder.

42. Interest on Delayed Payments

42.1 If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 41.2.2, 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

43. Good Faith

43.1 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

44. Amicable Settlement

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

44.2 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 45.1 shall apply.

45. Dispute Resolution

45.1 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 Appendix 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	The addresses are <i>[fill in at negotiations with the selected firm]</i>: Client : Project Director, SMART, F/E, 78, LDB Training Center Building, Gultekdi, Market Yard, Pune- 411 037. Maharashtra, India. Website: www.smart-mh.org Tel: +91- 020-24270315/16 E-mail: pcmu.smart@gmail.com Consultant : _____ _____ Attention : _____ Facsimile : _____ E-mail (where permitted) : _____
8.1	N/A
9.1	The Authorized Representatives are: For the Client: Project Director, SMART, F/E, 78, LDB Training Center Building, Gultekdi, Market Yard, Pune- 411 037. Maharashtra, India.

	Website: www.smart-mh.org Tel: +91- 020-24270315/16 E-mail: pcmu.smart@gmail.com For the Consultant: <i>[name, title]</i> _____
11.1	N/A
12.1	Termination of Contract for Failure to Become Effective: The time period shall be: 22 days.
13.1	Commencement of Services: The number of days shall be: 8 Days. 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: Till 31st August 2019.
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	The insurance coverage against the risks shall be as follows: (a) Professional liability insurance, with a minimum coverage of <i>Equivalent to cost of contract</i>”]; (b) Third Party liability insurance, with a minimum coverage of <i>[Equivalent to cost of contract]</i>”]; (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 (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.
27.1	----- NA -----
27.2	The Consultant shall not use these <i>documents and software</i> for purposes unrelated to this Contract without the prior written approval of the Client.
38.1	The Contract price is: _____ <i>[insert amount and currency for each currency as applicable]</i> <i>[indicate: inclusive or exclusive]</i> of local indirect taxes. Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall <i>[insert as appropriate: “be paid” or “reimbursed”]</i> by the Client <i>[insert as appropriate: “for” or “to”]</i> the Consultant. The amount of such taxes is _____ [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.
39.1 and 39.2	The Client warrants that: “the Client shall reimburse the Consultant, the Sub-consultants and

	the Experts” any indirect taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Client’s country, on the Consultant, the Sub-consultants and the Experts in respect of: (a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of the Client’s country), in connection with the carrying out of the Services; (b) any equipment, materials and supplies brought into the Client’s country by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them; (c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client; (d) any property brought into the Client’s country by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of the Client’s country), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Client’s country, provided that: (i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of the Client’s country in importing property into the Client’s country; and (ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in the Client’s country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of the Client’s country, or (b) shall reimburse them to the Client if they were paid by the Client at the time the property in question was brought into the Client’s country.									
41.2	The payment schedule: <table><tr><th>Sr. No.</th><th>Deliverables</th><th>% Payment</th></tr><tr><td>1.</td><td>Submission of the inception report</td><td>10 %</td></tr><tr><td>2.</td><td>Submission of Draft ESA report</td><td>15 %</td></tr></table>	Sr. No.	Deliverables	% Payment	1.	Submission of the inception report	10 %	2.	Submission of Draft ESA report	15 %
Sr. No.	Deliverables	% Payment								
1.	Submission of the inception report	10 %								
2.	Submission of Draft ESA report	15 %								

		with ESMF	
	3.	Submission of draft ESMF and after submission of proof of completion of consultation workshops	15 %
	4.	Submission of Final ESMF Report along with all data collected for writing the reports. Submission of power-point presentation of the final ESA and ESMF reports	50 %
	5	After submission of report of completion of Need Based Changes	10%
41.2.1	NA		
41.2.4	The accounts are: for local currency: <i>[insert account]</i> .		
42.1	The interest rate is: <i>[8% per Year]</i> .		
45.1	Disputes shall be settled by arbitration in accordance with the following provisions: 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: (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 international professional body, e.g., the Federation Internationale des Ingenieurs-Conseil (FIDIC) of Lausanne, Switzerland]</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. (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 international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>. (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.
	2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract. 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. 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 an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties]</i> or of the Government's country. For the purposes of this Clause, "home country" means any of: (a) the country of incorporation of the Consultant <i>[If the Consultant consists of more than one entity, add: or of any of their members or Parties];</i> or

	(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or (c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or (d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.
	5. <u>Miscellaneous</u>. In any arbitration proceeding hereunder: (a) proceedings shall, unless otherwise agreed by the Parties, be held in <i>[select a country which is neither the Client's country nor the Consultant's country]</i>; (b) the <i>[type of language]</i> language shall be the official language for all purposes; and (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.

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 45.1(d) 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 [insert name of currency])*

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

* If more than one currency, add a table

Signature _____

Date _____

Name and Title: _____

APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE

[See Clause GCC 41.2.1 and SCC 41.2.1]

{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]*.

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 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 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.”

2 Approach and Methodology

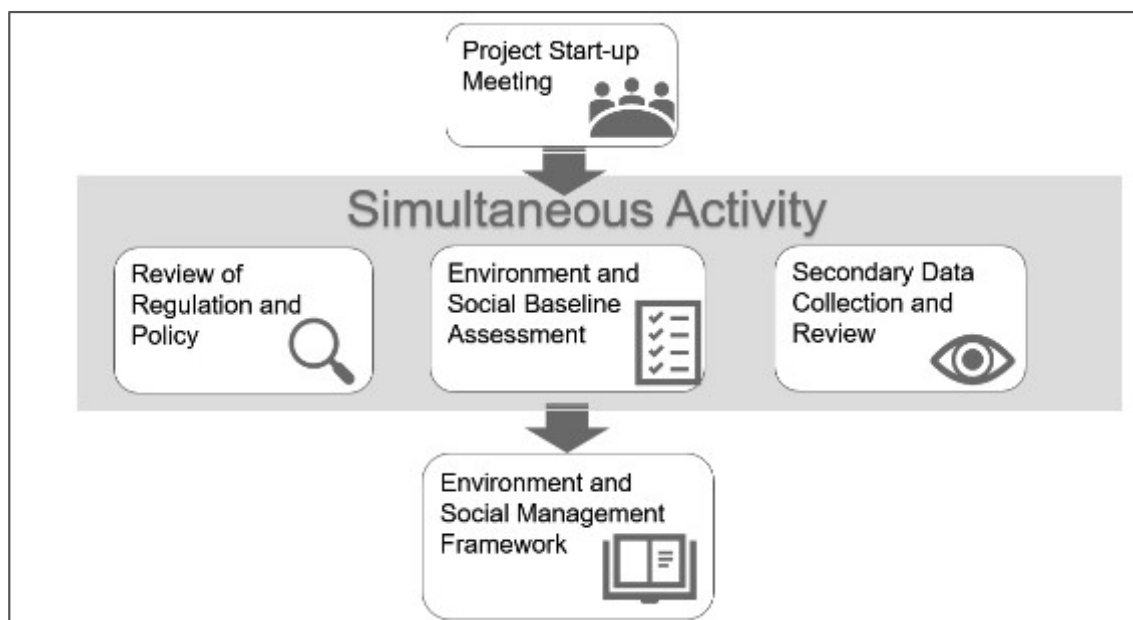
The approach and methodology for the project proposed by MM was finalised through a series of interactions and meetings with PCMU and the WB. This included the meeting with the subject experts from PCMU to gain a better understanding of the activities proposed under SMART. The strategy also considered the review of the secondary literature related to the agriculture sector and the current status and challenges facing the sector. The meeting at PCMU was later followed by a joint meeting of PCMU, WB and MM at the PCMU office in Pune. The suggestions and the outcome of the meeting further guided in finalising the approach and methodology for the study. This section presents the approach and methodology applied to undertake the Environmental and Social Management Framework (ESMF) of the SMART. The ESMF has been conducted in accordance with the World Bank Safeguards and Operational Principles and Indian regulatory requirements.

The purpose of this consultancy assignment is to:

- Conduct an Environment and Social Assessment (ESA) to identify and assess potential environmental and social impacts and risks in the implementation of the SMART project
- Based on findings of the ESA, prepare an Environment and Social Management Framework (ESMF), to avoid, minimize and mitigate potential adverse environmental and social impacts of the project's proposed interventions and enhance the potential positive environmental and social impacts of the project interventions.

Detailed Scope of Work is in **Appendix A**

Figure 3: Brief Approach



The detailed methodology for the assignment is as discussed in the subsequent sections.

2.1.1 Step I: Formulating strategy for conducting ESMF

MM presented a detailed strategy for conducting the ESMF in a joint meeting organised at PCMU. In a nutshell, the strategy revolved around identifying and understanding the key activities involved in each segment of the SMART, from the perspective of capturing the environmental and social issues and impacts. Stakeholder and institutional analysis formed an important part of this assessment that provided the context to the ESA and the framework. A major part of the assessment has been guided by the baseline study using research instruments like the sample survey and the focussed group discussions (FGDs). These instruments were finalised with the PCMU. Analysis of the information collected has given a shape to the understanding of the positive and adverse (social and environmental) impacts, which have been used for developing the environmental and social management framework for the project in the background of relevant national laws and the World Bank standards and policies.

2.1.2 Step II: Policy and regulations review

A large section of the report is based on the secondary research of nine Agri-climatic zones of Maharashtra, which included a desk review of the existing Acts, Regulations and Policy and Programs, Economic and Agriculture Surveys, at the country level, which will have applicability to the project. The section also aimed at highlighting, the compatibility of the existing Acts and Regulations to address the possible impacts from the project. Further, analysis of the applicability of the various World Bank Safeguards and Operational Policies (OPs) to be triggered were also analysed. This was followed by suitability of the various Indian Acts and Regulations in addressing the triggered World Bank Safeguards and OPs. The emerging gap analysis was used to interlink the impacts identified through the baseline and stakeholder analysis and identifying suitable mitigation measures. This analysis primarily reviewed the legal, regulatory and policy instruments related to various activities pertaining to the components to be taken under SMART.

2.1.3 Step III: Baseline Survey

The baseline survey comprised collection of data from secondary and primary sources. For the social assessment secondary data on demographic, social and economic profile of the population has been compiled from census 2011, planning commission and human development reports and presented subsequently in the report. The environment assessment involved secondary data collection on topography, geology and soil, climate and rainfall, bio-diversity and forest, land use pattern, water resources and quality, wetland, agricultural pests and crop diseases, irrigation, energy and food safety.

1.3.1.1 Primary data collection

For collection of primary data, stakeholder consultations have been carried out. Stakeholder consultations were distributed among the consultant and project team for coverage in the respective zones. The checklists used for stakeholder consultations are in **Appendix B**. A social baseline assessment is primarily based on data received through six Productive Partnership (PP) plans covering 4811 households (22133 farmers) from nine districts and covering eight commodities.

1.3.1.2 Data collection methodology

The data collection was carried out to ensure representation of the nine Agro-climatic zones of the State. In each zone, 2 to 3 districts were represented for coverage wherein the Agriculture Department and officials from Agricultural Technology Management Agency (ATMA) were contacted to identify major crops and FPCs for coverage in this assignment. Care was taken to ensure that crops for which interventions were planned under the Project were covered during

the field visits. The overall sampling covered is 170 stakeholders among FPCs and MAVIM and MSRLM CBOs, APMC retailers and traders, goat rearing cooperatives, slaughter houses, private buyers and Bank officials. The stakeholder consultations covered 16 districts representing 24 commodities. The social assessment for eight commodities was carried out using questionnaires and focus group discussions.

2.1.4 Step IV: Impact identification

Based on the primary review, stakeholder analysis and secondary literature review, the impacts were categorised under the social and environmental heads. An attempt has also been made to identify the impacts and classify them into positive and negative impacts. For the purpose of categorisation of the impacts a simple methodology has been used, which also captures the stage at which the impacts are likely to emerge during the project implementation. The impact identification has also tried to capture the following:

- Identify and prepare an inventory of possible direct and indirect
 - positive impacts that could be enhanced/ upscaled/ replicated further and
 - negative impacts and options for appropriate mitigation measures
- Suggest cost effective alternative approaches (wherever possible), such as use of environment-friendly materials, to prevent negative impacts and suggest ways to enhance the participation of women, SC and STs in project implementation. While taking the impact identification measures forward, attempts have been made to explore measures to enhance the participation of tribal and other vulnerable sections and ensure that they access project benefits at par with others.

Additionally, the ESMF include:

- Strategies to help tribal, women and other vulnerable sections of the CBOs, who are actively involved in decision making so that they access project benefits at par with others.
- Measures required to support potential land losers (irrespective of their ownership of land), highlight their social economic profile, defining arrangement for alternate livelihood for the project affected people in the form of a resettlement action plan (RAP), if required in the case of land acquisition; etc.

While the national laws and regulations cover significant requirements, there is need for extra caution, on the part of the project implementing agency (PCMU and PIUs), which have been suitably addressed in the mitigation matrix.

2.1.5 Step V: Environment and Social Management Framework and Institutional Framework Preparation

The environmental and social management framework has been developed for:

- Identifying institutional roles/responsibility for implementation, and its monitoring mechanism
- Developing project screening and exclusion criteria
- Integrating environmental and social management consideration at the various levels and stages of project implementation
- Developing external monitoring mechanism within the project for addressing the environmental and social impacts during the life cycle of the project

2.1.6 Study Limitation

- The coverage of CBOs, crops and stakeholders was limited to their availability during the primary data collection process through field visits.

The detailed findings and analysis from the assessments carried out are presented in the subsequent sections of this report.

**State of Maharashtra's Agribusiness and Rural Transformation
(SMART) Project
Consultancy Services for Environmental and Social Assessment (ESA)
for SMART Project
Expressions of Interest**

Government of Maharashtra intends to implement the World Bank assisted SMART project with its partner agencies for bringing transformation in the agribusiness sector and strengthen the agri-value chains on PPP mode across the State.

As per the World Bank Group's Operational Policies on ESA, to support the environmentally and socially sound project investment and interventions, SMART Project Management Unit (PMU) requires service of a Reputed Consultancy Firm to conduct assessment and prepare a report on ESA. The SMART PMU invites applications from the eligible Consultants to indicate their Interest in providing the given Consultancy Service.

The details about the project, ESA assignment, and shortlisting criteria's of the firms are available in the REOI and ToR documents placed in the Procurement & Tenders section of the website: www.smart-mh.gov.in/en (a copy annexed herewith). The interested firms can send the hard copy with a soft copy in CD/Pen drive of their application with the subject line of the captioned consultancy service on top of a sealed envelope to the address mentioned below by 14.02.2019 up to 1730 hours.

The Project Director,

State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project
LDB Building, Plot No. F/E/78, 01st Floor, Market Yard, Gultekdi, Pune- 411 037
(Maharashtra).

Website: www.smart-mh.gov.in/en

Tel No: 020-2427 0315/16

Email: pcmu.smart@gmail.com

REQUEST FOR EXPRESSIONS OF INTEREST (REOI) – CONSULTING SERVICES-FIRM SELECTION

Country: India

Name of Project: State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project

Project Number: P168310

Assignment Title: Consulting Services for Environmental and Social Assessment (ESA) for the SMART Project.

Reference No: SMART/PCMU/CS/01/2018-19

The Republic of India has applied for financing from the World Bank toward the cost of the implementation of the SMART project to be implemented by the Govt. of Maharashtra and intends to apply part of the proceeds for the abovementioned consulting services.

Brief Background: Government of Maharashtra has launched State of Maharashtra's Agribusiness and Rural Transformation (SMART)' Project in order to transform agriculture and livelihoods sector in Maharashtra assisted by World Bank. This project aims to revamp agricultural value chains, with special focus on marginal farmers across 1,000 villages of Maharashtra aligned with the Government of India's efforts towards doubling of farmers' income by 2022. The objectives of the project is to support development of inclusive and competitive agriculture value chains focusing on smallholder farmers and agri-entrepreneurs in Maharashtra. This would be achieved by expanding access to new and organized markets for producers and enterprises with complementary investments in provision of technical services and risk management capabilities. The broader project interventions identified are expanding of market access of the producers and entrepreneurs to a range of technical and business development services to strengthen risk mitigation measures to respond to commodity-price fluctuations and agriculture sector crises and build the State capacity for evidence-based agribusiness reforms.

Objectives of the ESA Assignment:

To identify the key Environmental and Social Issues and Challenges in relation to the proposed project locations, activities, interventions and the related climatic vulnerabilities, a detailed Environment and Social Assessment (ESA) is to be conducted. It would involve carrying out of assessment studies but the same would not be limited to conducting only the field visits, stakeholder consultations, and review of literature.

The ESA will include and guided by the following points:

1. **Development of Environmental and Social Baseline(s):** Consultants will prepare baseline of the key environmental and social parameters, including but not limited to usage of agrochemicals, practice of organic farming, irrigation practices, food safety, health, hygiene, use of solar energy in agro-processing, presence of indigenous people (tribal), socio-economic status of direct project beneficiaries at the community level, land holding pattern, etc. While secondary data will be collected for baselines, wherever necessary; limited primary data collection may be done.

Keeping in view the scope of the given study and its related timeline, representative 100 samples of different abovementioned indicators should be selected from the 09 agro-climatic zones of Maharashtra. The villages selected should represent all the nine agro-climatic zones of Maharashtra and cover Community Based Organizations (FPCs, CLFs, PACS, CMRCs), SC and ST population, adequate gender representation (women), etc.

Social Assessment of rural households should be done to assess the patterns of asset ownership, livelihoods, access of excluded groups to goods & services, etc. to identify and suggest interventions to increase the acceptability of the SMART project interventions. Social development outcomes of the assessment exercise should focus on poverty reduction, equity and inclusion, strengthening of social capital and social cohesion, and promotion of accountable and transparent governance, as well as suggest measures to mitigate adverse impacts arising out of the project.

2. **Review of the Legal and Policy Environment:** The existing legal and policy environment of Government of India and Govt. of Maharashtra will be reviewed in relation to their applicability to the project interventions, investments and compliance to the World Bank's Environment and Social Safeguards Policies (OP 4.01 - Environmental Assessment, OP 4.09- Pest Management, OP 4.10 - Indigenous Peoples and OP 4.12 - Involuntary Resettlement).

The Key Policies, Laws, and Regulations of Central and State Government that may be applicable to the project are but not limited to National Environment Policy 2006, National Water Policy 2012, Policy on Abatement of Pollution 1992, National Conservation Strategy & Policy on Environment & Development 1992, The Water (Prevention and Control of Pollution) Act, 1974 and the Air (Prevention & Control of Pollution) Act, 1981. Further applicability and compliance of the Environment (Protection) Act, 1986, The Solid Waste Management Rules, 2016, Insecticides Act, 1968 and Insecticides Rules, 1971, Forest Rights Act 2006, Water Policy 2003 of Government of Maharashtra, Maharashtra Felling of Trees (Regulation) Act, 1964 and Guidelines for Tree Felling and Transit Permission, 2017 etc. needs to be ascertained.

3. **Analysis of GHG Footprint and Climate Risks of Select Value Chains:** Based on the agreed sample value chains, the consultants will estimate the current GHG emissions and climate footprint of the selected value chains and suggest measures to lower it along the same. The resultant findings would be crucial and act as one of the key basis to estimate Statewide Overall GHG Footprint and Climate Risks of the SMART project.
4. **Improve the Aspects of Food Safety Standards:** Based on a Consultative dialogue with the food industries and consumers, consultants will assess key issues and gaps in existing capacities for improving the adoption of food safety standards in the agribusiness sector.
5. **Stakeholder Consultations:** The consultants will carry out detailed and in-depth consultations with all the stakeholder (direct community level beneficiaries, men and women farmers, CBOs, agri-business enterprises of varying sizes, consumers, State Government Departments, etc.) and prepare stakeholder feedback report with photographs and short videos. These consultations will cover key challenges and issues faced by these entities and possible solutions and recommendations suggested by the stakeholders.

6. **Developing an Environment and Social Management Framework (ESMF):** Based on the ESA, the consultants will develop an ESMF covering all the identified potential impacts and risks and proposed mitigation actions, along with a monitoring framework and capacity building needs of the SMART project.
7. **Develop Project Specific Strategies and Plans:** The consultants will develop the following project specific strategies and plans – Gender Strategy, Planning Framework, Stakeholder Engagement Plan, Pest Management Plan and Food Safety Strategy. Based on the ESA, additional strategies may need to be developed. Additional strategies, such as, health, hygiene and safety management plan, periodic and regular cleaning protocol for production and aggregation units, system for periodic third-party inspection and certification of participating units, self-declaration protocols etc.

Estimated Level of Effort (Professional Staff-Months): 05 Months

Implementation Period: 03 Months

Expected Start date of Assignment: 01-03-2019

The SMART PCMU now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services.

The shortlisting criteria’s for the selection of an agency for the ESA assignment will involve review of information on:

- a) **Details of the Consultancy Organization:** The information related to the legal status, nature of core business of firm and a minimum of five years’ of experience in providing technical and manpower services to Government/Semi Government, Multilateral /Bilateral projects with documentary evidence.
- b) **Qualifications and Experience of the Consultancy:** Organization in the field of the assignment along with published brochures, description of similar assignments performed with details of clients, experience in similar conditions, etc. Experience in the field of conducting Environmental and Social Assessment for Agriculture, Natural Resource Management and Agri-Business Projects would be preferred.
- c) **Number of Manpower provided in the Preceding Three Financial Year:** Minimum requirement of up to 10 number of deployment in the projects related to NRM and agriculture and allied sector.
- d) **Financial Capability of the Consultancy Organization:** Annual Turnover, Gross Income, etc. as per Annual Reports - Average annual turnover of INR 1 Crore or more in preceding three financial years (FY 2015-16, FY 2016-17 and FY 2017-18). The firm shall submit audited balance sheet for the same.

The attention of interested Consultants is drawn to Section III, paragraphs, 3.14, 3.16, and 3.17 of the World Bank's "Procurement Regulations for IPF Borrowers", July 2016 Revised November 2017 and August 2018. In addition, please refer to the following specific information on conflict of interest related to this assignment "a firm that has been engaged by the borrower to provide consultancy services for preparation or implementation of a project shall be disqualified from subsequently providing Goods, Works, Non-Consultancy Services resulting from, or directly related to those consultancy services".

Consultants may associate with other firms to enhance their qualifications, but should indicate clearly whether the association is in the form of a joint venture and/or a sub-consultancy. In the case of a joint venture, all the partners in the joint venture shall be jointly and severally liable for the entire contract, if selected.

A Consultant will be selected in accordance with the Selection Based on Consultant Qualification-based Selection (CQS) method set out in the World Bank's Procurement Regulation for IPF Borrowers, July 2016, Revised in November 2017 and August 2018.

Further information can be obtained at the address below during office hours [1000 to 1730 hours].

Interested Consultant may submit "Expression of Interest" in a sealed envelope clearly superscripted as expression of interest for "Consulting Services for Environmental and Social Assessment (ESA) for the SMART Project" **by 14.02.2019 up to 1730 hours.**

**-Sd-
Project Director, SMART**

Address:

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**Terms of Reference (ToR) for
Environmental and Social Assessment (ESA)
For
State of Maharashtra's Agribusiness and Rural Transformation (SMART)
Project**

I. Background and Rationale:

Maharashtra has widespread dependence on agriculture with 55 % of its total population directly or indirectly dependent on this sector (Niti Aayog). The State accounts for 11.81% of the India's Gross Cropped Area (GCA), contributes 13.31 % to the country's GDP and 11 % to its own income. Agriculture has grown at an annual average rate of 6.4 % from 2004-05 to 2011-12 in the State. Maharashtra's share in Indian food processing is about 13 %. However, the sector is yet to harness the full potential in terms of contribution to GDP, job creation and addressing challenges posed by socio-environmental and climate change factors. The present agricultural production system in Maharashtra lacks in aggregation by the farmers themselves leading to rent seeking by a long chain of intermediaries. For favoring market led strategy conducive to farmers, there is pressing need to facilitate aggregation of farm produce through the development of producer organizations and provide them market linkage through end-to-end solutions in Public-Private Partnership (PPP) mode.

Govt. of Maharashtra aims to implement SMART Project¹ to revamp agricultural value chains, with special focus on small and marginal farmers across the State aligned with the Government of India's efforts towards doubling of farmers' income by 2022.

The proposed Project Development Objective (PDO) is:

“To support the development of inclusive and competitive agriculture value chains, focusing on small holder farmers and agri-entrepreneurs in Maharashtra”.

This will be achieved by expanding access to new and organized markets for producers and enterprises with complementary investments in technical services and risk management capabilities”. The project is expected to benefit approximately 2000 FPOs of the State through the development of the productive partnerships between them and private entities, MSMEs, start-ups, etc.

II. Key Project Components:

Component 1: Supporting Enterprise Growth and Expanding Market Access

The objective of this component is to enhance provision of relevant Technical and Business Development Services (BDS) to agribusiness enterprises, improve both domestic, and export market access. This component will include the following activities:

¹ <http://www.smart-mh.org/en>

- a) Provide a range of technical services to agri-enterprises and CBOs including product development and quality; food safety and traceability; assistance for developing business plans and commercial loan applications; adoption of new technologies; and skills training.
- b) Financing Market Access Plans for CBOs and agri-enterprise associations including support to meet domestic/global food quality standards.
- c) Productive Partnership for supporting linkages between CBOs and lead commercial buyers.
- d) Scaling up export-linked clusters through support for adoption of elite planting materials, and implementation of Good Agricultural Practices Standards at the cluster-level.
- e) Supporting increased testing and technical service provision to improve food safety standards at the regional level.
- f) Pilot program on urban food systems to effectively link agricultural production in surrounding areas to the selected cities.

Component 2: Building Risk Mitigation Mechanisms

The objective of this component is to enhance capacity to respond to commodity-price fluctuations and agriculture sector crises; develop access to timely information on markets and productions trends and enhance access of producers to financing and hedging instruments. This component will include the following activities:

- a) Systematic monitoring and reporting of crop production and yields; price forecasting for key commodities; and disseminating this information widely.
- b) Setting up a Crisis Response Cell within the Department of Agriculture to proactively respond to rapid price fluctuations and agricultural distress.
- c) Expand use of Warehouse Receipt Financing through improved quality and management of notified warehouses, and assisting producers with using the financing instrument.

Component 3: Enhancing Institutional Capacity for Agribusiness Reforms

The objective of this component is to support the State in conceiving and implementing an evidence-based agribusiness support reform program; and to better manage risks arising from integration into global markets. This component will include the following activities:

- a) Research, evaluations and monitoring mechanisms of reform efforts.

- b) Training and capacity building of staff of concerned government departments.
- c) Setting up Agribusiness Stewardship Councils to coordinate actions to increase competitiveness of key commodities.

Component 4: Project Management, Monitoring and Evaluation

This component will strengthen capacities for Project Management, Monitoring and Evaluation (M&E) (including, inter alia, the areas of procurement and financial management) through the provision of goods, consultant services, training, and financing of incremental operating costs.

III. Objective of this Assignment:

The purpose of this consultancy work is to:

- (i) Conduct an Environment and Social Assessment (ESA) to identify and assess potential environmental and social impacts and risks in the implementation of the SMART project and;
- (ii) Based on the findings of the ESA, prepare an Environment and Social Management Framework (ESMF), to avoid, minimize and mitigate potential adverse environmental and social impacts of the project's proposed interventions and enhance the potential positive environmental and social impacts of the project interventions.

IV. Scope of Work and Outline of Key Activities:

1. Environmental and Social Assessment (ESA): The consultant(s) will conduct an environment and social assessment to identify key environmental and social issues, challenges and risks with regard to the proposed project activities and locations. This assessment will be undertaken in nine Agro-Climatic Zones of Maharashtra under the SMART Project. The ESA shall be prepared after conducting field visits/primary survey to a sample of proposed sites and a thorough review of literature and collection of secondary data. Moreover, during field visits, stakeholders and beneficiaries will be consulted in every location to understand their needs and concerns and how the project can address these better. The ESA will include:

- a) **Environmental and Social Baseline(s):** Consultants will prepare baseline of the key environmental and social parameters, including but not limited to usage of agrochemicals, practice of organic / low input farming, irrigation practices, food safety, health, hygiene, use of solar energy in agro-processing industries, presence of indigenous people (STs), socio-economic status of direct project beneficiaries at the community level, land holding pattern, etc. Consultants should propose additional parameters, as may be required. While secondary data will be collected for baselines, wherever necessary; limited primary data collection may be undertaken.

Keeping in view the scope of the given study and its related timeline, viz., 03 Months; representative 100 number of samples of different abovementioned indicators should be selected from the 09 Agro-Climatic Zones of Maharashtra.

The sites selected for developing baselines should represent all nine agro-climatic zones of Maharashtra and cover all stakeholders such as Community Based Organizations (FPCs, CLFs, PACS, CMRCs)², SC and ST population with adequate gender representation (women).

- b) **Social Assessment:** Social Assessment of rural households should be done to assess the patterns of asset ownership, livelihoods, access of excluded groups to goods & services, etc. to identify and suggest interventions to increase ownership of the SMART project interventions. Social development outcomes of the assessment exercise should focus on poverty reduction, equity and inclusion, strengthening of social capital and social cohesion, and promotion of accountable and transparent governance, as well as suggest measures to mitigate adverse impacts anticipated from project activities.
- c) **Review of the Legal and Policy Environment:** With respect to the proposed project interventions, the consultants will review the existing legal and policy environment of Government of India³ and Govt. of Maharashtra⁴ in relation to their applicability to the proposed project interventions, investments and compliance. The Consultants will also review the applicability of the World Bank's Environment and Social Safeguards Policies (OP 4.01 - Environmental Assessment, OP4.03 - Performance Standards for Private Sector Activities, OP4.04 – Natural Habitats, OP 4.09- Pest Management, OP 4.10 - Indigenous Peoples and OP 4.12 - Involuntary Resettlement, etc.). Identify which of the environmental and social laws are applicable to the project along with the World Bank's safeguards policies⁵ triggered by the project and provide adequate justification as well as ensure that mitigation measures and actions are included in the ESMF to meet the requirements of the triggered policies.
- d) **Analysis of GHG Footprint and Climate Risks of Select Value Chains:** Based on the agreed sample value chains, the consultants will estimate the current GHG emissions and climate footprint of the selected value chains and suggest measures to lower it along the same. The resultant carbon estimate findings would be crucial and act as one of the key basis to estimate Statewide Overall GHG Footprint and Climate Risks of the SMART project.

² [FPC- Farmer Producer Company, CLF- Cluster Level Federation, PACS- Primary Agricultural Credit Society, CMRCs- Community-managed Resource Centers](#)

³ <http://www.envfor.nic.in/legis/legis.html>

⁴ <http://www.landsofmaharashtra.com/landrelatedlaws.html>

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

- e) **Stakeholder Consultations:** The consultants will carry out detailed and in-depth consultations with all the stakeholder (direct community level beneficiaries, men and women farmers, CBOs, agri-business enterprises of varying sizes, consumers, State Government Departments, etc.) and prepare stakeholder feedback report with names of participants, photographs and short videos. These consultations will cover key challenges and issues faced by these entities and possible solutions and recommendations suggested by the stakeholders.
- f) **Assess Food Safety Standards:** Based on a Consultative dialogue with the food industries and consumers, consultants will assess key issues and gaps in existing capacities for improving the adoption of food safety standards in the agribusiness sector. This should include a comparison with the India Gap Standards and Maximum Residue Level (MRL). The Consultant/s will identify and list the commodities for which food safety standards are available and also those commodities that are traded but do not currently have any standards⁶.
- g) **Identify Environmental Impacts and Risks:** Based on historical trends and field-based observations, stakeholder consultations and overall findings of the ESA, consultants will identify potential and likely environmental adverse risks and impacts of the proposed project activities (for devising mitigation measures). Both short-term and long-term as well as direct and indirect impacts and risks needs to be identified.
- h) **Assess capacity of proposed PMU to respond to identified environmental and social risks and impacts:** The consultants will assess the adequacy of the proposed PMU and other institutional arrangements for implementation of the SMART project in addressing identified environmental and social risks and impacts and suggest measures to strengthen such capacity.

2. Environmental and Social Management Framework (ESMF): Based on the findings of the ESA, the consultant/s will develop an ESMF that lists all identified potential impacts and risks and proposed mitigation actions, along with a monitoring framework for each risk and action. It will include, among others:

- a) **Impacts and Mitigation Action:** Based on the identified impacts and risks, develop implementable and practical mitigation actions to address/reduce/reverse adverse environmental and social impacts against each of the identified (in the ESA) adverse environmental impacts and risks. Mitigation measures could be at the level of policy, mainstreamed into project design, capacity development and/or implemented as stand-alone;

⁶ <https://www.ifc.org/wps/wcm/connect/c7bfaf0048855482b314f36a6515bb18/Final%2B-%2BFood%2Band%2BBeverage%2BProcessing.pdf?MOD=AJPERES>

- b) **Measures for Enhancing Positive Environmental and Social Outcomes:** Suggest appropriate measures to enhance positive environmental and social impacts, such as, arising from the use of improved production processes that reduces use of water, electricity and other natural resources, improve ventilation of the production unit to ensure that employees work in safe ambient temperatures, use of easily degradable packaging materials, on the environment side; and ways to include more female beneficiaries at the higher end of the value chain and to involve members from marginalized sections on the social side;
- c) **Negative List:** A negative list of activities having significant, long-term and irreversible adverse impacts will be prepared that will not be supported through project investments;
- d) **Specific Strategies and Plans:** The consultants will develop the following project specific strategies and plans – Gender Strategy, Planning Framework, Stakeholder Engagement Plan, Pest Management Plan and Food Safety Strategy. Based on the ESA, additional strategies may need to be developed. Additional strategies, such as, health, hygiene and safety management plan, periodic and regular cleaning protocol for production and aggregation units, system for periodic third-party inspection and certification of participating units, self-declaration protocols etc., may be prepared, as required based on the findings of the ESA;
- e) **Implementation Arrangements for ESMF:** Suggest, in proportion to the identified risks and impacts, institutional and implementation mechanisms, including the requirement of qualified staff(s) with clear roles and responsibilities for implementing the proposed mitigation actions at all stages of the project, including measures for integration in designing of sub-projects;
- f) **Monitoring Plan:** Provide a list of measurable indicators for monitoring the performance of agreed mitigation actions during project implementation, including the methods of measuring, frequency and responsibility of reporting;
- g) **Capacity Enhancement:** Suggest measures, including trainings, for strengthening the Project Management capacity to implement, monitor, document and report on the various provisions of the ESMF;
- h) **Clauses for Inclusion in Bid Documents:** The ESMF should be able to provide a list of potential clauses related to food processing units that shall be integrated/incorporated into the bidding/contract documents and/or loan appraisal documents of financial institutions participating in this project, as may be required based on the size and nature of civil contracts;

- i) **National and International Good Practices:** Prepare a list of international good practices and sustainability initiatives developed, adopted and practiced by private sector related to contract farming, Farmer Producer Organizations/Companies, upgradation and upkeep of the food processing units; and
- j) **Specific Studies:** Based on the findings of the ESA and the coverage of ESMF, suggest a list of specific studies that shall be taken up under the project for increasing the understanding of the issues and/or for developing strategies to address challenging issues related to the project's policy, regulatory and operational aspects; and
- k) **Budget for ESMF:** Based on the suggested mitigation actions, staff and human resource requirements, monitoring and capacity building needs, the consultants will propose a financial budget for implementing the ESMF.

Expected Outputs:

- a) Comprehensive report on Environmental and Social Assessment (ESA);
- b) A detailed Environmental and Social Management Framework (ESMF) with implementation matrix giving roles and responsibilities;
- c) Project specific strategies and plans – Gender Strategy, Indigenous People's Planning Framework, Resettlement Action Plan, Stakeholder Management Plan, Pest Management Plan and Food Safety Strategy and Employee Health, Hygiene and Safety plan.
- d) Any other plan that may be required as per the findings of the ESA and required for ESMF.

Team Composition for ESA and ESMF

At a minimum, the consultants will deploy the following experts. The consultants are encouraged to suggest additional technical resources for conducting the ESA and preparing the ESMF.

- a) **One Team Leader:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 10 years in preparing environmental and social management plans and frameworks in natural resource sector, agriculture and farm level interventions, food processing and/or related aspects. Prior experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.
- b) **One Environmental Management Expert:** A graduate in Environmental Science/Engineering or related discipline. S/he should have experience of at least 05 years in environmental assessment of projects, particularly related to agriculture sector.

Preference shall be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.

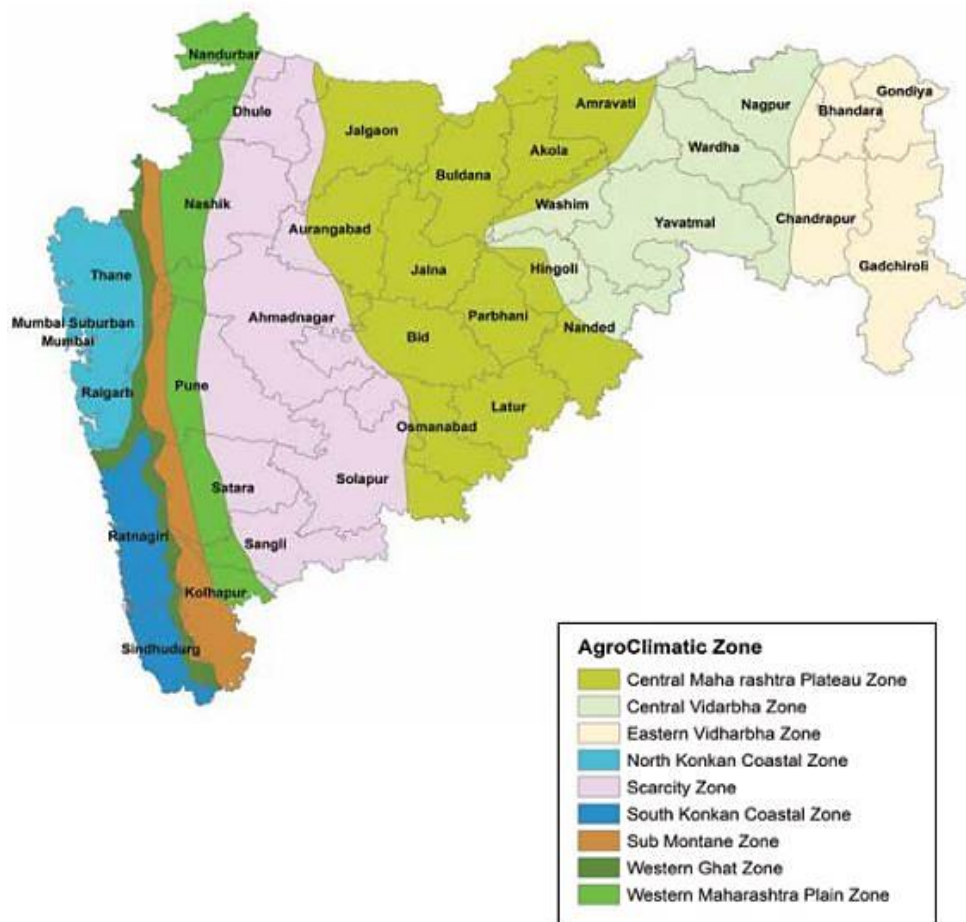
- c) **One Social Development Expert:** A graduate in social sciences with at least 05 years of prior experience in designing and conducting field based primary surveys and multi-stakeholder consultations. S/he should have experience of conducting social assessments for World Bank, or other multi/ bi-lateral agencies, for large-scale projects; understanding of social safeguard policies and their triggers. Sound understanding of social and gender issues around enterprise development; and livelihoods related to inclusion, restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing. S/he should preferably have knowledge and experience in working and understanding of the State's social context and handling community based NRM / livelihoods issues.
- d) **Gender Expert:** Graduate in social science with five years' research and experience in gender related issues; familiar with current discourse on gender issues, and knowledge in designing, monitoring and evaluating gender and inclusion projects in development.
- e) **One Agro-Food Processing Industry Expert:** A graduate in science/engineering, preferably from food processing related discipline. S/he should have at least 08 years of prior experience in food processing sector with familiarity of FSSAI functioning, requirements and related aspects.
- f) **One Quality Assurance Expert:** A graduate in science/engineering with at least 05 years of prior experience in working on quality assurance, preferably in food processing sector. Familiarity with food safety standards is essential.

V. Timeline of Deliverables:

Milestones for ESMF Study	Timelines (from issuance of Contract)
Inception Report for ESA with detailed field visit schedule and stakeholder consultation plan; the inception report should include data collection instruments	01 st -02 nd Week
Field visits and stakeholder consultations	02 nd -05 th Week
Draft ESA report with ESMF	06 th -07 th Week
Draft ESMF and consultation workshops	08 th Week
Final ESMF Report along with all data collected for writing the reports	09 th -10 th Week
A power-point presentation of the final ESA and ESMF reports	11 th -12 th Week
Need Based Changes	13 th -14 th Week onwards

Please Note: The Implementation period of the given assignment shall be of 03 to 03.10 Months (approx. 13-14 Weeks)

Annexure 1: ESA Exercise to be carried out Covering Selected Indicators (mentioned above) and taking representative samples from the 09 Agro-Climatic Zones of Maharashtra under the SMART Project



Preference shall be given to persons with experience of working on projects supported by multi-lateral/bilateral funding agencies such as the World Bank, ADB, etc. Knowledge and experience in working for environmental compliance of the World Bank's projects is desirable.

- c) **One Social Development Expert:** A graduate in social sciences with at least 05 years of prior experience in designing and conducting field based primary surveys and multi-stakeholder consultations. S/he should have experience of conducting social assessments for World Bank, or other multi/ bi-lateral agencies, for large-scale projects; understanding of social safeguard policies and their triggers. Sound understanding of social and gender issues around enterprise development; and livelihoods related to inclusion, restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing. S/he should preferably have knowledge and experience in working and understanding of the State's social context and handling community based NRM / livelihoods issues.
- d) **Gender Expert:** Graduate in social science with five years' research and experience in gender related issues; familiar with current discourse on gender issues, and knowledge in designing, monitoring and evaluating gender and inclusion projects in development.
- e) **One Agro-Food Processing Industry Expert:** A graduate in science/engineering, preferably from food processing related discipline. S/he should have at least 08 years of prior experience in food processing sector with familiarity of FSSAI functioning, requirements and related aspects.
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Please Note: The Implementation period of the given assignment shall be of 03 to 03.10 Months (approx. 13-14 Weeks)



Inception Report on Environment and Social Assessment of SMART Project

State of Maharashtra's Agribusiness and Rural
Transformation (SMART)

27 March 2019

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Inception Report on Environment and Social Assessment of SMART Project

**State of Maharashtra's Agribusiness and Rural
Transformation (SMART)**

27 March 2019

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Contents

1	Introduction	1
1.1	Background	1
1.2	Need of the Study	2
1.3	Reference Studies	2
1.4	Way forward	2
2	Project Scope	3
2.1	Project Development Objective	3
2.1.1	Project components	3
2.2	Project Financing	4
2.3	Project beneficiaries	4
2.4	Project Coverage	4
2.5	Key results	5
2.6	Assignment need and context	6
3	Assignment Approach and Methodology	8
3.1	Desk Research	8
3.2	Secondary Data Collection	9
3.3	Field visit and Stakeholder Consultations	10
4	Way Forward	15
4.1	Work Plan	15
4.2	Work Plan	16
4.3	Deployment Schedule	16
4.4	Deployment Schedule	17
4.5	Client Support Required	18
5	Quality Assurance Plan	19
5.1	Implementation	19
5.2	Project Review	19
5.3	Change Control	20
5.4	Document Management	20
5.5	Peer Assistance	20
5.6	Project Plan of work	21
5.6.1	General	21
5.6.2	Organisation and Responsibilities	21
	Appendices	23

A.	Data Requirement	24
B.	Stakeholder Questionnaire – FPOs	26
B.1	Bajra	26
B.2	Banana	28
B.3	Beans	31
B.4	Black Gram	34
B.5	Brinjal	37
B.6	Cashew nut	39
B.7	Chilli	42
B.8	Cotton	45
B.9	Cucumber	47
B.10	Custard Apple	50
B.11	Goat	52
B.12	Gourds	54
B.13	Gram	57
B.14	Grapes	59
B.15	Green Gram	62
B.16	Guava	65
B.17	Jowar	67
B.18	Maize	70
B.19	Mandarin / Orange	73
B.20	Mango	75
B.21	Millet	78
B.22	Okra	81
B.23	Onion	83
B.24	Paddy	86
B.25	Papaya	89
B.26	Pomegranate	91
B.27	Potato	94
B.28	Red Gram	97
B.29	Sapota	99
B.30	Sheep	102
B.31	Soybean	104
B.32	Sweet Lime	106
B.33	Tomato	109
B.34	Turmeric	112
B.35	Wheat	115
C.	Stakeholder Questionnaire – Industry	118
D.	Stakeholder Questionnaire – Slaughterhouse	120

E.	Stakeholder Questionnaire – Wholesale / Market	122
F.	Stakeholder Questionnaire – Retailer	124
G.	Social Assessment – Household Questionnaire	126

1 Introduction

1.1 Background

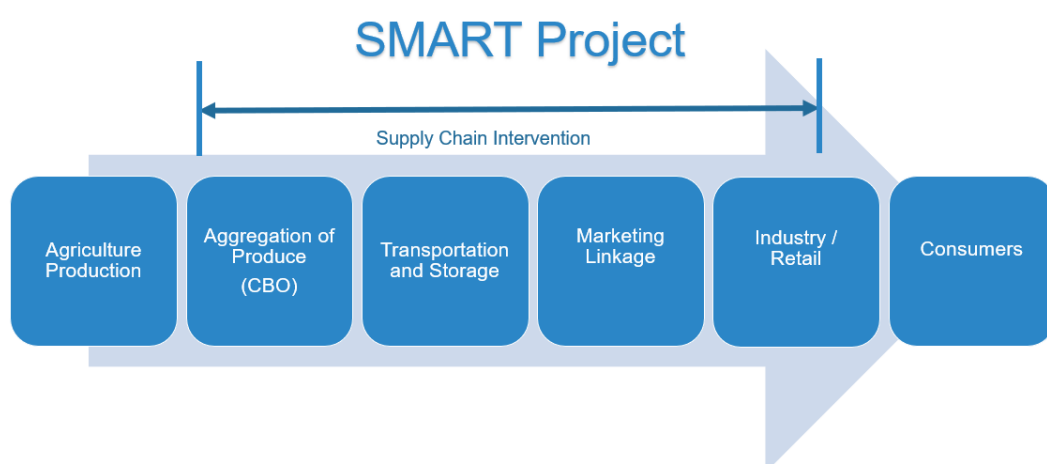
Maharashtra has widespread dependence on agriculture with 55 % of its total population directly or indirectly dependent on this sector (Niti Aayog). The State accounts for 11.81% of the India's Gross Cropped Area (GCA), contributes 13.31% to the country's GDP and 11 % to its own income. Agriculture has grown at an annual average rate of 6.4% from 2004-05 to 2011-12 in the State. Maharashtra's share in Indian food processing is about 13 %. However, the sector is yet to harness the full potential in terms of contribution to GDP, job creation and addressing challenges posed by socio-environmental and climate change factors. The present agricultural production system in Maharashtra lacks in aggregation by the farmers themselves leading to rent seeking by a long chain of intermediaries. For favouring market led strategy conducive to farmers, there is pressing need to facilitate aggregation of farm produce through the development of producer organizations and provide them market linkage through end-to-end solutions in Public-Private Partnership (PPP) mode.

Govt. of Maharashtra aims to implement SMART Project¹ to revamp agricultural value chains, with special focus on small and marginal farmers across the State aligned with the Government of India's efforts towards doubling of farmers' income by 2022.

The proposed Project Development Objective (PDO) is:

“To support the development of inclusive and competitive agriculture value chains, focusing on small holder farmers and agri-entrepreneurs in Maharashtra”.

This will be achieved by expanding access to new and organized markets for producers and enterprises with complementary investments in technical services and risk management capabilities”. The project is expected to benefit approximately 2000 FPOs of the State through the development of the productive partnerships between them and private entities, MSMEs, start-ups, etc.



¹ <http://www.smart-mh.org/en>

1.2 Need of the Study

The stress on farmers caused due to lower economical return of their investment in farming are the leading causes of various negative impact on the farmers' community. This is triggered through environmental degradation of water environment, soil suitability, poor pest management and development of resistance in pests. This has also resulted in poor food safety standards leading to various diseases, nutrient loss and finally resulting loss of marketing competence in international and national level.

To address these issues government of Maharashtra with support of world bank has brought the State of Maharashtra Agro- business and rural transformation project. the present study includes

- Social Assessment
- Review and legal and Policy Environment
- Analysis of GHG foot Print and climate risk in Select value chain
- Stakeholder consultation
- Assess food safety standards
- Identify environmental impact and risk
- Assess capacity of PMU
- Environmental and Social Management Framework

1.3 Reference Studies

Over several decades Mott MacDonald is working for various clients in project planning feasibility, design, specification, project management and construction supervision in similar projects. similar studies will be referred preparation of this project

The studies available in public domain will also be referred for this study.

1.4 Way forward

This section explains the work plan and deployment schedule of the study.

2 Project Scope

Agriculture continues to drive the Indian economy with more than 54% of the population engaged in agriculture and allied activities as indicated by census 2011 data. The scenario is similar in the State of Maharashtra except that there has been a cropping transformation from food grains to cash crops. However, the sector is plagued by lack of aggregation among farmers resulting in the involvement of a long chain of intermediaries. Hence the Government of Maharashtra conceptualized the implementation of the State of Maharashtra's Agribusiness and Rural Transformation (SMART) Project to facilitate aggregation of farm produce through the development of producer organizations and provide them market linkage through end-to-end solutions in Public-Private Partnership (PPP) mode.

2.1 Project Development Objective

The proposed Project Development Objective (PDO) is to support the development of inclusive and competitive agriculture value chains, focusing on small holder farmers and agri-entrepreneurs in Maharashtra.

2.1.1 Project components

The project has five major components. The detailed components, objectives, and activities are provided in the following:

Table 1: Project Components

Component	Objective	Activities
1. Supporting Enterprise Growth and Expanding Market Access	Enhance provision of relevant Technical and Business Development Services (BDS) to agribusiness enterprises, improve both domestic, and export market access	a. Provide a range of technical services to agri-enterprises and CBOs including product development and quality; food safety and traceability; assistance for developing business plans and commercial loan applications; adoption of new technologies; and skills training. b. Financing Market Access Plans for CBOs and agri-enterprise associations including support to meet domestic/global food quality standards. c. Productive Partnership for supporting linkages between CBOs and lead commercial buyers d. Scaling up export-linked clusters through support for adoption of elite planting materials, and implementation of Good Agricultural Practices Standards at the cluster-level. e. Supporting increased testing and technical service provision to improve food safety standards at the regional level. f. Pilot program on urban food systems to effectively link agricultural production in surrounding areas to the selected cities
2. Building Risk Mitigation Mechanisms	Enhance capacity to respond to commodity-price fluctuations and agriculture sector crises; develop access to timely information on markets and productions trends and enhance access of producers to financing and hedging instruments	a. Systematic monitoring and reporting of crop production and yields; price forecasting for key commodities; and disseminating this information widely. b. Setting up a Crisis Response Cell within the Department of Agriculture to proactively respond to rapid price fluctuations and agricultural distress.

Component	Objective	Activities
		c. Expand use of Warehouse Receipt Financing through improved quality and management of notified warehouses, and assisting producers with using the financing instrument
3. Enhancing Institutional Capacity for Agribusiness Reforms	Support the State in conceiving and implementing an evidence-based agribusiness support reform program; and to better manage risks arising from integration into global markets	a. Research, evaluations and monitoring mechanisms of reform efforts b. Training and capacity building of staff of concerned government departments c. Setting up Agribusiness Stewardship Councils to coordinate actions to increase competitiveness of key commodities
4. Project Management, Monitoring and Evaluation	Strengthen capacities for Project Management, Monitoring and Evaluation (M&E) (including, inter alia, procurement and financial management)	Provision of goods, consultant services, training, and financing of incremental operating costs

Source: Terms of Reference

2.2 Project Financing

The project will be finance to the tune of US\$300 Million. The details of project financing are provided in table below:

Table 2: Project Financing Details

Description	Cost in US\$, Million
Total project cost	300
World Bank group financing	210
Borrowing agency financing	80
Other sources	10

Source: Project Information Document

2.3 Project beneficiaries

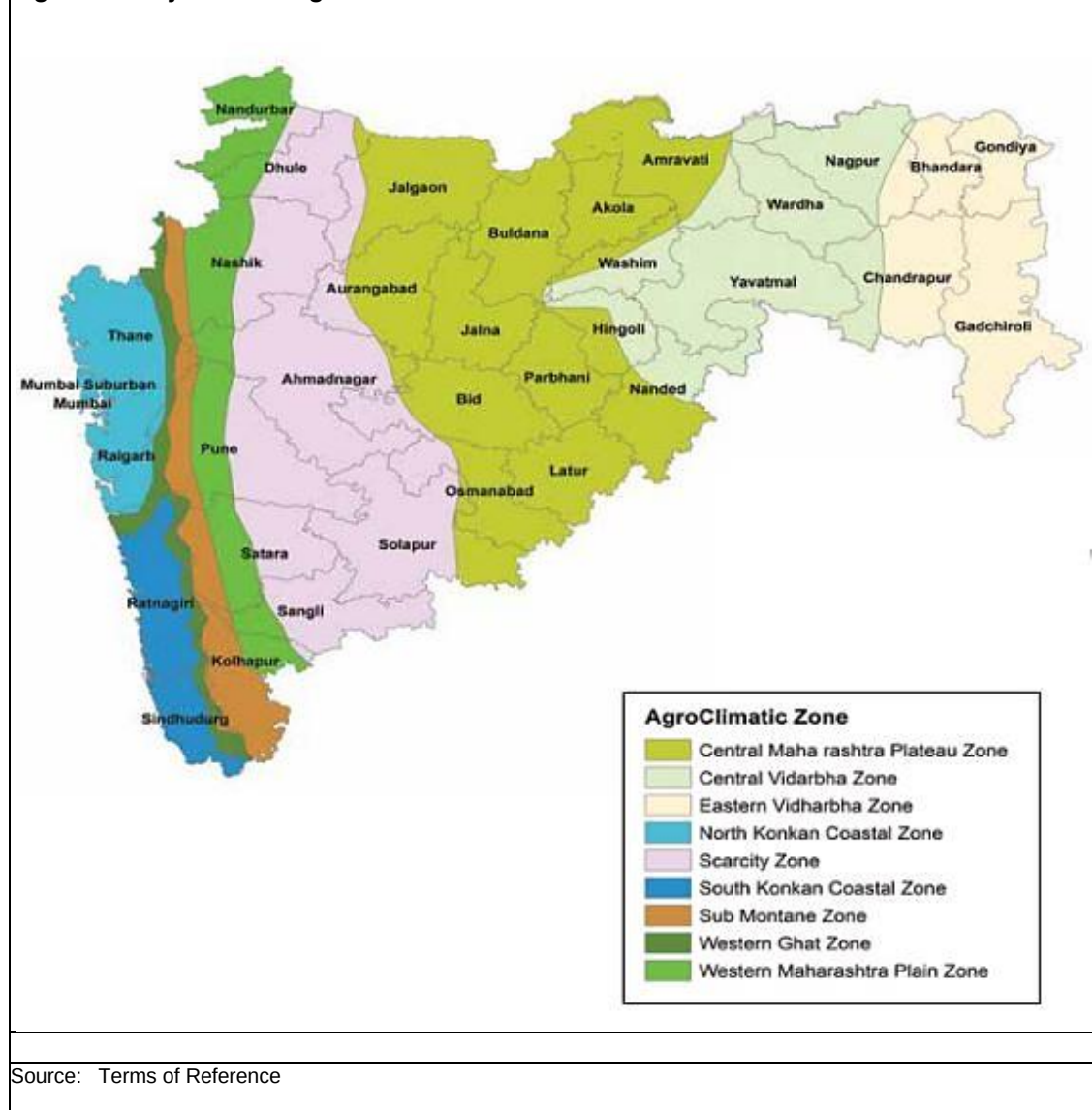
The project beneficiaries include:

- Producers / farmers
- Community based organizations – SHG federations, farmer producer organizations (FPO), and Primary Agriculture Cooperative Societies (PACS).
- Agri participants
- Value chain participants
- Relevant individuals

2.4 Project Coverage

The SMART Project will be implemented in the nine agro-climatic zones of the State. The details of the coverage are shown in the following map:

Figure 1: Project Coverage



2.5 Key results

The key result areas for the project are as follows:

- Increased access to new and organized markets, measured by increase in the value of marketed output at the beneficiary level (gender disaggregated with a target for increased access for women producers)
- Beneficiaries of job-focused interventions measured by the number of beneficiaries reached by training, employment in processing, entrepreneurial development and other interventions (gender disaggregated)
- Farmers reached with agricultural assets or services (gender disaggregated)

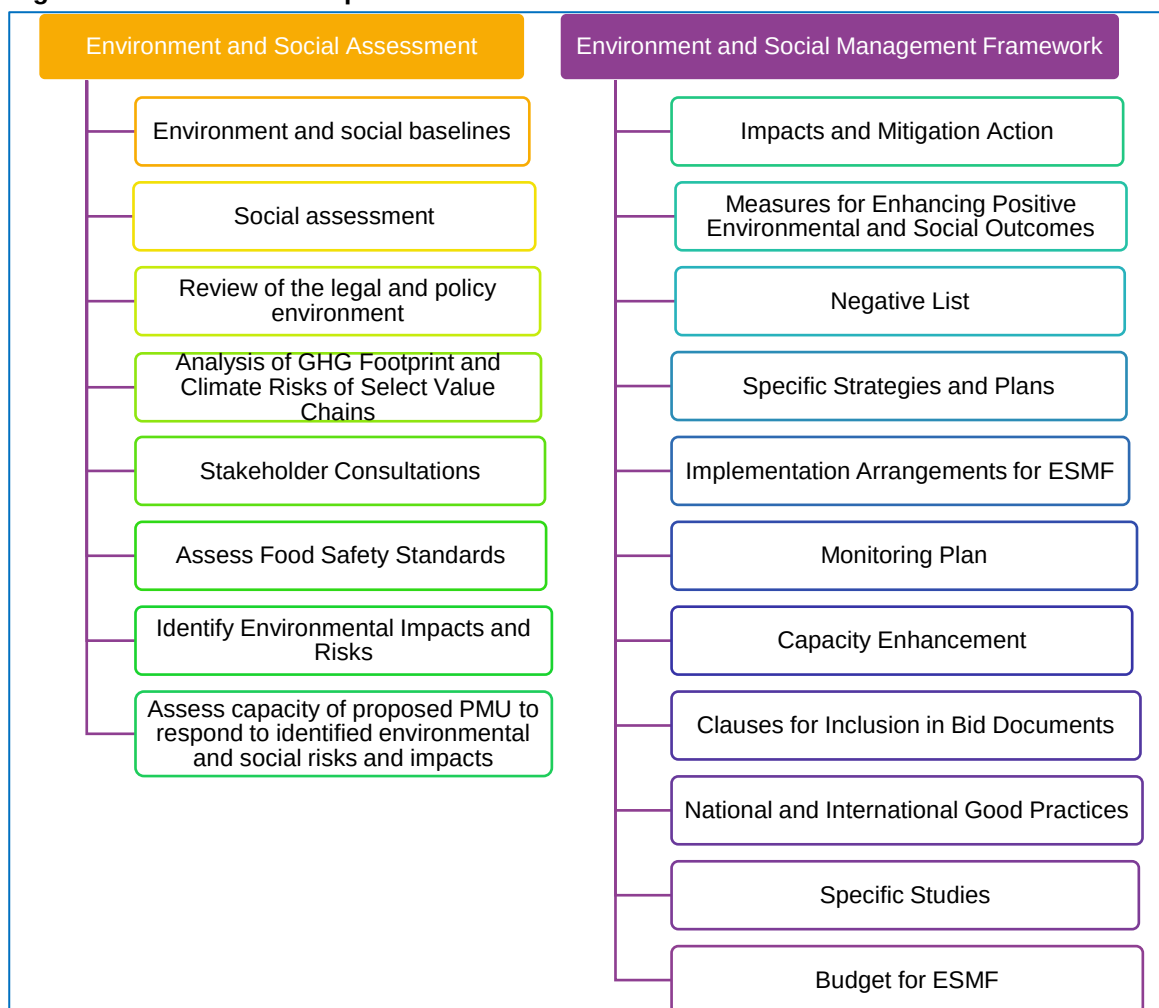
2.6 Assignment need and context

Prior to the SMART Project implementation, the project proposed to carry out an Environment and Social Assessment (ESA) study to assess the environmental and social concerns associated with the proposed project interventions and factor in the key learnings in the project planning and implementation. Mott MacDonald has been contracted by SMART to undertake the assessment. The purpose of this consultancy assignment is to:

- i. Conduct an Environment and Social Assessment (ESA) to identify and assess potential environmental and social impacts and risks in the implementation of the SMART project and;
- ii. Based on the findings of the ESA, prepare an Environment and Social Management Framework (ESMF), to avoid, minimize and mitigate potential adverse environmental and social impacts of the project's proposed interventions and enhance the potential positive environmental and social impacts of the project interventions.

The assignment comprises two major aspects namely, the ESA and the development of the framework based on the ESA. This is summarized in the following:

Figure 2: Summarized Scope



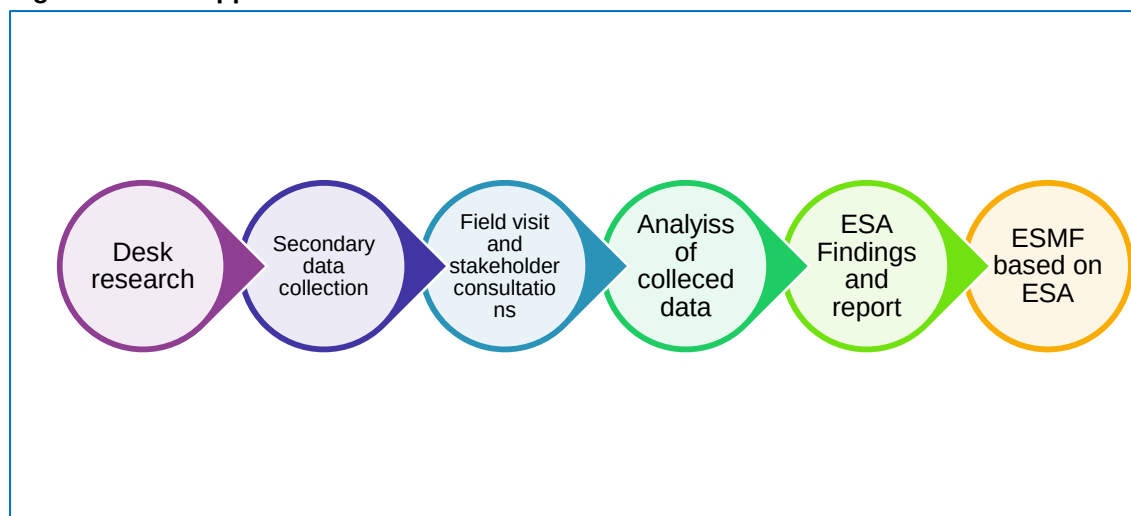
Source: Terms of Reference

The detailed scope of work and our approach, methodology and work plan for the assessment are presented in the next chapter.

3 Assignment Approach and Methodology

The proposed ESMF to be developed under the study through the ESA will be guided by principles rooted in Indian Government policies that provide high-level governance for the SMART project. The role of the ESA is to check the adherence of the design of SMART project to these principles. The principles also guide the implementation of environmental and social policies and plan in selection of activities and its execution. We have set out below our proposed brief approach using a phased format to facilitate understanding:

Figure 3: Brief Approach



The detailed methodology for the assignment is provided in the following.

3.1 Desk Research

We will review the existing legal and policy environment of Government of India and Government of Maharashtra in relation to their applicability to the proposed project interventions, investments and compliance.

- World Bank guidelines - We will review the applicability of the World Bank's Environment and Social Safeguards Policies (OP 4.01 - Environmental Assessment, OP4.03 - Performance Standards for Private Sector Activities, OP4.04 – Natural Habitats, OP 4.09- Pest Management, OP 4.10 - Indigenous Peoples and OP 4.12 - Involuntary Resettlement, etc.). Identify which of the environmental and social laws are applicable to the project along with the World Bank's safeguards policies triggered by the project and provide adequate justification as well as ensure that mitigation measures and actions are included in the ESMF to meet the requirements of the triggered policies.

ESA standards shall reflect the environmental and social policy areas of highest concern to SMART project and address areas where the project might fall short in implementation. The four standards which can be considered are: The Standard on Involuntary Resettlement and Access Restrictions;

- The Standard on Indigenous Peoples

- The Standard on Biodiversity Conservation and Sustainable Use of Natural Resources
- The Standard on Cultural Heritage

To ensure systematic application of the ESMF to be developed, these steps shall be integrated into the project cycle.

- The national and state level legislation will be studied, and application will be made in this assignment. The relevant laws are given below but this is not limited these.

Table 3: Relevant Laws

S. No.	Relevant Laws
1	The Environment (Protection) Act, 1986 (amended in 1991)
2	The Environment (Protection) Rules, 1986
3	The Air (Prevention & Control of Pollution) Act, 1981
4	The Water (Prevention & Control of Pollution) Act, 1974
5	The Noise Pollution (Regulation & Control) Rules, 2000
7	The Pesticides Management Act, 2008
8	The Forest (Conservation) Act, 1980 (amended in 1988)
9	Hazardous and Other Waste (Management and Transboundary Movement) Rules, 2016
10	Solid Waste Management Rules, 2015
11	The Bonded Labour System (Abolition) Act, 1976
12	The Child Labour (Prohibition and Regulation) Act, 1986
13	The Minimum Wages Act, 1948 and rules made thereunder
14	The Contract Labour (Regulation and Abolition) Act, 1970
15	The Workmen's Compensation Act, 1923
16	The Equal Remuneration Rules, 1976
18	The Maternity Benefits Act, 1961
19	The Trade Union Act, 1926
20	The Employees Provident Funds and Miscellaneous Provisions Act, 1952
21	The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013
22	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013

3.2 Secondary Data Collection

The baseline of nine agro-climatic zones of Maharashtra will be established by reviewed the secondary documents on relevant indicators. For environmental assessment the following secondary data will be collected from IMD and other sources:

Table 4: Environmental Data to be collected from secondary sources

Environmental categorisation	Indicators
Topography	Map
Geology and Soil	Map, Soil Type, Soil Quality
Climate and Rainfall	Temperature, humidity, Rainfall
Biodiversity and Forest	Forest Map, location of hot spots
Land Use Pattern	Map
Natural Calamities	Cyclone, Draught, Flooding, earthquake data
Water Resources	River map, water table
Wetland	
Water Quality	Water Quality

Environmental categorisation	Indicators
Agro Pest in Maharashtra	Name of the pests, Location, plants
Diseases in Maharashtra	Name of diseases, prevalent area and crops
Pesticide handling and Storage	List of pesticides used
Solar Power in Agriculture	Solar power, energy generated
Irrigation (Surface Water)	Area irrigated and type of irrigation
Health and Safety – Food and Beverage	Food standard

For social assessment the following secondary data will be collected from census 2011 and other sources:

Table 5: Socio-economic data to be collected from secondary sources

S. No.	Indicators
Demographic Data - National, State and Project district level	
1.	Total population
2.	Average household size
3.	Urban population
4.	Rural population
5.	% of males to total population
6.	% of females to total population
7.	Population density
8.	Decadal growth rate
Social Profile Data - National, State and Project district level	
9.	Sex ratio
10.	Literacy rate among males
11.	Literacy rate among females
12.	SC population (in % total population)
13.	ST population (in % total population)
Economic Profile Data - National, State and Project district level	
14.	Workforce Participation Rate (% to total population)
15.	Main workers (% in total working population)
16.	Male workers (% in total working population)
17.	Workforce in Primary Sector (% to total population)
18.	Population below poverty line (% to total population)
19.	Rural population below poverty line (% to total population)
20.	Urban population below poverty line (% to total population)
21.	Workforce Participation Rate (% to total population)
Land Holding Size by size classes - National, State and Project district level	
22.	Marginal (below one hectare)
23.	Small (1-2 hectare)
24.	Semi-medium (2-4 hectare)
25.	Medium (4-10 hectare)
26.	Large (10 hectare and above)
27.	Human Development Index - National, State and Project district level

3.3 Field visit and Stakeholder Consultations

The list of stakeholders to be contacted during field visits to the nine agro-climatic zones are as follows:

- Community Based Organizations (CBOs) - Farm producing companies (FPC), Cluster Level Federations (CLF), Primary Agricultural Credit Societies (PACS), Community-managed Resource Centers (CMRC)
- Farmer households
- Warehousing / cold storage facilities
- Industry / retail representatives

Specific secondary data requirement and stakeholder questionnaires prepared are presented in the annexures to this inception report.

The Mott MacDonald team will cover 50 samples in five agro-climatic zones (Eastern Vidarbha Zone, Central Vidarbha Zone, Central Maharashtra Plateau Zone, North Konkan Coastal Zone and South Konkan Coastal Zone) while client's project staff will collect data for 50 samples in remaining four agro-climatic zones (Western Ghat Zone, Sub-Montane Zone, Western Maharashtra Plain Zone and Scarcity Zone) and from the proposals received for productive partnerships, market access plans and collateral management agencies. The Agency will analyse all the 100 samples.

The primary coordinating department at the field level will be officials of the Agriculture department officials which has been provided by the Project. The field team will thereafter, contact the respective CBOs in the district to collect the data. Among the farmers to be covered equal representation will be made among males and females. Further the sample will constitute primarily SC and ST households. The detailed sampling plan as discussed with the Project is provided in the following:

Table 6: Proposed Sampling Coverage

S. No.	Zones	Division	Districts	Crop/s - top three productivity based on Project data	Crop to be covered - planned	Number of stakeholders to be covered			
						Farmers	Farmer CBOs	Warehouse facility	Industry / retail
Mott MacDonald Field Team Coverage									
1	North Konkan Coastal zone	Konkan	Thane	Rice, Mango, okra	Okra	2	1	1	1
2			Mumbai	Goatery	Goatery	3	1	1	1
3			Raigad	Tomato, Cucumber, Okra	Cucumber	2	1	1	1
4	South Konkan Coastal zone	Konkan	Ratnagiri	Rice, urid, cashew	Cashew	4	1	1	1
5			Sindhudurg	Rice, mango, banana	Mango	2	1	1	1
6			Palgarh	Rice, urid, gram	Gram	2	1	1	1
7	Central Vidharbha zone	Nagpur	Nagpur	Cotton, orange, gram	Orange	2	1	1	1
8			Wardha	Cotton, wheat, urid	Wheat	2	1	1	1
9	Eastern Vidarbha zone		Bhandara	Wheat, tur, onion	Onion	2	1	1	1
10			Gondia	Rice, gram, tur	Tur	2	1	1	1
11			Chandrapur	Wheat, jowar (rubbi), urid / soyabean	Jowar (Rubbi)	2	1	1	1
12			Gadchiroli	Wheat, gram, rice	Rice	2	1	1	1
13	Central Maharashtra Plateau zone	Amravati	Amravati	Wheat, cotton, urid	Cotton	2	1	1	1
14			Buldhana	Jowar (kharif), wheat, gram	Jowar (kharif)	2	1	1	1
15			Akola	Onion, brinjal, tomato	Tomato	2	1	1	1
16			Washim	Jowar (kharif), papaya, orange	Papaya	2	1	1	1
17			Yavatmal	Wheat, mung, gram	Mung	2	1	1	1
18			Jalgaon	Wheat, jowar (kharif), urid	Urid	2	1	1	1
19			Latur	Latur	Wheat, maize, gram	Maize	2	1	1
20		Osmanabad		Wheat, maize, grapes	Grapes	2	1	1	1
21		Nanded		Sweet lime, banana, green chillies	Sweet lime	2	1	1	1
22		Parbhani		Wheat, soyabean, jowar (kharif)	Soyabean	2	1	1	1
23		Hingoli		Jowar (kharif and rubbi) and wheat	Poultry	3	1	1	1
		Sub-total				50	23	23	23
SMART Project Team Coverage									
24	Western Ghat zone		Dhule	Pomogranate, onion, poultry	Pomogranate	4	1	1	1

S. No.	Zones	Division	Districts	Crop/s - top three productivity based on Project data	Crop to be covered - planned	Number of stakeholders to be covered			
						Farmers	Farmer CBOs	Warehouse facility	Industry / retail
25	Western Maharashtra Plain zone	Pune division	Nandurbar	Beans, papaya, orange	Beans	4	1	1	1
26			Pune	Onion, potato, pomogranate	Chikoo, Guava	8	1	1	1
27			Ahmednagar	Pomogranate, grapes, custard apple	Custard apple	4	1	1	1
28			Solapur	Wheat, gram, banana	Banana	4	1	1	1
29	Scarcity zone	Aurangabad	Aurangabad	Wheat, maize, green chillies	Green chillies	4	1	1	1
30			Jalana	Wheat, maize, soyabean	Maize	4	1	1	1
31			Beed	Wheat, bajra, gram	Bajra	4	1	1	1
32	Sub-montane zone	Kolhapur	Kolhapur	Potato, brinjal, Jowar (kharif)	Potato	4	1	1	1
33			Satara	Maize, jowar (kharif and rubbi), gram	Gram	4	1	1	1
34			Sangali	Brinjal, grapes, pomogranate	Brinjal, Turmeric	8	1	1	1
Sub-total						52	11	11	11
Total						102	34	34	34

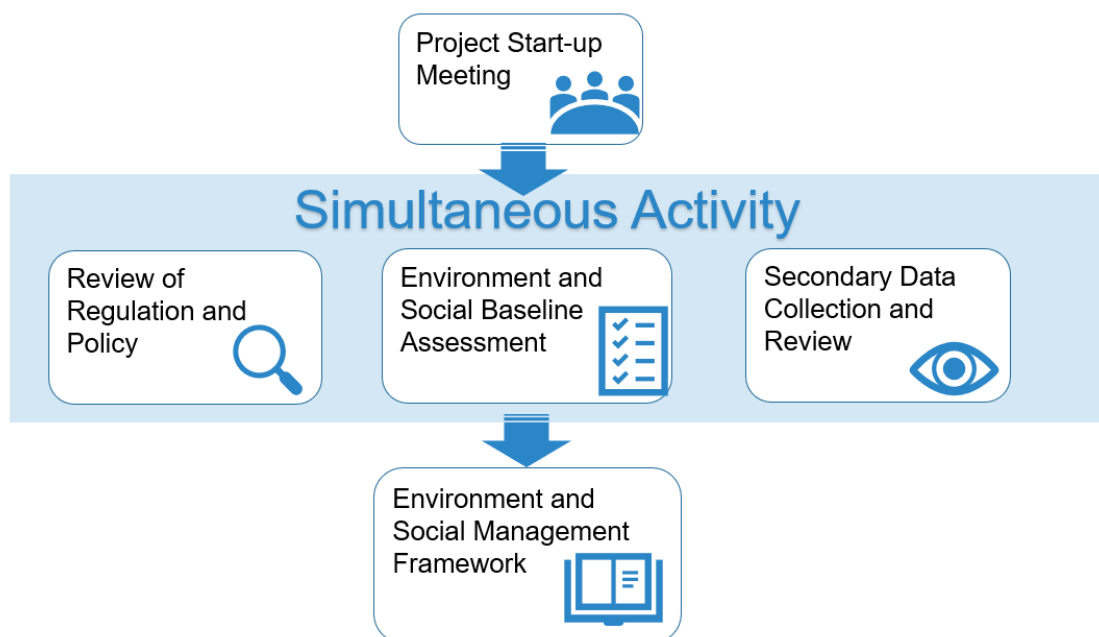
It is estimated that in each district the field team will incur one – two days for collecting the data and the entire data collection will be completed in two-three weeks. Once the above plan is approved by the Project, a detailed field visit plan will be provided. The field team members will be subsequently trained adequately, before commencement of data collection.

The analysis and report preparation will be made suited to the needs of the Project and as per the requirements of the terms of reference. The details of the work plan for the assignment is presented in the next chapter.

4 Way Forward

4.1 Work Plan

The work plan to be followed for the project is as indicated below.



Detailed workplan indicating date of activity in indicated below.

[illegible]

The deployment schedule followed for the project is given below.

4.4 Deployment Schedule

[illegible]

4.5 Client Support Required

The project falls under nine climatic zone of the Maharashtra. It is envisaged that the following facilities convenience services are required to fulfil the obligation of the Agreement.

- Official Certificate or Identification Card
- Any data, information or report available in connection to the said project
- Letter to procure data,
- Letter respective department for collection of secondary data
- Provide nodal officers of the state from where data will be obtained,
- Provide ground level support staff for Stage holder consultation to be carried out Mott MacDonald Team in the five climatic regions of Maharashtra

5 Quality Assurance Plan

5.1 Implementation

Mott MacDonald has certification of following at group level and unit level of DNV GL. DNV GL is an international accredited registrar and classification society headquartered in Høvik, Norway.

- ISO 9001:2015 – Quality (Q)
- ISO 14001:2015 – Environment (E)
- ISO 45001:2018 – Health & Safety (S)
- BS 10500 – Anti-Bribery Management (AB)
- ISO 27001 – Information Security (IS)

STEP is our fully integrated Business Management System (BMS), covering every aspect of our business. It is a common way of working, including standard processes that are followed by our staff wherever they are in the world.

STEP is an online system, to which all staff have access, providing guidance, tools and support to ensure 'right first time' delivery, in three areas:

WIN: How we win work, manage client relationships and develop new products and services

DO: How we manage and deliver projects to the highest standards of wellbeing, health, safety and security and ethics, helping us deliver economic, social and environmental benefits

LEARN: How we share knowledge for better decision-making and encouraging global collaboration.

These processes are supported by:

GOVERN: Setting out strategy, policy, risk and operational processes

ENABLE: Processes supporting project delivery, covering finance, resourcing, IT support, legal advice and marketing.

5.2 Project Review

The reviewer will review such aspects of the project overall as they consider necessary in accordance with the Project Principal's briefing in order to confirm that the approach being taken is the most effective in meeting the project objectives and the Client requirements. The Reviewer is responsible for the overall review of the project but will call upon the assistance of a suitably experienced person to assist with the review of certain specialist disciplines so that the review is suitably comprehensive.

Reviewers shall be of sufficient seniority and experience to be able to make an assessment of the project objectives and decide whether these are being and/or will be met in the most appropriate manner. They shall be experienced in the main disciplines involved in the project and, as far as possible, shall be independent of the day-to-day project team.

The review stages are proposed as follows:

- Following finalisation of Project Plan and the early stage of the deliverables.

- Following major changes in the brief or project philosophy
- Sufficiently in advance of the completion of significant stages of the work (e.g. calculations, drawings and documents)
- Sufficiently in advance of the issue of major deliverables
- Prior to commencement on site or other implementation based on our work

5.3 Change Control

It is imperative that for the project of this scale, changes occur during the design development phase. The Team Leader/Project Manager will identify all such changes being made and manage the change control process. Internally he will ensure that any change occurring for any particular discipline is communicated to all other discipline through internal change control form so to assess the impact of the change on their respective services, assess its effect and the cost and programme implications.

In case the change is additional to the given contractual scope, he will also notify the Client that a change to the Consultancy Agreement/Scope of Services has occurred and establish the contractual entitlement to be reimbursed for the effects of the change; and having the Client's agreement (or otherwise) to an interpretation of the change.

5.4 Document Management

Document management for such nature of project is very crucial aspect considering large volume of work and no. of reports to be generated and submitted. Project Manager has been appointed with this intent to manage the complete documentation process. He will be completely responsible for identifying and recording all the deliverables being issued to Client including the management of version control.

5.5 Peer Assistance

The objective of Peer Assist is to draw on the global expertise in the Mott MacDonald to tackle issues that may not have been identified at the time of project preparation as well as tackling the more technically challenging areas of the project. This has proven to lead to reduced risks, more efficiency and an improved service for our customers. It also stimulates innovation, learning, continuous improvement and mentoring. Peer Assist will identify where experience and best practice may be applied to add value to the project and suggest alternative approaches where appropriate.

The Project Principal in conjunction with the Team Leader/Project Manager shall assess needs for Peer Assist at all stages of projects. Peer Assist for the project will be implemented with the support of the Technical/Review Director. Relevant Professional Heads shall be included within the Peer Assist.

The Peer Assist team should be involved as soon as practicable. Consideration should be given to continuity, how the project will develop, and how the aid of Peer Assist can best be utilised. Involvement and input of the Peer Assist team should extend throughout the project.

The focus should be on the specific issues of concern. This should be cost effective and will help the Peer Assist to focus on the key issues.

Involving a Peer Assist Team in brainstorming and workshops can be very effective. Early involvement of Peer Assist should help to identify any issues that need addressing before change becomes impractical – including opportunities for adding value and innovation.

5.6 Project Plan of work

5.6.1 General

The Group's main business is project based, which is driven by customers and markets, professional excellence, profit generation and cash collection.

Projects are managed such that the additional Client requirements are translated into project requirements which are identified in a Project Plan of Work, sometimes referred to as a Quality Plan. Project Plans of Work are prepared for each project on or soon after commencement.

Also, this identifies and control the project processes and the same are approved by the Project Principal prior to issue. Project Plans of Work are issued as controlled documents to all key personnel associated with the project and are subject to revision when data contained in the Plan is changed.

This is prepared by the project manager to define the project team structure, roles and responsibilities, quality assurance plan with established checking, monitoring and review system and procedures to be applied to the project. Divisional, project office and site audits will undertake by independent internal auditors to verify that project and other work activities comply with planned arrangements.

Audits are undertaken by the Quality, Environmental and Safety Management System Department, which is independent of a technical involvement in the Group's projects.

The Project Manager will be responsible for any subsequent addenda and revisions and will be responsible for ensuring implementation of the same. Project Principal will approve the Project Plan of Work, addenda and revisions.

Periodic review of the deliverables/milestones will be done independently by the appointed reviewer. The findings of these reviews are fed back to individual engagement teams and the firm's senior management.

The quality of the end-product is a result of good program and project management, accurate requirements, good design, adhering to industry leading practices, and effective use of time and resources. In keeping with this, as a part of project plan of work, quality assurance plan will be prepared and implemented at project start-up and will be in place for the entire project duration.

5.6.2 Organisation and Responsibilities

Client's details, identity of the project team members and an organisation chart, any outside services, the Reviewer, BMS Personnel, Project Safety Advisor, Project Sustainability Coordinator, statutory bodies and others associated with the project.

Scope of Work

A description of the main elements of work and the deliverables, work to be undertaken by outside services and any Clients requirements for reporting.

Health and Safety

Confirms the results of the initial Project Safety Review relating to the requirements for a Health & Safety Risk Assessment, applicability of safety regulations such as those of the UK Construction (Design and Management)

Regulations to the design, requirements for a CDM Co-ordinator, personal protective equipment etc, or confirms the date when the Safety Review will be held.

Environmental Issues

Confirms the results of the Initial Project Sustainability and Environmental Review and any environmental issues that need to be addressed or confirms the date when the Environmental Review will take place.

Design and Performance

Identifies the design and performance criteria, basic design data, codes, standards, regulations and statutory requirements and security.

Methodology

Identifies the methods and overall concept, strategy and options including any Client specific options, computer programs, tests or investigations and control of secure documents.

Project Programme

Identifies key activities in the design process including dates and deliverables.

Checking and Approval

Identifies the scope of checking for deliverables and incoming documents, the checkers and those authorised to approve the issue of calculations, drawings and reports.

Project Review

Identifies the stages in the programme of activities when reviews shall be most effectively held.

Quality Environment and Safety System Audits

Identifies the internal audit requirements, and preferred dates, any Client requirements for audit of the implementation of the BMS on the project and audit of any Outside Services supplier.

Applicable Procedures

Identifies that the BMS requirements applicable to the project are recorded. Also identifies requirements for any Client procedures, project specific procedures and procedure for circulation of incoming correspondence where differing from normal Divisional procedures.

Records

Identifies any specific documentation control to be produced and maintained on the project and references the Register of Project Files. Also identifies the minimum retention period of 15 years for project records in the archive system following completion of the project.

Project Control System

Identifies the system to be implemented for project control reporting, for monitoring progress against programme, variations and resource requirements. The frequency of updating the reports shall also be recorded.

Project Plans of Work, are controlled documents and are reviewed and revised as necessary as the work progresses, all revisions being recorded.

Appendices

A.	Data Requirement	24
B.	Stakeholder Questionnaire – FPOs	26
C.	Stakeholder Questionnaire – Industry	118
D.	Stakeholder Questionnaire – Slaughterhouse	120
E.	Stakeholder Questionnaire – Wholesale / Market	122
F.	Stakeholder Questionnaire – Retailer	124
G.	Social Assessment – Household Questionnaire	126

A. Data Requirement

MM would require district wise information from secondary source for the study as indicated in the table below:

Table 7: Secondary Data Requirement

S. No	Data Requirement	Indicator	Status / Source
Environmental Data Requirement (District wise)			
1	Topography	Map	
2	Geology and Soil	Map, Soil Type, Soil Quality	
3	Climate and Rainfall	Temperature, humidity, Rainfall	
4	Biodiversity and Forest	Forest Map, location of hot spots	
5	Land Use Pattern	Map	
6	Natural Calamities	Cyclone, Draught, Flooding, earthquake data	
7	Water Resources	River map, water table	
8	Wetland	Name of wetland, location and status	
9	Water Quality	Water quality	
10	Pest Impaction Agriculture	Name of the pests, Location, plants	
11	Diseases impacting Agriculture	Name of diseases, prevalent area and crops	
12	Crop wise utilization of fertilizers	Name of the fertilizer, target crop and utilization practice	
13	Crop wise utilization of pesticides	Name of the pesticides, target crop and utilization practice	
14	Crop wise utilization of other agro-chemical such as insecticides / fungicides / weedicides	Name of insecticides / fungicides / weedicides, target crop and utilization practice	
15	Crop wise requirement of manure	Manure used and utilization level in crops	
16	Crop wise water requirement	Name of the crop and water requirement for its cultivation	
17	Crop Varieties and Yield	Name of the crop variants and its production per hectare.	
18	Extend of use of Solar Power in Agriculture	Solar power, energy generated	
19	Area under irrigation	Area irrigated and type of irrigation	
20	Health and Safety – Food and Beverage	Crop wise Quality standards	
21	Good Agriculture Practice	Crop wise Good Agriculture Practice	
22	Crop wise Maximum Residue Levels	Crop wise Maximum Residue levels	
23	Sheep and goat rearing practices	District wise details on sheep and goat rearing, breeds available, grazing practices, fodder requirements, vaccinations, other medicines, MRL	
24	Women's participation in Agriculture	Crop wise activities handled by women in agriculture, goat rearing and sheep rearing	

S. No	Data Requirement	Indicator	Status / Source
25	Climate change impacts on crops	Crop wise climate change impacts, resistant varieties, measures to resist climate change.	
Socio-Economic Data Requirement			
1	Demographic Data - National, State and Project district level	• Total Population • Average household size • Urban population • Rural population • % of males to total population • % of females to total population • Population density • Decadal growth rate	
2	Social Profile Data (National, State and District Level)	• Sex ratio • Literacy rate among males • Literacy rate among females • SC population (in % total population) • ST population (in % total population)	
3	Economic Profile Data (National, State and Project district level)	• Workforce Participation Rate (% to total population) • Main workers (% in total working population) • Male workers (% in total working population) • Workforce in Primary Sector (% to total population) • Population below poverty line (% to total population) • Rural population below poverty line (% to total population) • Urban population below poverty line (% to total population) • Workforce Participation Rate (% to total population)	
4	Land Holding Size by size classes - National, State and Project district level	• Marginal (below one hectare) • Small (1-2 hectare) • Semi-medium (2-4 hectare) • Medium (4-10 hectare) • Large (10 hectare and above) • Human Development Index	

Source: MM

B. Stakeholder Questionnaire – FPOs

Farmer Producer Organizations (FPO) questionnaires have been prepared for each of the commodity considered under the smart project.

B.1 Bajra

Table 8: FPO Bajra

CBOs Bajra		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Bajra cultivation ?	
16	What is the Average landholding size of the farmer cultivating Bajra?	
17	What is the Average annual production of Bajra per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Bajra cultivation?	
21	What is the water quality required for Bajra cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Bajra cultivation. Please collect information is different variety required different quantity of water per hectare	

CBOs Bajra

26	Are any water conservation measures adopted by the farmers during Bajra cultivation?
27	What are the sources for purchase of seed?
28	What are the variety of Bajra cultivated?
29	Any climate resistant variety available / promoted?
30	What is the rate at which seeds / nursery are available?
31	What are the fertilizers used for Bajra cultivation?
32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Bajra cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Bajra cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Bajra plant in the region?
46	History of Bajra cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Bajra farming?
48	What are the agrochemicals used for Bajra cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Bajra production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Bajra farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?

CBOs Bajra

61	What are the short duration crops grown in Bajra orchards?	
62	What is the quality standard specification of Bajra that you prefer?	
63	Whether the Quality of Bajra produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Bajra given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for Bajra	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Bajra?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Bajra cultivation?	
76	How many SC farmers are engaged in Bajra production?	
77	How many ST farmers are engaged in Bajra production?	
78	How is the work divided among male and female farmers during Bajra cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.2 Banana

Table 9: FPO Banana

CBOs Banana

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	

CBOs Banana

2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under banana cultivation ?	
16	What is the Average landholding size of the farmer cultivating banana?	
17	What is the Average annual production of banana per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for banana cultivation?	
21	What is the water quality required for banana cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for banan cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during banan cultivation?	
27	What are the sources for purchase of tissue cultured plantlets or nursery?	
28	What are the variety of banana cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for banana cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack banana cultivation?	
38	Are Farmers aware of biological trap control for pests?	

CBOs Banana

39	What are the pesticides used for controlling pest in banana cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in banana plant in the region?	
46	History of banan cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in banana farming?	
48	What are the agrochemicals used for banana cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the banana production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for banana farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in banana orchards?	
62	What is the quality standard specification of banana that you prefer?	
63	Whether the Quality of banana produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	Raw Banana: Ripenned Banana:
66	What is the prevailing price of banana given to farmers?	Raw Banana: Ripenned Banana:
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for banana	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	

CBOs Banana

71	How many use soil health cards?	
72	What are the factors which influence the quality of banana?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in banana cultivation?	
76	How many SC farmers are engaged in banana production?	
77	How many ST farmers are engaged in banana production?	
78	How is the work divided among male and female farmers during banana cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.3 Beans

Table 10: FPO Beans

CBOs Beans

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	

CBOs Beans

13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Beans cultivation ?	
16	What is the Average landholding size of the farmer cultivating Beans?	
17	What is the Average annual production of Beans per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Beans cultivation?	
21	What is the water quality required for Beans cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Beans cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Beans cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Beans cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Beans cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Beans cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Beans cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Beans plant in the region?	
46	History of Beans cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Beans farming?	

CBOs Beans

48	What are the agrochemicals used for Beans cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Beans production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Beans farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Beans orchards?	
62	What is the quality standard specification of Beans that you prefer?	
63	Whether the Quality of Beans produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Beans given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for Beans	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Beans?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Beans cultivation?	
76	How many SC farmers are engaged in Beans production?	
77	How many ST farmers are engaged in Beans production?	
78	How is the work divided among male and female farmers during Beans cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:

CBOs Beans

80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?
81	What measures shall be adopted to enhance the performance of CBOs
82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.4 Black Gram

Table 11: FPO Black Gram

CBOs Black Gram

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Black Gram cultivation ?	
16	What is the Average landholding size of the farmer cultivating Black Gram?	
17	What is the Average annual production of Black Gram per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Black Gram cultivation?	
21	What is the water quality required for Black Gram cultivation?	

CBOs Black Gram

22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Black Gram cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Black Gram cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Black Gram cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Black Gram cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Black Gram cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Black Gram cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Black Gram plant in the region?	
46	History of Black Gram cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Black Gram farming?	
48	What are the agrochemicals used for Black Gram cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Black Gram production by farmers? If yes how many farmers have?	

CBOs Black Gram

55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Black Gram farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Black Gram orchards?	
62	What is the quality standard specification of Black Gram that you prefer?	
63	Whether the Quality of Black Gram produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Black Gram given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for Black Gram	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Black Gram?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Black Gram cultivation?	
76	How many SC farmers are engaged in Black Gram production?	
77	How many ST farmers are engaged in Black Gram production?	
78	How is the work divided among male and female farmers during Black Gram cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What is the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.5 Brinjal

Table 12: Brinjal FPO

CBOs Brinjal		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Brinjal cultivation ?	
16	What is the Average landholding size of the farmer cultivating Brinjal?	
17	What is the Average annual production of Brinjal per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Brinjal cultivation?	
21	What is the water quality required for Brinjal cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Brinjal cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Brinjal cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Brinjal cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Brinjal cultivation?	

CBOs Brinjal

32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Brinjal cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Brinjal cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Brinjal plant in the region?	
46	History of Brinjal cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Brinjal farming?	
48	What are the agrochemicals used for Brinjal cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Brinjal production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Brinjal farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Brinjal orchards?	
62	What is the quality standard specification of Brinjal that you prefer?	
63	Whether the Quality of Brinjal produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:

CBOs Brinjal

65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Brinjal given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for Brinjal	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Brinjal?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Brinjal cultivation?	
76	How many SC farmers are engaged in Brinjal production?	
77	How many ST farmers are engaged in Brinjal production?	
78	How is the work divided among male and female farmers during Brinjal cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.6 Cashew nut

Table 13: Cashew Nut FPO

CBOs Cashew nut

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	

CBOs Cashew nut

9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under cashewnut cultivation ?	
16	What is the Average landholding size of the farmer cultivating cashewnut?	
17	What is the Average annual production of cashewnut per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for cashewnut cultivation?	
21	What is the water quality required for cashewnut cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for cashewnut cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during cashewnut cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of cashewnut cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for cashewnut cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack cashewnut cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in cashewnut cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	

CBOs Cashew nut

45	What are the diseases commonly seen in cashewnut plant in the region?	
46	History of cashewnut cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in cashewnut farming?	
48	What are the agrochemicals used for cashewnut cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the cashewnut production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for cashewnut farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in cashewnut orchards?	
62	What is the quality standard specification of cashewnut that you prefer?	
63	Whether the Quality of cashewnut produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of cashewnut given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for cashewnut	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of cashewnut?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in cashewnut cultivation?	
76	How many SC farmers are engaged in cashewnut production?	
77	How many ST farmers are engaged in cashewnut production?	
78	How is the work divided among male and female farmers during cashewnut cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side:

CBOs Cashew nut

Marketing side:	
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?
81	What measures shall be adopted to enhance the performance of CBOs
82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.7 Chilli

Table 14: FPO Chilli

CBOs Chilli		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Chilli cultivation ?	
16	What is the Average landholding size of the farmer cultivating Chilli?	
17	What is the Average annual production of Chilli per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	How do the farmers dry chilli? Do they have sufficient space for drying	
21	How many days it takes for drying?	

CBOs Chilli

22	What is the fuel used for boiling chilli?	
23	How much is the loss due to chilli drying	
24	What is the type of soil used for Chilli cultivation?	
25	What is the water quality required for Chilli cultivation?	
26	What is the source of water for cultivation?	
27	How much Area is covered under irrigation ?	
28	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
29	How much is the water requirement per hectare for Chilli cultivation. Please collect information is different variety required different quantity of water per hectare	
30	Are any water conservation measures adopted by the farmers during Chilli cultivation?	
31	What are the sources for purchase of seed / nursery?	
32	What are the variety of Chilli cultivated?	
33	Any climate resistant variety available / promoted?	
34	What is the rate at which seeds / nursery are available?	
35	What are the fertilizers used for Chilli cultivation?	
36	How much is the quantity of the fertilizer used per hectare?	
37	What is the rate at which fertilizer is available to farmers?	
38	Are farmers aware of the quantity and quality of fertilizers to be used?	
39	How much quantity of fertilizer is used per hectare?	
40	What are the problems faced regarding fertilizers?	
41	What are the pest that attack Chilli cultivation?	
42	Are Farmers aware of biological trap control for pests?	
43	What are the pesticides used for controlling pest in Chilli cultivation?	
44	What is the quantity of pesticide used per hectare?	
45	What is the rate at which pesticide is available to farmers?	
46	Are farmers aware of the health impacts of pesticides?	
47	Do farmers get training and awareness regarding use of pesticides?	
48	How is the left over pesticides and its empty containers handled?	
49	What are the diseases commonly seen in Chilli plant in the region?	
50	History of Chilli cultivation loss due to disease if yes provide details.	
51	Are there Agrochemicals such as fungicides / insecticides used in Chilli farming?	
52	What are the agrochemicals used for Chilli cultivation?	
53	How much is the quantity of agrochemicals used by the farmers?	
54	What is the rate at which the agrochemicals are available to the farmer?	
55	Are there proper demonstration or training for use of agrochemicals in the farm?	
56	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	

CBOs Chilli

57	How is the containers of agro-chemicals / pesticides disposed?	
58	Are solar energy used in the Chilli production by farmers? If yes how many farmers have?	
59	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
60	Are there any organic farming adopted for Chilli farmers	
61	Is there any farm residue / agri-waste left in the field after harvest?	
62	How is the farm residue / agri-waste handled by the farmers?	
63	How many farmers adopt organic farming technique?	
64	Are there any intercropping practice followed by farmers?	
65	What are the short duration crops grown in Chilli orchards?	
66	What is the quality standard specification of Chilli that you prefer?	
67	Whether the Quality of Chilli produced fulfil the market demand / Industry demand?	
68	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
69	How much is the time required till harvest after planting?	
70	What is the prevailing price of Chilli given to farmers?	
71	What is the prevailing price of the intercrop?	
72	What are the good agricultural practice for Chilli	
73	No of beneficiaries of Kisan Credit Card (KCC)?	
74	How many use Crop insurance in the cluster?	
75	How many use soil health cards?	
76	What are the factors which influence the quality of Chilli?	
77	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
78	Are Training provided to farmers?	
79	Are Female farmers engaged in Chilli cultivation?	
80	How many SC farmers are engaged in Chilli production?	
81	How many ST farmers are engaged in Chilli production?	
82	How is the work divided among male and female farmers during Chilli cultivation?	
83	What are the challenges faced by the CBOs?	Production Side:Post Harvest Side:Marketing side:
84	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
85	What measures shall be adopted to enhance the performance of CBOs	
86	Is there any Grievance Redressal Mechanism available?	
87	In case of any grievance where do you file complaint?	
88	How much time does it take to resolve the issue?	
89	Where complaint can be filed by hard copy/Mobile/online?	
90	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.8 Cotton

Table 15: FPO Cotton

CBOs Cotton		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under cotton cultivation?	
16	What is the Average landholding size of the farmer cultivating cotton?	
17	What is the Average annual production of cotton per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for cotton cultivation?	
21	What is the water quality required for cotton cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Cotton cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during cotton cultivation?	
27	What are the sources for purchase of seeds or nursery?	
28	What are the variety of cotton cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for cotton cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	

CBOs Cotton

34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack cotton cultivation?	
38	What are the pesticides used for controlling pest in cotton cultivation?	
39	What is the quantity of pesticide used per hectare?	
40	What is the rate at which pesticide is available to farmers?	
41	Are farmers aware of the health impacts of pesticides?	
42	Do farmers get training and awareness regarding use of pesticides?	
43	How is the left over pesticides and its empty containers handled?	
44	What are the diseases commonly seen in cotton plant in the region?	
45	History of cotton cultivation loss due to disease if yes provide details.	
46	Are there Agrochemicals such as fungicides / insecticides used in cotton farming?	
47	What are the agrochemicals used for cotton cultivation?	
48	How much is the quantity of agrochemicals used by the farmers per hectare?	
49	What is the rate at which the agrochemicals are available to the farmer?	
50	Are there proper demonstration or training for use of agrochemicals in the farm?	
51	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
52	How is the containers of agro-chemicals / pesticides disposed?	
53	Are solar energy used during cotton production by farmers? If yes how many farmers have?	
54	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
55	Are there any organic farming adopted by cotton farmers	
56	Is there any farm residue / agri-waste left in the field after harvest?	
57	How is the farm residue / agri-waste handled by the farmers?	
58	How many farmers adopt organic farming technique?	
59	Are there any intercropping practice followed by farmers?	
60	What are the short duration crops grown in cotton fields?	
61	What is the quality standard specification of cotton that you prefer?	
62	Whether the Quality of cotton produced fulfill the market demand / Industry demand?	
63	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
64	How much is the time required till harvest after planting?	
65	What is the prevailing price of cotton given to farmers?	
66	What is the prevailing price of the intercrop?	
67	What are the good agricultural practice for cotton	
68	No of beneficiaries of Kisan Credit Card (KCC)?	
69	How many use Crop insurance in the cluster?	
70	How many use soil health cards?	
71	What are the factors which influence the quality of the cotton?	
72	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	

CBOs Cotton

73	Are Training provided to farmers?	
74	Are Female farmers engaged in the cotton farming?	
75	How many SC farmers are engaged in cotton farming?	
76	How many ST farmers are engaged in cotton farming?	
77	How is the work divided among male and female farmers for cotton?	
78	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
79	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
80	What measures shall be adopted to enhance the performance of CBOs	
81	Is there any Grievance redressal Mechanism available?	
82	In case of any grievance where do you file complaint?	
83	How much time does it take to resolve the issue?	
84	Where complaint can be filed by hard copy/Mobile/online?	
85	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.9 Cucumber

Table 16: FPO Cucumber

CBOs Cucumber

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Cucumber cultivation ?	
16	What is the Average landholding size of the farmer cultivating Cucumber?	

CBOs Cucumber

17	What is the Average annual production of Cucumber per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Cucumber cultivation?	
21	What is the water quality required for Cucumber cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Cucumber cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Cucumber cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Cucumber cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Cucumber cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Cucumber cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Cucumber cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Cucumber plant in the region?	
46	History of Cucumber cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Cucumber farming?	
48	What are the agrochemicals used for Cucumber cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	

CBOs Cucumber

52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Cucumber production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Cucumber farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Cucumber orchards?	
62	What is the quality standard specification of Cucumber that you prefer?	
63	Whether the Quality of Cucumber produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Cucumber given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Cucumber	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Cucumber?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Cucumber cultivation?	
76	How many SC farmers are engaged in Cucumber production?	
77	How many ST farmers are engaged in Cucumber production?	
78	How is the work divided among male and female farmers during Cucumber cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	

CBOs Cucumber

82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.10 Custard Apple

Table 17: FPO Custard Apple

CBOs Custard Apple

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Custard Apple cultivation?	
16	What is the Average landholding size of the farmer cultivating Custard Apple?	
17	What is the Average annual production of Custard Apple per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Custard Apple cultivation?	
21	What is the water quality required for Custard Apple cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:

CBOs Custard Apple

25	How much is the water requirement per hectare for Custard Apple cultivation. Please collect information is different variety required different quantity of water per hectare
26	Are any water conservation measures adopted by the farmers during Custard Apple cultivation?
27	What are the sources for purchase of plantlet or nursery?
28	What are the variety of Custard Apple cultivated?
29	Any climate resistant variety available / promoted?
30	What is the rate at which plantlets / nursery are available?
31	What are the fertilizers used for Custard Apple cultivation?
32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Custard Apple cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Custard Apple cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Custard Apple plant in the region?
46	History of Custard Apple cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Custard Apple farming?
48	What are the agrochemicals used for Custard Apple cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Custard Apple production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Custard Apple farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?

CBOs Custard Apple

61	What are the short duration crops grown in Custard Apple orchards?	
62	What is the quality standard specification of Custard Apple that you prefer?	
63	Whether the Quality of Custard Apple produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Custard Apple given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Custard Apple	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Custard Apple?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Custard Apple cultivation?	
76	How many SC farmers are engaged in Custard Apple production?	
77	How many ST farmers are engaged in Custard Apple production?	
78	How is the work divided among male and female farmers during Custard Apple cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.11 Goat

Table 18: FPO Goat

CBOs Goat

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response

CBOs Goat

1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	On an average how many goats do the farmers keep with them?	
15	What are the different breeds stocks of goat?	
16	From where the farmers buy goat breed for rearing	
17	What is the price of goat breeding stock?	
18	Where do the farmers keep their goats?	
19	Where do the farmers take their goat for grazing?	
20	On an average a goat required how much quantity of graze?	
21	Do the farmers give supplementary food to goats during lean season?	
22	What are the food supplements given to goat?	
23	What is the price of the food supplements given to goat?	
24	How much water is required for goat in a day?	
25	What is the average weight of a goat?	
26	On an average a goat gives how much quantity of milk?	
27	What are the other produce from the goat that are saleable other than milk and meat	
28	What is the price at which goat milk is sold?	
29	What is the price at which goat meat is sold?	
30	What do the farmers do with the milk of goat?	
31	Are there any vaccinations given to goat?	
32	What are the vaccines or medicines given to goat?	
33	What is the price of vaccines or medicines?	
34	What is the schedule for goat vaccination?	
35	Are there any steroids given to goat for increasing weight?	
36	What is the price of the steroids?	
37	Are there any training given to farmers on goat rearing?	
38	How do the farmers bring goat to the market for sale?	
39	How are the live goat transported after being sold?	
40	How is the goat meat transported after being sold?	
41	Do the CBO has facility for checking the steroid or other medicinal residue in the meat?	

CBOs Goat

42	Do the CBO has facility for checking the steroid or other medicinal residue in the milk?
43	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)
44	Is solar energy used in the CBO? If yes for what purpose and its capacity?
45	Are Female farmers engaged in goat rearing?
46	How many SC farmers are engaged in goat rearing?
47	How many ST farmers are engaged in goat rearing?
48	How is the work divided among male and female farmers in goat rearing?
49	What are the challenges faced by the CBOs?
50	What are the facilities required by the CBO including primary processing, Storage and Logistics?
51	What measures shall be adopted to enhance the performance of CBOs
52	Is there any Grievance Redressal Mechanism available?
53	In case of any grievance where do you file complaint?
54	How much time does it take to resolve the issue?
55	Where complaint can be filed by hard copy/Mobile/online?
56	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.12 Gourds

Table 19: Gourd

CBOs Gourd

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Gourd cultivation?	

CBOs Gourd

16	What is the Average landholding size of the farmer cultivating Gourd?	
17	What is the Average annual production of Gourd per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Gourd cultivation?	
21	What is the water quality required for Gourd cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Gourd cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Gourd cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Gourd cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Gourd cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Gourd cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Gourd cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left-over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Gourd plant in the region?	
46	History of Gourd cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Gourd farming?	
48	What are the agrochemicals used for Gourd cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	

CBOs Gourd

51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Gourd production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Gourd farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Gourd orchards?	
62	What is the quality standard specification of Gourd that you prefer?	
63	Whether the Quality of Gourd produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Gourd given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Gourd	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Gourd?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Gourd cultivation?	
76	How many SC farmers are engaged in Gourd production?	
77	How many ST farmers are engaged in Gourd production?	
78	How is the work divided among male and female farmers during Gourd cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	

CBOs Gourd

84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.13 Gram

Table 20: <Insert Table Caption>

CBOs Gram

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Gram cultivation?	
16	What is the Average landholding size of the farmer cultivating Gram?	
17	What is the Average annual production of Gram per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Gram cultivation?	
21	What is the water quality required for Gram cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Gram cultivation. Please collect information is different variety required different quantity of water per hectare	

CBOs Gram

26	Are any water conservation measures adopted by the farmers during Gram cultivation?
27	What are the sources for purchase of seed?
28	What are the variety of Gram cultivated?
29	Any climate resistant variety available / promoted?
30	What is the rate at which seeds / nursery are available?
31	What are the fertilizers used for Gram cultivation?
32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Gram cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Gram cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Gram plant in the region?
46	History of Gram cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Gram farming?
48	What are the agrochemicals used for Gram cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Gram production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Gram farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?

CBOs Gram

61	What are the short duration crops grown in Gram orchards?	
62	What is the quality standard specification of Gram that you prefer?	
63	Whether the Quality of Gram produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Gram given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Gram	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Gram?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Gram cultivation?	
76	How many SC farmers are engaged in Gram production?	
77	How many ST farmers are engaged in Gram production?	
78	How is the work divided among male and female farmers during Gram cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post-Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.14 Grapes

Table 21: FPO Grapes

CBOs Grapes		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	

CBOs Grapes

2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates?	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under grape cultivation?	
16	What is the Average landholding size of the farmer cultivating grape?	
17	What is the Average annual production of grape per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for grape cultivation?	
21	What is the water quality required for grape cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for grape cultivation. Please collect information if different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during grape cultivation?	
27	What are the sources for purchase of seeds or vines for grape cultivation?	
28	What are the variety of grape cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / vines are available?	
31	What are the fertilizers used for grape cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack grape cultivation?	
38	Are Farmers aware of biological trap control for pests?	

CBOs Grapes

39	What are the pesticides used for controlling pest in grape cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in grape plant in the region?	
46	History of grape cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in grape farming?	
48	What are the agrochemicals used for grape cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the grape production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for grape farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in grape orchards?	
62	What is the quality standard specification of grape that you prefer?	
63	Whether the Quality of grape produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of grape given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for grape?	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of grape?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	

CBOs Grapes

75	Are Female farmers engaged in grape cultivation?	
76	How many SC farmers are engaged in grape production?	
77	How many ST farmers are engaged in grape production?	
78	How is the work divided among male and female farmers during grape cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.15 Green Gram

Table 22: FPO Green Gram

CBOs Green Gram

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Green Gram cultivation?	

CBOs Green Gram

16	What is the Average landholding size of the farmer cultivating Green Gram?	
17	What is the Average annual production of Green Gram per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Green Gram cultivation?	
21	What is the water quality required for Green Gram cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Green Gram cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Green Gram cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Green Gram cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Green Gram cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Green Gram cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Green Gram cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Green Gram plant in the region?	
46	History of Green Gram cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Green Gram farming?	
48	What are the agrochemicals used for Green Gram cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	

CBOs Green Gram

50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Green Gram production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Green Gram farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Green Gram orchards?	
62	What is the quality standard specification of Green Gram that you prefer?	
63	Whether the Quality of Green Gram produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Green Gram given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Green Gram	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Green Gram?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Green Gram cultivation?	
76	How many SC farmers are engaged in Green Gram production?	
77	How many ST farmers are engaged in Green Gram production?	
78	How is the work divided among male and female farmers during Green Gram cultivation?	
79	What are the challenges faced by the CBOs?	Production Side:Post Harvest Side:Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	

CBOs Green Gram

81	What measures shall be adopted to enhance the performance of CBOs
82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.16 Guava

Table 23: <Insert Table Caption>

CBOs Guava

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Guava cultivation ?	
16	What is the Average landholding size of the farmer cultivating Guava?	
17	What is the Average annual production of Guava per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Guava cultivation?	
21	What is the water quality required for Guava cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	

CBOs Guava

24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Guava cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Guava cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of Guava cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Guava cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Guava cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Guava cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Guava plant in the region?	
46	History of Guava cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Guava farming?	
48	What are the agrochemicals used for Guava cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Guava production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Guava farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	

CBOs Guava

59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Guava orchards?	
62	What is the quality standard specification of Guava that you prefer?	
63	Whether the Quality of Guava produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Guava given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Guava	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Guava?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Guava cultivation?	
76	How many SC farmers are engaged in Guava production?	
77	How many ST farmers are engaged in Guava production?	
78	How is the work divided among male and female farmers during Guava cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.17 Jowar

Table 24: FPO Jowar

CBOs Jowar

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response

CBOs Jowar

1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Jowar cultivation?	
16	What is the Average landholding size of the farmer cultivating Jowar?	
17	What is the Average annual production of Jowar per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Jowar cultivation?	
21	What is the water quality required for Jowar cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Jowar cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Jowar cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Jowar cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Jowar cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Jowar cultivation?	
38	Are Farmers aware of biological trap control for pests?	

CBOs Jowar

39	What are the pesticides used for controlling pest in Jowar cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Jowar plant in the region?	
46	History of Jowar cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Jowar farming?	
48	What are the agrochemicals used for Jowar cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Jowar production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Jowar farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Jowar orchards?	
62	What is the quality standard specification of Jowar that you prefer?	
63	Whether the Quality of Jowar produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer:
		Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Jowar given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Jowar	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Jowar?	

CBOs Jowar

73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Jowar cultivation?	
76	How many SC farmers are engaged in Jowar production?	
77	How many ST farmers are engaged in Jowar production?	
78	How is the work divided among male and female farmers during Jowar cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture is the last 10 years?	

B.18 Maize

Table 25: FPO Maize

CBOs Maize

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	

CBOs Maize

15	What is the area under Maize cultivation?	
16	What is the Average landholding size of the farmer cultivating Maize?	
17	What is the Average annual production of Maize per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Maize cultivation?	
21	What is the water quality required for Maize cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Maize cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Maize cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Maize cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Maize cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Maize cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Maize cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left-over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Maize plant in the region?	
46	History of Maize cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Maize farming?	
48	What are the agrochemicals used for Maize cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	

CBOs Maize

50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Maize production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Maize farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Maize orchards?	
62	What is the quality standard specification of Maize that you prefer?	
63	Whether the Quality of Maize produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Maize given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Maize	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Maize?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Maize cultivation?	
76	How many SC farmers are engaged in Maize production?	
77	How many ST farmers are engaged in Maize production?	
78	How is the work divided among male and female farmers during Maize cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	

CBOs Maize

82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.19 Mandarin / Orange

Table 26: FPO Mandarin / Orange

CBOs Mandarin

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under mandarin cultivation ?	
16	What is the Average landholding size of the farmer cultivating mandarin?	
17	What is the Average annual production of mandarin per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for mandarin cultivation?	
21	What is the water quality required for mandarin cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:

CBOs Mandarin

25	How much is the water requirement per hectare for mandarin cultivation. Please collect information is different variety required different quantity of water per hectare
26	Are any water conservation measures adopted by the farmers during mandarin cultivation?
27	What are the sources for purchase of tissue cultured plantlets or nursery?
28	What are the variety of mandarin cultivated?
29	Any climate resistant variety available / promoted?
30	What is the rate at which plantlets / nursery are available?
31	What are the fertilizers used for mandarin cultivation?
32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack mandarin cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in mandarin cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in mandarin plant in the region?
46	History of mandarin cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in mandarin farming?
48	What are the agrochemicals used for mandarin cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the mandarin production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for mandarin farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?

CBOs Mandarin

61	What are the short duration crops grown in mandarin orchards?	
62	What is the quality standard specification of mandarin that you prefer?	
63	Whether the Quality of mandarin produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of mandarin given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for mandarin	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of mandarin?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in mandarin cultivation?	
76	How many SC farmers are engaged in mandarin production?	
77	How many ST farmers are engaged in mandarin production?	
78	How is the work divided among male and female farmers during mandarin cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.20 Mango

Table 27: FPO Mango

CBOs Mango		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	

CBOs Mango

3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Mango cultivation ?	
16	What is the Average landholding size of the farmer cultivating Mango?	
17	What is the Average annual production of Mango per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Mango cultivation?	
21	What is the water quality required for Mango cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Mango cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Mango cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of Mango cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Mango cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Mango cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Mango cultivation?	
40	What is the quantity of pesticide used per hectare?	

CBOs Mango

41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Mango plant in the region?	
46	History of Mango cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Mango farming?	
48	What are the agrochemicals used for Mango cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Mango production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Mango farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Mango orchards?	
62	What is the quality standard specification of Mango that you prefer?	
63	Whether the Quality of Mango produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Mango given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Mango	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Mango?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Mango cultivation?	
76	How many SC farmers are engaged in Mango production?	

CBOs Mango

77	How many ST farmers are engaged in Mango production?	
78	How is the work divided among male and female farmers during Mango cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.21 Millet

Table 28: FPO Millet

CBOs Millet

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Millet cultivation ?	
16	What is the Average landholding size of the farmer cultivating Millet?	
17	What is the Average annual production of Millet per hectare ?	
18	Total no. of farmers belonging to the CBO?	

CBOs Millet

19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Millet cultivation?	
21	What is the water quality required for Millet cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Millet cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Millet cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Millet cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Millet cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Millet cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Millet cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Millet plant in the region?	
46	History of Millet cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Millet farming?	
48	What are the agrochemicals used for Millet cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	

CBOs Millet

53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Millet production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Millet farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Millet orchards?	
62	What is the quality standard specification of Millet that you prefer?	
63	Whether the Quality of Millet produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Millet given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Millet	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Millet?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Millet cultivation?	
76	How many SC farmers are engaged in Millet production?	
77	How many ST farmers are engaged in Millet production?	
78	How is the work divided among male and female farmers during Millet cultivation?	
79	What are the challenges faced by the CBOs?	Production Side:Post Harvest Side:Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture is the last 10 years?	

B.22 Okra

Table 29: FPO Okra

CBOs Okra		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Okra cultivation ?	
16	What is the Average landholding size of the farmer cultivating Okra?	
17	What is the Average annual production of Okra per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Okra cultivation?	
21	What is the water quality required for Okra cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Okra cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Okra cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Okra cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Okra cultivation?	

CBOs Okra

32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Okra cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Okra cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Okra plant in the region?	
46	History of Okra cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Okra farming?	
48	What are the agrochemicals used for Okra cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Okra production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Okra farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Okra orchards?	
62	What is the quality standard specification of Okra that you prefer?	
63	Whether the Quality of Okra produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:

CBOs Okra

65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Okra given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Okra	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Okra?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Okra cultivation?	
76	How many SC farmers are engaged in Okra production?	
77	How many ST farmers are engaged in Okra production?	
78	How is the work divided among male and female farmers during Okra cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture is the last 10 years?	

B.23 Onion

Table 30: FPO Onion

CBOs Onion

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	

CBOs Onion

9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Onion cultivation?	
16	What is the Average landholding size of the farmer cultivating Onion?	
17	What is the Average annual production of Onion per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Onion cultivation?	
21	What is the water quality required for Onion cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Onion cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Onion cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Onion cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Onion cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Onion cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Onion cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	

CBOs Onion

45	What are the diseases commonly seen in Onion plant in the region?	
46	History of Onion cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Onion farming?	
48	What are the agrochemicals used for Onion cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Onion production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Onion farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Onion orchards?	
62	What is the quality standard specification of Onion that you prefer?	
63	Whether the Quality of Onion produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Onion given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Onion	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Onion?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Onion cultivation?	
76	How many SC farmers are engaged in Onion production?	
77	How many ST farmers are engaged in Onion production?	
78	How is the work divided among male and female farmers during Onion cultivation?	

CBOs Onion

79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.24 Paddy

Table 31: FPO Paddy

CBOs Paddy

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under paddy cultivation?	
16	What is the Average landholding size of the farmer cultivating paddy?	
17	What is the Average annual production of paddy per hectare?	
18	Total no. of farmers belonging to the CBO?	

CBOs Paddy

19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for paddy cultivation?	
21	What is the water quality required for paddy cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for paddy cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during paddy cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of paddy cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for paddy cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack paddy cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in paddy cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in paddy plant in the region?	
46	History of paddy cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in paddy farming?	
48	What are the agrochemicals used for paddy cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	

CBOs Paddy

53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the paddy production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for paddy farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in paddy orchards?	
62	What is the quality standard specification of paddy that you prefer?	
63	Whether the Quality of paddy produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of paddy given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for paddy	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of paddy?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in paddy cultivation?	
76	How many SC farmers are engaged in paddy production?	
77	How many ST farmers are engaged in paddy production?	
78	How is the work divided among male and female farmers during paddy cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture is the last 10 years?	

B.25 Papaya

Table 32: FPO Papaya

CBOs Papaya		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Papaya cultivation?	
16	What is the Average landholding size of the farmer cultivating Papaya?	
17	What is the Average annual production of Papaya per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Papaya cultivation?	
21	What is the water quality required for Papaya cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Papaya cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Papaya cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of Papaya cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Papaya cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	

CBOs Papaya

33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Papaya cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Papaya cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Papaya plant in the region?	
46	History of Papaya cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Papaya farming?	
48	What are the agrochemicals used for Papaya cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Papaya production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Papaya farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Papaya orchards?	
62	What is the quality standard specification of Papaya that you prefer?	
63	Whether the Quality of Papaya produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Papaya given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Papaya	

CBOs Papaya

69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Papaya?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Papaya cultivation?	
76	How many SC farmers are engaged in Papaya production?	
77	How many ST farmers are engaged in Papaya production?	
78	How is the work divided among male and female farmers during Papaya cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.26 Pomegranate

Table 33: FPO Pomegranate

CBOs Pomegranate

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	

CBOs Pomegranate

11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Pomegranate cultivation?	
16	What is the Average landholding size of the farmer cultivating Pomegranate?	
17	What is the Average annual production of Pomegranate per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Pomegranate cultivation?	
21	What is the water quality required for Pomegranate cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Pomegranate cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Pomegranate cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of Pomegranate cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Pomegranate cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Pomegranate cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Pomegranate cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Pomegranate plant in the region?	
46	History of Pomegranate cultivation loss due to disease if yes provide details.	

CBOs Pomegranate

47	Are there Agrochemicals such as fungicides / insecticides used in Pomegranate farming?	
48	What are the agrochemicals used for Pomegranate cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Pomegranate production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Pomegranate farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Pomegranate orchards?	
62	What is the quality standard specification of Pomegranate that you prefer?	
63	Whether the Quality of Pomegranate produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Pomegranate given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Pomegranate	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Pomegranate?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Pomegranate cultivation?	
76	How many SC farmers are engaged in Pomegranate production?	
77	How many ST farmers are engaged in Pomegranate production?	
78	How is the work divided among male and female farmers during Pomegranate cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	

CBOs Pomegranate

81	What measures shall be adopted to enhance the performance of CBOs
82	Is there any Grievance Redressal Mechanism available?
83	In case of any grievance where do you file complaint?
84	How much time does it take to resolve the issue?
85	Where complaint can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.27 Potato

Table 34: FPO Potato

CBOs Potato

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Potato cultivation?	
16	What is the Average landholding size of the farmer cultivating Potato?	
17	What is the Average annual production of Potato per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Potato cultivation?	
21	What is the water quality required for Potato cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	

CBOs Potato

24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Potato cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Potato cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Potato cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Potato cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Potato cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Potato cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Potato plant in the region?	
46	History of Potato cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Potato farming?	
48	What are the agrochemicals used for Potato cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Potato production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Potato farmers	

CBOs Potato

57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Potato orchards?	
62	What is the quality standard specification of Potato that you prefer?	
63	Whether the Quality of Potato produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Potato given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Potato	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Potato?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Potato cultivation?	
76	How many SC farmers are engaged in Potato production?	
77	How many ST farmers are engaged in Potato production?	
78	How is the work divided among male and female farmers during Potato cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.28 Red Gram

Table 35: FPO Red Gram

CBOs Red Gram		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Red Gram cultivation?	
16	What is the Average landholding size of the farmer cultivating Red Gram?	
17	What is the Average annual production of Red Gram per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Red Gram cultivation?	
21	What is the water quality required for Red Gram cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Red Gram cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Red Gram cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Red Gram cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Red Gram cultivation?	

CBOs Red Gram

32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Red Gram cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Red Gram cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Red Gram plant in the region?
46	History of Red Gram cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Red Gram farming?
48	What are the agrochemicals used for Red Gram cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Red Gram production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Red Gram farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?
61	What are the short duration crops grown in Red Gram orchards?
62	What is the quality standard specification of Red Gram that you prefer?
63	Whether the Quality of Red Gram produced fulfil the market demand / Industry demand?

CBOs Red Gram

64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Red Gram given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Red Gram	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Red Gram?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Red Gram cultivation?	
76	How many SC farmers are engaged in Red Gram production?	
77	How many ST farmers are engaged in Red Gram production?	
78	How is the work divided among male and female farmers during Red Gram cultivation?	
79	What are the challenges faced by the CBOs?	Production Side:Post Harvest Side:Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.29 Sapota

Table 36: FPO Sapota

CBOs Sapota

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	

CBOs Sapota

6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Sapota cultivation?	
16	What is the Average landholding size of the farmer cultivating Sapota?	
17	What is the Average annual production of Sapota per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Sapota cultivation?	
21	What is the water quality required for Sapota cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Sapota cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Sapota cultivation?	
27	What are the sources for purchase of plantlet or nursery?	
28	What are the variety of Sapota cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Sapota cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Sapota cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Sapota cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	

CBOs Sapota

43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Sapota plant in the region?	
46	History of Sapota cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Sapota farming?	
48	What are the agrochemicals used for Sapota cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Sapota production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Sapota farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Sapota orchards?	
62	What is the quality standard specification of Sapota that you prefer?	
63	Whether the Quality of Sapota produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Sapota given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Sapota	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Sapota?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Sapota cultivation?	
76	How many SC farmers are engaged in Sapota production?	
77	How many ST farmers are engaged in Sapota production?	
78	How is the work divided among male and female farmers during Sapota cultivation?	

CBOs Sapota

79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.30 Sheep

Table 37: FPO Sheep

CBOs Sheep

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	On an average how many sheep do the farmers keep with them?	
15	What are the different breeds stocks of Sheep?	
16	From where do the farmers buy Sheep breed for rearing	
17	What is the price of Sheep breeding stock?	
18	Where do the farmers keep their sheep?	
19	Where do the farmers take their Sheep for grazing?	
20	On an average a Sheep required how much quantity of graze?	

CBOs Sheep

21	Do the farmers give supplementary food to Sheeps during lean season?
22	What are the food supplements given to Sheep?
23	What is the price of the food supplements given to Sheep?
24	How much water is required for Sheep in a day?
25	What is the average weight of a Sheep?
26	On an average a Sheep gives how much quantity of milk?
27	What are the other produce from the Sheep that are saleable other than milk and meat
28	What is the price at which Sheep milk is sold?
29	What is the price at which Sheep meat is sold?
30	What do the farmers do with the milk of Sheep?
31	Are there any vaccinations given to Sheep?
32	What are the vaccines or medicines given to Sheep?
33	What is the price of vaccines or medicines?
34	What is the schedule for Sheep vaccination?
35	Are there any steroids given to Sheep for increasing weight?
36	What is the price of the steroids?
37	Are there any training given to farmers on Sheep rearing?
38	How do the farmers bring Sheep to the market for sale?
39	How are the live Sheep transported after being sold?
40	How is the Sheep meat transported after being sold?
41	Do the CBO has facility for checking the steroid or other medicinal residue in the meat?
42	Do the CBO has facility for checking the steroid or other medicinal residue in the milk?
43	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)
44	Is solar energy used in the CBO? If yes for what purpose and its capacity?
45	Are Female farmers engaged in Sheep rearing?
46	How many SC farmers are engaged in Sheep rearing?
47	How many ST farmers are engaged in Sheep rearing?
48	How is the work divided among male and female farmers in Sheep rearing?
49	What are the challenges faced by the CBOs?
50	What are the facilities required by the CBO including primary processing, Storage and Logistics?
51	What measures shall be adopted to enhance the performance of CBOs
52	Is there any Grievance Redressal Mechanism available?
53	In case of any grievance where do you file complaint?
54	How much time does it take to resolve the issue?
55	Where complaint can be filed by hard copy/Mobile/online?
56	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.31 Soybean

Table 38: FPO Soybean

CBOs Soybean		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Soybean cultivation?	
16	What is the Average landholding size of the farmer cultivating Soybean?	
17	What is the Average annual production of Soybean per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Soybean cultivation?	
21	What is the water quality required for Soybean cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Soybean cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Soybean cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Soybean cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Soybean cultivation?	

CBOs Soybean

32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Soybean cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Soybean cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Soybean plant in the region?
46	History of Soybean cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Soybean farming?
48	What are the agrochemicals used for Soybean cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Soybean production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Soybean farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?
61	What are the short duration crops grown in Soybean orchards?
62	What is the quality standard specification of Soybean that you prefer?
63	Whether the Quality of Soybean produced fulfil the market demand / Industry demand?

CBOs Soybean

64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Soybean given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Soybean	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Soybean?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Soybean cultivation?	
76	How many SC farmers are engaged in Soybean production?	
77	How many ST farmers are engaged in Soybean production?	
78	How is the work divided among male and female farmers during Soybean cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.32 Sweet Lime

Table 39: FPO Sweet Lime

CBOs Sweet Lime

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	

CBOs Sweet Lime

5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Sweet Lime cultivation ?	
16	What is the Average landholding size of the farmer cultivating Sweet Lime?	
17	What is the Average annual production of Sweet Lime per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Sweet Lime cultivation?	
21	What is the water quality required for Sweet Lime cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Sweet Lime cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Sweet Lime cultivation?	
27	What are the sources for purchase of tissue cultured plantlets or nursery?	
28	What are the variety of Sweet Lime cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which plantlets / nursery are available?	
31	What are the fertilizers used for Sweet Lime cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Sweet Lime cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Sweet Lime cultivation?	
40	What is the quantity of pesticide used per hectare?	

CBOs Sweet Lime

41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Sweet Lime plant in the region?	
46	History of Sweet Lime cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Sweet Lime farming?	
48	What are the agrochemicals used for Sweet Lime cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Sweet Lime production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Sweet Lime farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Sweet Lime orchards?	
62	What is the quality standard specification of Sweet Lime that you prefer?	
63	Whether the Quality of Sweet Lime produced fulfill the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Sweet Lime given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agriculture practice for Sweet Lime	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Sweet Lime?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Sweet Lime cultivation?	
76	How many SC farmers are engaged in Sweet Lime production?	

CBOs Sweet Lime

77	How many ST farmers are engaged in Sweet Lime production?	
78	How is the work divided among male and female farmers during Sweet Lime cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

B.33 Tomato

Table 40: FPO Tomato

CBOs Tomato

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Tomato cultivation ?	
16	What is the Average landholding size of the farmer cultivating Tomato?	

CBOs Tomato

17	What is the Average annual production of Tomato per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Tomato cultivation?	
21	What is the water quality required for Tomato cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation ?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Tomato cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Tomato cultivation?	
27	What are the sources for purchase of seed / nursery?	
28	What are the variety of Tomato cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Tomato cultivation?	
32	How much is the quantity of the fertilizer used per hectare?	
33	What is the rate at which fertilizer is available to farmers?	
34	Are farmers aware of the quantity and quality of fertilizers to be used?	
35	How much quantity of fertilizer is used per hectare?	
36	What are the problems faced regarding fertilizers?	
37	What are the pest that attack Tomato cultivation?	
38	Are Farmers aware of biological trap control for pests?	
39	What are the pesticides used for controlling pest in Tomato cultivation?	
40	What is the quantity of pesticide used per hectare?	
41	What is the rate at which pesticide is available to farmers?	
42	Are farmers aware of the health impacts of pesticides?	
43	Do farmers get training and awareness regarding use of pesticides?	
44	How is the left over pesticides and its empty containers handled?	
45	What are the diseases commonly seen in Tomato plant in the region?	
46	History of Tomato cultivation loss due to disease if yes provide details.	
47	Are there Agrochemicals such as fungicides / insecticides used in Tomato farming?	
48	What are the agrochemicals used for Tomato cultivation?	
49	How much is the quantity of agrochemicals used by the farmers?	
50	What is the rate at which the agrochemicals are available to the farmer?	
51	Are there proper demonstration or training for use of agrochemicals in the farm?	

CBOs Tomato

52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
53	How is the containers of agro-chemicals / pesticides disposed?	
54	Are solar energy used in the Tomato production by farmers? If yes how many farmers have?	
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
56	Are there any organic farming adopted for Tomato farmers	
57	Is there any farm residue / agri-waste left in the field after harvest?	
58	How is the farm residue / agri-waste handled by the farmers?	
59	How many farmers adopt organic farming technique?	
60	Are there any intercropping practice followed by farmers?	
61	What are the short duration crops grown in Tomato orchards?	
62	What is the quality standard specification of Tomato that you prefer?	
63	Whether the Quality of Tomato produced fulfil the market demand / Industry demand?	
64	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Tomato given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Tomato	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Tomato?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Tomato cultivation?	
76	How many SC farmers are engaged in Tomato production?	
77	How many ST farmers are engaged in Tomato production?	
78	How is the work divided among male and female farmers during Tomato cultivation?	
79	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	

CBOs Tomato

85	Where compliant can be filed by hard copy/Mobile/online?
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?

B.34 Turmeric

Table 41: FPO Turmeric

CBOs Turmeric

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Turmeric cultivation?	
16	What is the Average landholding size of the farmer cultivating Turmeric?	
17	What is the Average annual production of Turmeric per hectare ?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	How do the farmers dry Turmeric? Do they have sufficient space for drying	
21	How many days it takes for drying?	
22	What is the fuel used for boiling Turmeric?	
23	How much is the loss due to Turmeric drying	
24	How many farmers do turmeric polishing mechanically?	
25	What is the type of soil used for Turmeric cultivation?	
26	What is the water quality required for Turmeric cultivation?	
27	What is the source of water for cultivation?	
28	How much Area is covered under irrigation ?	

CBOs Turmeric

29	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
30	How much is the water requirement per hectare for Turmeric cultivation. Please collect information is different variety required different quantity of water per hectare	
31	Are any water conservation measures adopted by the farmers during Turmeric cultivation?	
32	What are the sources for purchase of rhizome?	
33	What are the variety of Turmeric cultivated?	
34	Any climate resistant variety available / promoted?	
35	What is the rate at which seeds / nursery are available?	
36	What are the fertilizers used for Turmeric cultivation?	
37	How much is the quantity of the fertilizer used per hectare?	
38	What is the rate at which fertilizer is available to farmers?	
39	Are farmers aware of the quantity and quality of fertilizers to be used?	
40	How much quantity of fertilizer is used per hectare?	
41	What are the problems faced regarding fertilizers?	
42	What are the pest that attack Turmeric cultivation?	
43	Are Farmers aware of biological trap control for pests?	
44	What are the pesticides used for controlling pest in Turmeric cultivation?	
45	What is the quantity of pesticide used per hectare?	
46	What is the rate at which pesticide is available to farmers?	
47	Are farmers aware of the health impacts of pesticides?	
48	Do farmers get training and awareness regarding use of pesticides?	
49	How is the left over pesticides and its empty containers handled?	
50	What are the diseases commonly seen in Turmeric plant in the region?	
51	History of Turmeric cultivation loss due to disease if yes provide details.	
52	Are there Agrochemicals such as fungicides / insecticides used in Turmeric farming?	
53	What are the agrochemicals used for Turmeric cultivation?	
54	How much is the quantity of agrochemicals used by the farmers?	
55	What is the rate at which the agrochemicals are available to the farmer?	
56	Are there proper demonstration or training for use of agrochemicals in the farm?	
57	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?	
58	How is the containers of agro-chemicals / pesticides disposed?	
59	Are solar energy used in the Turmeric production by farmers? If yes how many farmers have?	
60	Is solar energy used in the CBO? If yes for what purpose and its capacity?	
61	Are there any organic farming adopted for Turmeric farmers	

CBOs Turmeric

62	Is there any farm residue / agri-waste left in the field after harvest?	
63	How is the farm residue / agri-waste handled by the farmers?	
64	How many farmers adopt organic farming technique?	
65	Are there any intercropping practice followed by farmers?	
66	What are the short duration crops grown in Turmeric orchards?	
67	What is the quality standard specification of Turmeric that you prefer?	
68	Whether the Quality of Turmeric produced fulfil the market demand / Industry demand?	
69	Details of the existing Market linkages	Name of the buyer: Quantity of crop supplied:
70	How much is the time required till harvest after planting?	
71	What is the prevailing price of Turmeric given to farmers?	
72	What is the prevailing price of the intercrop?	
73	What are the good agricultural practice for Turmeric	
74	No of beneficiaries of Kisan Credit Card (KCC)?	
75	How many use Crop insurance in the cluster?	
76	How many use soil health cards?	
77	What are the factors which influence the quality of Turmeric?	
78	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
79	Are Training provided to farmers?	
80	Are Female farmers engaged in Turmeric cultivation?	
81	How many SC farmers are engaged in Turmeric production?	
82	How many ST farmers are engaged in Turmeric production?	
83	How is the work divided among male and female farmers during Turmeric cultivation?	
84	What are the challenges faced by the CBOs?	Production Side: Post Harvest Side: Marketing side:
85	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
86	What measures shall be adopted to enhance the performance of CBOs	
87	Is there any Grievance Redressal Mechanism available?	
88	In case of any grievance where do you file complaint?	
89	How much time does it take to resolve the issue?	
90	Where complaint can be filed by hard copy/Mobile/online?	
91	Are there any Natural disasters such as drought / flood etc that affect agriculture is the last 10 years?	

B.35 Wheat

Table 42: FPO Wheat

CBOs Wheat		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Questions	Response
1	Name of the CBO	
2	Address of the CBO	
3	No of Shareholders / members of CBO	
4	Name of the Promoter(s)/Partner(s)	
5	Address of the CBO	
6	Contact No of CBO	Telephone No.: Mobile No.:
7	e-mail Id of CBO	
8	Date of establishment of CBO	
9	What is the storage facility of the CBO	
10	What are the existing processing infrastructure available in the CBO?	
11	What is the processing capacity of each infrastructure?	
12	What are the user charge rates	
13	What is the capacity utilization of the processing equipment e.g average how many hours in day / month / year	
14	What is the major source of livelihood of the villagers? (farming, government jobs, business etc)	
15	What is the area under Wheat cultivation?	
16	What is the Average landholding size of the farmer cultivating Wheat?	
17	What is the Average annual production of Wheat per hectare?	
18	Total no. of farmers belonging to the CBO?	
19	Out of the total no. of farmers, how many are having farming equipment such as tractors / threshers?	
20	What is the type of soil used for Wheat cultivation?	
21	What is the water quality required for Wheat cultivation?	
22	What is the source of water for cultivation?	
23	How much Area is covered under irrigation?	
24	What is the irrigation type e.g canal irrigation / Drip irrigation?	Drip Irrigation %: Canal Irrigation %: Other method %:
25	How much is the water requirement per hectare for Wheat cultivation. Please collect information is different variety required different quantity of water per hectare	
26	Are any water conservation measures adopted by the farmers during Wheat cultivation?	
27	What are the sources for purchase of seed?	
28	What are the variety of Wheat cultivated?	
29	Any climate resistant variety available / promoted?	
30	What is the rate at which seeds / nursery are available?	
31	What are the fertilizers used for Wheat cultivation?	

CBOs Wheat

32	How much is the quantity of the fertilizer used per hectare?
33	What is the rate at which fertilizer is available to farmers?
34	Are farmers aware of the quantity and quality of fertilizers to be used?
35	How much quantity of fertilizer is used per hectare?
36	What are the problems faced regarding fertilizers?
37	What are the pest that attack Wheat cultivation?
38	Are Farmers aware of biological trap control for pests?
39	What are the pesticides used for controlling pest in Wheat cultivation?
40	What is the quantity of pesticide used per hectare?
41	What is the rate at which pesticide is available to farmers?
42	Are farmers aware of the health impacts of pesticides?
43	Do farmers get training and awareness regarding use of pesticides?
44	How is the left over pesticides and its empty containers handled?
45	What are the diseases commonly seen in Wheat plant in the region?
46	History of Wheat cultivation loss due to disease if yes provide details.
47	Are there Agrochemicals such as fungicides / insecticides used in Wheat farming?
48	What are the agrochemicals used for Wheat cultivation?
49	How much is the quantity of agrochemicals used by the farmers?
50	What is the rate at which the agrochemicals are available to the farmer?
51	Are there proper demonstration or training for use of agrochemicals in the farm?
52	How is the leftover agro-chemicals / pesticides after use handled / utilized or disposed?
53	How is the containers of agro-chemicals / pesticides disposed?
54	Are solar energy used in the Wheat production by farmers? If yes how many farmers have?
55	Is solar energy used in the CBO? If yes for what purpose and its capacity?
56	Are there any organic farming adopted for Wheat farmers
57	Is there any farm residue / agri-waste left in the field after harvest?
58	How is the farm residue / agri-waste handled by the farmers?
59	How many farmers adopt organic farming technique?
60	Are there any intercropping practice followed by farmers?
61	What are the short duration crops grown in Wheat orchards?
62	What is the quality standard specification of Wheat that you prefer?
63	Whether the Quality of Wheat produced fulfil the market demand / Industry demand?

CBOs Wheat

64	Details of the existing Market linkages	Name of the buyer:
		Quantity of crop supplied:
65	How much is the time required till harvest after planting?	
66	What is the prevailing price of Wheat given to farmers?	
67	What is the prevailing price of the intercrop?	
68	What are the good agricultural practice for Wheat	
69	No of beneficiaries of Kisan Credit Card (KCC)?	
70	How many use Crop insurance in the cluster?	
71	How many use soil health cards?	
72	What are the factors which influence the quality of Wheat?	
73	What are the farm advisory services given to farmers? Such as SMS service for meteorological data or awareness creation etc.	
74	Are Training provided to farmers?	
75	Are Female farmers engaged in Wheat cultivation?	
76	How many SC farmers are engaged in Wheat production?	
77	How many ST farmers are engaged in Wheat production?	
78	How is the work divided among male and female farmers during Wheat cultivation?	
79	What are the challenges faced by the CBOs?	Production Side:
		Post Harvest Side:
		Marketing side:
80	What are the post harvesting facilities required by the CBO including primary processing, Storage and Logistics?	
81	What measures shall be adopted to enhance the performance of CBOs	
82	Is there any Grievance Redressal Mechanism available?	
83	In case of any grievance where do you file complaint?	
84	How much time does it take to resolve the issue?	
85	Where complaint can be filed by hard copy/Mobile/online?	
86	Are there any Natural disasters such as drought / flood etc that affect agriculture in the last 10 years?	

C. Stakeholder Questionnaire – Industry

Table 43: Industry Questionnaire

Name of the Interviewer:

Name of the interviewee:

Date of interview:

Place of interview:

S. No	Description	Response
1	Name of the Industry	
2	Who is the Owner or Partners of the industry	
3	What is the Address of the industry	
4	What are the Contact details of the industry	Telephone: Mobile: e-mail id:
5	Total area of the industry	
6	What is the type of Industry? (small, medium, large, start-up)	
7	What are the raw materials being used the industry?	
8	What is the capacity of the industry?	
9	What is the capacity utilization at which the company is currently operating?	
10	How does the farm produce reach the industry?	
11	Are there any quality checks done before accepting the farm produce?	
12	What is the raw material specification that you adopt?	
13	If yes, How is the rejected material handled?	
14	How is the price for the farm produce given to farmers?	
15	What is the mechanism adopted for cleaning, sorting and grading of raw material?	
16	How much is the storage capacity of the raw material	
17	Do you use any preservatives for the raw material during storage	
18	Do you have facility to monitor the refrigeration and cooling system	
19	Do you have enclosure technique to minimize damage to raw material	
20	How much is the power consumption?	
21	What is the source of power?	
22	Do you have back-up power?	
23	How much is the water consumption?	
24	What is the source of water?	
25	How much is the effluent generation?	
26	What is the capacity of the Effluent Treatment Plant (ETP)?	
27	What is the capacity of the Sewage Treatment Plant (STP)?	
28	Does the industry has measures for air emission control (bag filters, cyclone, ESP scrubbers etc)	
29	What are the solid waste generated from the plant	
30	How is the solid waste managed	

Name of the Interviewer:

Name of the interviewee:

31	Do you adopt resource conservation measures such as water conservation, energy conservation, by product recovery and reuse
32	What are the odour management measures?
33	What are the food quality standards adopted by the Industry?
34	Where is the market for your product?
35	Does the industry has women employees?
36	Does the industry has SC employees?
37	Does the industry has ST employees?
38	Are there separate toilet facilities available for male and female employees
39	Is there crèche facility for female employees?
40	What are the problems being faced in warehouse for farm produce
41	Is there any Grievance Redressal Mechanism available?
42	In case of any grievance where do you file complaint?
43	How much time does it take to resolve the issue?
44	Where complaint can be filed by hard copy/Mobile/online?

D. Stakeholder Questionnaire – Slaughterhouse

Table 44: Questionnaire Slaughterhouse

Slaughter House Checklist

Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No	Description	Response
1	Name of the Slaughter house	
2	Who is the Owner or Partners of the slaughter house?	
3	What is the Address of the slaughter house	
4	What are the Contact details of the slaughter house	Telephone: Mobile: e-mail id:
5	Total area of the slaughter house	
6	What is the type of slaughter house? (small, medium, large, start-up)	
7	What is the capacity of the slaughter house?	
8	What is the capacity utilization at which the company is currently operating?	
9	How does the goat reach the slaughter house?	
10	Does the slaughter house has license for slaughtering goat?	
11	Does the slaughter house has Consent from the pollution control board?	
12	Are there any quality checks done before accepting the goat?	
13	What is the specification that you adopt?	
14	If yes, How is the rejected goat handled?	
15	How is the price for the goat given to farmers?	
16	What are the steps adopted in the slaughter house?	
17	Do the slaughter house has modern method of hadling goat?	
18	How much is the storage capacity of the goat?	
19	At what price is the meat sold?	
20	Where is the meat kept in the slaughter house?	
21	Do you use any preservatives for the goat meat?	
22	How much preservatives are used?	
23	Do you have facility to monitor the refrigeration and cooling system	
24	How much is the power consumption?	
25	What is the source of power?	
26	Do you have back-up power?	
27	How much is the water consumption?	
28	What is the source of water?	
29	How much is the effluent generation?	
30	What is the capacity of the Effluent Treatment Plant (ETP)?	
31	What is the capacity of the Sewage Treatment Plant (STP)?	

Slaughter House Checklist

32	Does the industry has measures for air emission control (bag filters, cyclone, ESP scrubbers etc)
33	What are the solid waste generated from slaughter house?
34	How is the solid waste managed?
35	Do you adopt resource conservation measures such as water conservation, energy conservation, by product recovery and reuse?
36	What are the odour management measures?
37	What are the food quality standards adopted by the Industry?
38	Where is the market for your meat?
39	How is the meat transported?
40	Other than meat what are the other things that are sold from the slaughter house?
41	What is the rate at which other material are sold? Do you do any traceability study
42	Does the industry has women employees?
43	Does the industry has SC employees?
44	Does the industry has ST employees?
45	Are there separate toilet facilities available for male and female employees
46	Is there crenche facility for female employees?
47	What are the problems being faced by the slaughter house?
48	What are the measures that can be taken for improvement of the sector?
49	Is there any Grievance Redressal Mechanism available?
50	In case of any grievance where do you file complaint?
51	How much time does it take to resolve the issue?
52	Where compliant can be filed by hard copy/Mobile/online?

E. Stakeholder Questionnaire – Wholesale / Market

Table 45: Questionnaire Wholesale Market

Wholesale Market Grape		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S.No.	Questions	Response
1	Name of the Wholesale Market	
2	What is the type of Wholesale Market (Corporate /SME/ Start-up)	
3	Name of the Promoter / Partners	
4	Address of the Wholesale Market	
5	Contact No.	Telephone: Mobile:
6	E-mail ID	
7	When was the market set-up?	
8	What are the commodities handled in the Wholesale Market?	
9	What is the total land holding of the Market?	
10	What is the Landownership status of the market place (RMC, P&RD, ULB or private?	
11	What is the Rate of lease money for land and where its deposited?	
12	What are the market timings?	
13	Are there mechanism for dissemination of price in the Market?	
14	What is the Average distance between the market and grape CBO?	
15	What are the varieties of grape handled in the market?	
16	No. of villages catered by the market?	
17	Name of the villages catered by the market?	
18	What are the Commodities that are sold in the market other than grape?	
19	What is the availability and condition of the means of transport?	
20	Are there cold storage facility in the Market?	
21	Are there facility for grading and packaging of grape in the Market? If yes state capacity	
22	Are there any use of preservatives in the market during storage of grape?	
23	What are the preservatives used?	
24	How much quantity of preservatives are used?	
25	Does the market have power connectivity?	
26	How much is the power requirement in the market?	
27	Does the market has weighing facility?	
28	Is there Availability of committee for the management of market?	
29	Committee is formed out of how many members?	

Wholesale Market Grape

30	Are there any female members in the committee?	
31	Are there any SC/ST members in the committee?	
30	What is the procedure involved in the allotment of space to any seller?	
31	What is the rate at which space is made available?	
32	If there is any increase/decrease of charge, is it based on Government schedule or as per the lessee's assessment?	
33	How the price of commodities fixed (auction or negotiation)?	
34	How is the price disclosure system in the market (price display)?	
35	How is the solid waste managed in the market?	
36	Are there any D.G set used in the market?	
37	Are the D.G sets noise compliant and has stack attached	
38	How many woman sellers are allotted space in the market?	
39	How many SC sellers are allocated space in the market?	
40	How many SC sellers are allocated space in the market?	
41	Is there any drinking water facility in the market?	
42	Is there any toilet in the market?	
43	Are there separate toilets for male and female?	
44	Are the toilets cleaned daily?	
45	How is the wastewater handled in the market?	
46	Facility for childcare available for women and children?	
47	Are there any plans for enhancement of the market place?	
48	Are there plans for expansion of the market place?	
49	Does the expansion plan require additional land for expansion?	
50	Does additional land requirement involve acquisition of private land?	
51	How far is the police station from the market?	
52	How far is the bank from the market?	
53	Are there any Food quality standards being complied by the market?	
54	Are there any quality checks being done in the market?	
55	What are the issues being faced in the market?	Transportation: Storage:
56	Do you face any challenges that are particularly due to climate change? Eg damage to grape due to increased temperatures.	
57	Is there any Grievance Redressal Mechanism available?	
58	In case of any grievance where do you file complaint?	
59	How much time does it take to resolve the issue?	
60	Where complaint can be filed by hard copy/Mobile/online?	

F. Stakeholder Questionnaire – Retailer

Table 46: Questionnaire for Retailers

Retailer		
Name of the Interviewer:		
Name of the interviewee:		
Date of interview:		
Place of interview:		
S. No.	Questions	Response
1	Name of the Retailer	
2	What is the type of Retailer (Corporate /SME/ Start-up)?	
3	Name of the Promoter / Partners	
4	Address of the Retailer	
5	Contact No.	Telephone: Mobile:
6	E-mail ID	
7	When was the Retail Set-up?	
8	What are the commodities handled in the Retail Shop?	
9	What is the total land holding of the Retail shop?	
10	What is the Landownership status of the market place (RMC, P&RD, ULB or private?	
11	What is the Rate of lease money for land and where its deposited?	
12	Are there mechanism for dissemination of price in the Market?	
13	What is the quantity of commodity required by the retailer?	
14	Is the desired quantity or the demand met by the retailer?	
15	What is the Average distance between the CBO/Market/Farmer from the retailer?	
16	How are the commodities transported to the retailer?	
17	How much is the storage space available with the retailer?	
18	Does the retailer has cold storage facility?	
19	Retailer has how many collection centres?	
20	Does the retailer has any contract signed with the supplier?	
21	How are the commodities transported to the Consumers?	
22	What is the quality standards set for the commodity by the retailer?	
23	Are there any quality checks done by the retailer before accepting the commodity?	
24	How is the rejected material handled by the retailer?	
25	Are there any processing and packaging facility with the retailer?	
26	Are there any use of preservatives during storage of commodity?	

Retailer

27	What are the preservatives used?	
28	How much quantity of preservatives are used?	
29	Does the retailer have power connectivity?	
30	How much is the power requirement?	
31	Does the Retailer has weighing facility?	
32	How is the waste managed by the retailer?	
33	How many workers are there with the retailer?	
34	Are there any female workers?	
35	Are there any SC/ST workers?	
36	If there is any increase/decrease of charge, is it based on Government schedule or as per the lessee's assessment?	
37	How the price of commodities fixed (auction or negotiation)?	
38	How is the price disclosure system in the market (price display)?	
39	Are there any D.G set used by the retailer?	
40	Are the D.G sets noise compliant and has stack attached	
41	How many woman sellers approach retailer?	
42	How many SC sellers are approach retailer?	
43	How many SC sellers approach retailer?	
44	Are there any plans for increasing the capacity?	
45	Does the expansion plan require additional land for expansion?	
46	Does additional land requirement involve acquisition of private land?	
47	Are there any Food quality standards being complied by the Retailer?	
48	Do the Retailer has FSSAI license?	
49	What are the issues being faced the retailer?	Transportation: Storage:
50	Do you face any challenges that are particularly due to climate change? Eg damage to commodity due to increased temperatures.	
51	Is there any Grievance Redressal Mechanism available?	
52	In case of any grievance where do you file complaint?	
53	How much time does it take to resolve the issue?	
54	Where compliant can be filed by hard copy/Mobile/online?	

G. Social Assessment – Household Questionnaire

I. Identification Particulars of Respondent

S. No.	Description	Responses
1.	Name of respondent	
2.	Name of district	
3.	Name of block	
4.	Name of cluster	
5.	Name of village panchayat	
6.	Address of household	
7.	Contact phone number	
8.	Date of interview	
9.	Name of interviewer	

II. Demographic particulars of the household

S. No.	Questions	Response
10.	Whether woman headed household?	a. Yes b. No
11.	Details of household members	
	Name of member	Relationship to head
		Sex (Male / Female)
		Age in years
		Occupation*
		Whether working under MGNREGA

* Note:

a. Farming (own land)	b. Farming (leased land)	c. Agricultural labour
d. Casual labour	e. Business / shop	f. Government service
g. Private service	h. Others specify: _____	

S. No.	Questions	Response																														
12.	Household Size	(in numbers)																														
13.	Household type	a. Nuclear family b. Joint family																														
14.	Social group	a. Scheduled tribe b. Scheduled caste c. Other backward classes d. Others specify:																														
15.	If scheduled tribe, name of the tribe																															
16.	Whether household has ration card, if yes, then:	a. APL card (in saffron color, with income up to INR One lakh per year) b. BPL card (yellow color) c. White (all others)																														
17.	Monthly household income	Rs.																														
18.	Monthly household expenditure	<table> <tr> <th>S. No.</th><th>Item</th><th>Rs.</th></tr> <tr> <td>i.</td><td>Food</td><td></td></tr> <tr> <td>ii.</td><td>Clothes, footwear</td><td></td></tr> <tr> <td>iii.</td><td>House rent</td><td></td></tr> <tr> <td>iv.</td><td>Education</td><td></td></tr> <tr> <td>v.</td><td>Medicines</td><td></td></tr> <tr> <td>vi.</td><td>Consumer services (electricity, water, telephone, cable TV etc.)</td><td></td></tr> <tr> <td>vii.</td><td>Conveyance</td><td></td></tr> <tr> <td>viii.</td><td>Others</td><td></td></tr> <tr> <td>ix.</td><td>Total</td><td></td></tr> </table>	S. No.	Item	Rs.	i.	Food		ii.	Clothes, footwear		iii.	House rent		iv.	Education		v.	Medicines		vi.	Consumer services (electricity, water, telephone, cable TV etc.)		vii.	Conveyance		viii.	Others		ix.	Total	
S. No.	Item	Rs.																														
i.	Food																															
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iv.	Education																															
v.	Medicines																															
vi.	Consumer services (electricity, water, telephone, cable TV etc.)																															
vii.	Conveyance																															
viii.	Others																															
ix.	Total																															

III. Housing Information

S. No.	Questions	Response
19.	Home ownership	a. Owned b. Rented c. Lease
20.	Home category	a. Pucca b. Semi-pucca c. Kutcha
21.	Whether home having electricity supply?	a. Yes b. No

S. No.	Questions	Response
22.	What is main source of drinking water for members of your household?	a. Piped water in residence / yard / plot b. Public tap c. Public hand pump d. Hand pump in residence / yard / plot e. Well water in residence / yard / plot f. Tanker truck g. Bottled water / water can h. Other (specify)
23.	Whether toilet facility is available for the household?	a. Yes, public toilet b. Yes, private toilet c. No toilet
24.	Type of fuel used for cooking	a. LPG / Natural gas b. Bio-gas c. Electricity d. Kerosene e. Coal / charcoal f. Firewood / dung g. Others
25.	Household assets possessed	a. T.V b. Fan c. Telephone / mobile d. Refrigerator e. Two-wheeler f. Four-wheeler g. Computer
26.	Farm assets possessed by household	a. Tractor b. Power Tiller c. Combined thresher / harvester d. MB Plough e. Disc / blade harrow f. Seed drill g. Chaff cutter h. Sprayer i. Sprinkler j. Drip k. Diesel engine l. Electric motor m. Bullock cart n. Livestock

IV. Agricultural productivity details of the household

S. No.	Questions	Response
27.	Land owned by household as on date	 (in hectares)
28.	Land possessed / leased by household as on date	 (in hectares)
29.	Land cultivated by household (including orchard and plantations)	 (in hectares)
30.	Major five crops cultivated:	
	Crop name	Area in hectares
		Yield in quintal/ Hectare
31.	Do you receive any guidance on correct use of fertilizers and pesticides from the following?	a. Yes, Department of agriculture b. Yes, trained farmers c. Yes, suppliers d. Yes - app, messages, website, social media etc. e. No
32.	What is the main challenge that you face in agricultural productivity? (top three)	a. Lack of adequate irrigation b. High costs of seeds c. High costs of fertilizers d. Lack of access to farm assets???? e. Higher cost of fuel for tractor and power tiller f. Higher cost of labour g. Lack of access to credit facilities h. Lack of <u>access</u> to government schemes i. Lack of knowledge on alternate /choice of crop based on soil properties j. Lack of knowledge on choice of crop based on season k. Others specify ----
33.	How do you sell your produce?	a. Directly to consumers b. Through agents c. APMC /Mandi d. a and b e. a and c f. a, b and c

S. No.	Questions	Response
34.	What is the main challenge that you face in marketing of produce?	a. Distance from the market b. Higher transportation costs c. Low prices d. Lack of knowledge on quality requirements for the produce e. Lack / inadequate storage facilities f. Others specify -----
35.	Do you have crop insurance?	a. Yes, specify crop: b. No
36.	Have you received compensation from crop insurance?	a. Yes, specify year: b. No
37.	Whether loans obtained for agriculture?	a. Cooperative crop loan b. Bank crop loan c. Long term loan (machinery / farm improvement) d. No
38.	Whether repaid bank loans taken?	a. Yes b. In the process of repayment c. No d. Awaiting government to waive off the loans
39.	Whether received any training on:	a. Use of inputs b. Postharvest practices c. risk management d. Use of machineries e. Others specify -----
40.	Do you require further training on?	a. Use of inputs b. Use of machineries c. Others specify -----
41.	Do you follow any of the sustainable farming: (tick all that apply)	a. Natural mulching b. Micro-irrigation (drip/sprinkler) c. In-situ crop residue incorporation d. Composting e. Practice of organic farming f. Farm solid waste management g. Precision farming h. Biological treatment of plant diseases i. Use of bio fertilizers j. Use of bio pesticides k. Safe disposal of pesticide containers
42.	Whether adopted any climate-proofing agricultural practices? (tick all that apply)	a. Use of climate resilient varieties of seeds b. Development of seed banks

S. No.	Questions	Response
		c. Multiple cropping d. Use of agro-advisory system e. Water harvesting f. Water budgeting g. Others' specify:
43.	Type of irrigation pump used	h. Diesel based i. Others specify:
44.	Whether willing to shift to solar pump-based irrigation through Mukhyamantri Saur Krushi Pump Yojana?	a. Yes b. No
45.	Suggestions, if any on addressing challenges faced in agriculture	

V. Livestock Productivity details of the Household (if applicable)

S. No.	Questions	Response			
46.	Livestock assets owned:				
Item	Whether household owns item	Numbers			
		Desi	CB	Exotic	Total
Cows	a. Yes b. No				
Buffaloes	a. Yes b. No				
Goats / sheep	a. Yes b. No				
Pigs	a. Yes b. No				
Poultry	a. Yes b. No				
Rabbits	a. Yes b. No				
Others					

S. No.	Questions	Response
47.	Share of Household income from Livestock rearing	a. 0 to 10 b. 10 – 20 c. 20-40 d. 40-60 e. More than 60
48.	What is the main challenge that you face in livestock productivity? (top three)	a. High cost of procuring animals b. High costs of feeds c. Lack of access to grazing lands

		d. Higher cost of sheds / shelter for animals e. Higher cost of labour f. Lack of access to credit facilities g. Lack of access to government schemes h. Lack of knowledge on diseases prevention of animals i. Lack of adequate veterinary facilities j. Others specify ---- k. Zero sales realisation from sale of old animals l. Lack of availability of high yielding animals m. Lack of training on maintaining good quality hybrid animals
49.	How do you sell your produce?	a. Direct sale to end consumer b. Sale to organised sector (big dairy or retail chain) c. Through agents d. Direct sale at Mandies e. Others
50.	Where do you sell your produce	a. Own Premises b. Own Village c. Nearby village d. Nearby mandi e. Others
51.	What is the main challenge that you face in marketing of produce?	a. Distance from the market b. Higher transportation costs c. Lower pricing d. Price volatility e. Lack of knowledge on quality requirements for the produce f. Lack / inadequate storage facilities g. Exploitative middlemen h. Others specify -----
52.	Cost incurred for selling	Rs.
53.	Seasonality of price	
54.	Whether bank loans obtained for livestock?	a. Yes b. No
55.	Whether repaid bank loans taken?	a. Yes b. In the process of repayment c. No

		d. Awaiting government to waive off the loans
56.	Do you have cattle insurance?	a. Yes b. No
57.	Was the cattle insurance linked to your bank loan?	a. Yes b. No
58.	Have you benefited from cattle insurance?	a. Yes b. No
59.	Have you received any training on?	a. Nutrition b. Disease prevention c. Productivity Improvement d. Animal management e. Animal Breeding f. Others specify -----
60.	Do you require additional training on?	a. Nutrition b. Disease prevention c. Productivity Improvement d. Animal management e. Animal Breeding f. Others specify -----
61.	Type of grazing adopted for livestock	a. Open / stall feeding b. Partial grazing
62.	Do you follow practice of injecting oxytocin to enhance milk production of livestock, if applicable	a. Yes b. No
63.	Do you provide Diclofenac (Veterinary Pain Killers) to livestock	a. Yes b. No
64.	Do you use body-building supplements (like Dexamethasone steroid 20 ml) for goats?	a. Yes b. No
65.	Do you test livestock for antibiotic and aflatoxins during exports?	a. Yes b. No
66.	In what form do you sell your Produce?	a. Unprocessed b. Minimally processed c. Processed d. Higher value added
67.	Briefly explain how you add value before marketing (e.g: Paneer/Curd/Ghee making)	
68.	If, no value added, have you thought about value addition of your produce?	a. Yes b. No
69.	If yes, what are the products that you wish to produce?	

70.	What were the issues faced in preparation of value-added products?	a. Lack of proper training and knowledge b. No market for value added produce in local area c. Small quantity of produce not sufficient for preparation of value added produce d. Not economically viable e. Others specify -----
71.	Suggestions, if any on addressing challenges faced in livestock management	

VI. Fisheries' Productivity details of the Household (if applicable)

S. No.	Questions	Response
72.	Type of fish farming	a. Fish production b. Seed production c. Others specify -----
73.	Type of fish/Prawn grown (Varieties, Fresh/Brackish water, etc)	
74.	Type of fishing practice:	a. Net Fishing b. Trawling c. Angling d. Dynamite Fishing e. Electro Fishing f. Fishing with use of Poisons g. Others specify -----
75.	Whether using formaldehyde in fish preservation?	a. Yes b. No
76.	What is the main challenge that you face in fisheries' productivity? (top three)	a. High cost of seeds b. Lower stocking density due to high costs c. Lack of adequate knowledge on use of chemicals d. Higher cost of labour e. Lack of access to credit facilities f. Lack of access to government schemes g. Lack of knowledge on timely diseases prevention h. Others specify ----
77.	How do you sell your produce?	a. Directly to end consumer b. Through agents c. Both (Indicate the share of each in % ---)

78.	What is the main challenge that you face in marketing of produce?	a. Distance from the market b. Higher transportation costs c. Lower pricing d. Lack of demand when final product is ready (role of middle men) e. Lack of knowledge on quality requirements for the produce f. Lack / inadequate storage facilities g. Others specify -----
79.	Do you have insurance coverage for fishery?	a. Yes b. No
80.	Have you availed insurance for fishery?	a. Yes b. No
81.	Whether bank loans obtained for fisheries?	a. Yes b. No
82.	Whether repaid bank loans taken?	a. Yes b. In the process of repayment c. No d. Awaiting government to waive the loans
83.	Whether received any training on:	a. Use of chemicals for fisheries b. Disease prevention c. Improving productivity of fishes d. Specific fish species/breed to be reared e. Nutritional/Management requirement of specific fishes f. Others specify -----
84.	Do you require further training on?	a. Use of chemicals for fisheries b. Disease prevention c. Improving productivity of fishes d. Others specify -----
85.	Suggestions, if any on addressing challenges faced in livestock management	

VII. Women's Empowerment

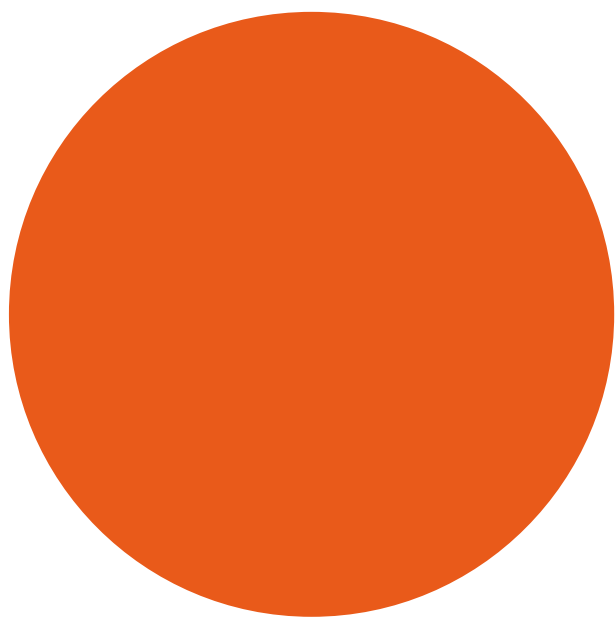
S. No.	Questions	Response
86.	Whether any of the women in family, members of SHG?	a. Yes b. No
87.	Whether the women family members attend SHG meetings?	a. Yes b. No
88.	In the last one month, how many times, did they attend SHG meetings	----- (in numbers)

S. No.	Questions	Response
89.	Whether any female members in the household part of village panchayat?	a. Yes b. No
90.	Are female members in your family, part of village level committees?	a. Yes b. No
91.	On an average, how much percent of women in the village participate in village level committees:	
92.	Whether women in family hold bank account?	a. Yes b. No
93.	Whether women in family hold property / fixed asset in her name?	a. Yes b. No c. It is in joint name d. Cannot say
94.	Whether in-house toilet facility available for women in the household?	a. Yes b. No
95.	Do female members in the households take decision on the following:	
Marriage		a. Yes b. No c. Not applicable
Education		a. Yes b. No c. Not applicable
Purchase of assets		a. Yes b. No c. Not applicable
Migration		a. Yes b. No c. Not applicable
Occupation		a. Yes b. No c. Not applicable
96.	Do female members in the households need permission to visit the following:	
Health centre		a. Yes b. No c. Not applicable
Friend's / relatives house / outside village		a. Yes b. No c. Not applicable
Bank / post office		a. Yes b. No c. Not applicable

S. No.	Questions	Response
	Gram sabha	a. Yes b. No c. Not applicable
	SHG meeting	a. Yes b. No c. Not applicable
	Local market	a. Yes b. No c. Not applicable
	Other shopping	a. Yes b. No c. Not applicable

VIII. Marginalized population (SC/ST and indigenous people):

S. No.	Questions	Response
97.	Whether marginalized members in the village participate in decision-making in gram sabha?	a. Yes b. No c. Not aware
98.	Whether marginalized members engaged as labourers provided with fair wages and practices?	a. Yes b. No c. Not aware
99.	Whether grievance redress mechanism available for marginalized members in the village?	a. Yes b. No c. Not aware



PCMU- SMART PROJECT

Mott Macdonald Pvt. Ltd. Ledger Account

1-Apr-18 to 1-Jul-23

Page 1

Date	Particulars	Vch Type	Vch No.	Debit	Credit
22-May-19	Cr (as per details)	Payment	35	2,97,988.00	
	TDS 10% Mott Macdonald Pvt. Ltd.	25,254.00 Cr			
	Bank of Maharashtra	2,72,734.00 Cr			
31-Mar-20	Cr (as per details)	Payment	279	4,46,983.00	
	TDS 10% Mott Macdonald Pvt. Ltd.	37,880.00 Cr			
	IGST 2% Mott Macdonald Pvt. Ltd.	7,576.00 Cr			
	DDO Treasury Bank Account	4,01,527.00 Cr			
				7,44,971.00	
	Dr Closing Balance				7,44,971.00
				7,44,971.00	7,44,971.00
1-Apr-20	Cr Opening Balance			7,44,971.00	
17-Jul-20	Cr (as per details)	Payment	37	9,23,764.00	
	TDS 10% Mott Macdonald Pvt. Ltd.	78,285.00 Cr			
	IGST 2% Mott Macdonald Pvt. Ltd.	15,657.00 Cr			
	Canara Bank	8,29,822.00 Cr			
				16,68,735.00	
	Dr Closing Balance				16,68,735.00
				16,68,735.00	16,68,735.00

Original / Duplicate

TAX INVOICE

Project Director
State of Maharashtra's Agri Business and Rural Transformation Project
F/E, 78, LDB Training Center Building
Gultekdi, Market Yard, Pune-411037
State: Maharashtra
State Code: 27
GSTIN/UIN: Not Available

Invoice No. : UPCDIR0122
Invoice Date : 02/05/2019
Customer Code : New
Project No. : 408004AA01
Place of Supply : Maharashtra

DESCRIPTION

AMOUNT (₹)

AMOUNT (₹)

Being 10% of our total fees (INR 25,25,324/-) towards Submission of the inception report as Consultancy Services for Environmental and Social Assessment(ESA) for the SMART Project as per Contract No.SMART/PMU/CS/01/2018-19/01 and Loan No.P 168310 dated 8th March 2019.

252,532

Total Contract Price: INR 25,25,324
(Remuneration INR 18,50,324 + Reimbursable Expenses INR 6,75,000)
10% of ₹25,25,324- - Towards Submission of the inception report

252,532

Add : IGST @ 18%

45,456

Total Tax

45,456

(INR Two Lakh Ninety Seven Thousand Nine Hundred Eighty Eight Only)
(SAC: 998331)

297,988

No Tax Payable On Reverse Charge Basis On This Invoice

For Mott MacDonald Private Limited

Our Banker's Details for Payment
Beneficiary Name – Mott MacDonald Private Limited
Bank Name - Bank of India
Branch – Mumbai Large Corporate Branch
Account No.: 004930100006107
IFSC Code: BKID0000160

PAN No. AAACD2029F
GSTIN.: 09AAACD2029F2Z1
CIN.: U74210MH1970PTC014650

Arijit Bhattacharya
Project Principal

Subject to Mumbai jurisdiction

MOTT
MACDONALD

Original
TAX INVOICE

State of Maharashtra's Agri Busi&Rural Tra Project
F/E, 78, LDB Training Center
Building, Gultekdi, Market Yard
Pune-411037
State: Maharashtra
State Code: 27
TIN/UIN: UNREGISTERED

Invoice No.: UPCDIM0062
Invoice Date: 11/11/2019
Place Of Supply: Maharashtra
Customer Code: S800323
Project Number: 408004
Lead Number:

DESCRIPTION	AMOUNT (Rs.)	AMOUNT (Rs.)
ing 15% of our total fees (INR 25,25,324/-) towards submission of Draft ESMF and after sub of proof of completion of consultation workshops as Consultancy Services for Environmental and Social Assessment(ESA) for the SMART Project as per Contract No.SMART/PMU/CS/01/2018-19/01 and Loan P 168310 dated 8th March 2019.		378,799
Submission of Draft ESMF and after sub of proof of completion	378,799	
IGST @ 18.00 %	68,184	68,184
al Tax		
Passed For Payment For Rs. <u>446,983 L</u> <u>Four Lakh Forty Six Thousand Nine Hundred Eighty Three only</u> Finance Specialist State of Maharashtra's Agribusiness and Rural Transformation, SMART Society, Pune		
FOUR LAKH FORTY SIX THOUSAND NINE HUNDRED EIGHTY THREE ONLY.		446,983

C/HSN : 998331)

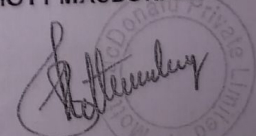
Tax Payable On Reverse Charge Basis On This Invoice

For, MOTT MACDONALD PVT LTD

Banker's Details for Payment

Beneficiary Name - Mott MacDonald Private Limited
Bank Name - Bank of India
Branch - Mumbai Large Corporate Branch
Account No.: 004930100006107
C Code: BKID0000160
R Code: BKIDINBBMLC
V No. AAACD2029F
TIN.: 09AAACD2029F2Z1
.: U74210MH1970PTC014650

Subject to Mumbai Jurisdiction



Arijit Bhattacharya
(Project Principal)

Floor, Tower C, Plot No.5, Logix, Techno Park, Sector-127, Noida - 201301 Uttar Pradesh, India
1 (0) 120 4608100
www.mottmac.in

Building, Hiranandani Gardens, Powai, Mumbai- 400076, India

MOTT
MACDONALD

Original
TAX INVOICE

State of Maharashtra's Agri Busi&Rural Tra Project
F/E, 78, LDB Training Center
Building, Gultekdi, Market Yard
Pune-411037
State: Maharashtra
State Code: 27
TIN/UIN: UNREGISTERED

Invoice No.: UPCDIM0062
Invoice Date: 11/11/2019
Place Of Supply: Maharashtra
Customer Code: S800323
Project Number: 408004
Lead Number:

DESCRIPTION	AMOUNT (Rs.)	AMOUNT (Rs.)
ing 15% of our total fees (INR 25,25,324/-) towards submission of Draft ESMF and after sub of proof of completion of consultation workshops as Consultancy Services for Environmental and Social Assessment(ESA) for the SMART Project as per Contract No.SMART/PMU/CS/01/2018-19/01 and Loan P 168310 dated 8th March 2019.		378,799
submission of Draft ESMF and after sub of proof of completion	378,799	
IGST @ 18.00 %	68,184	68,184
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Passed For Payment For Rs. <u>446,983 L</u> <u>Four Lakh Forty Six Thousand Nine Hundred Eighty Three only</u> Finance Specialist State of Maharashtra's Agribusiness and Rural Transformation, SMART Society, Pune		
FOUR LAKH FORTY SIX THOUSAND NINE HUNDRED EIGHTY THREE ONLY.		446,983

C/HSN : 998331)

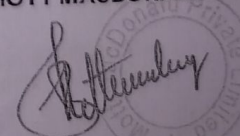
Tax Payable On Reverse Charge Basis On This Invoice

For, MOTT MACDONALD PVT LTD

Banker's Details for Payment

Beneficiary Name - Mott MacDonald Private Limited
Bank Name - Bank of India
Branch - Mumbai Large Corporate Branch
Account No.: 004930100006107
C Code: BKID0000160
R Code: BKIDINBBMLC
V No. AAACD2029F
TIN.: 09AAACD2029F2Z1
.: U74210MH1970PTC014650

Subject to Mumbai Jurisdiction



Arijit Bhattacharya
(Project Principal)

Floor, Tower C, Plot No.5, Logix, Techno Park, Sector-127, Noida - 201301 Uttar Pradesh, India
1 (0) 120 4608100

www.mottmac.in

Building, Hiranandani Gardens, Powai, Mumbai- 400076, India

It is Certified that draft ESMP Report and Submission of proof of completion & Consultation workshop is satisfied. Hence, the 03rd consultancy fees for the assignment be kindly paid to Mott MacDonald Pvt. Ltd. as per covering Note, please.

Ravinder Parmar

Ravinder Parmar
Env. Specialist, SMART

प्रमाणपत्र

- १) सदर देयकात नमुद खर्च हा शासकीय प्रयोजनार्थ करण्यात आला आहे.
- २) सदरचा खर्च हा वर्ल्ड बँकेच्या खरेदी धोरणानुसार निविदा/दर करारा प्रमाणे करण्यात आलेला आहे.
- ३) सदरची सेवा सुव्यवस्थित/साहित्य सुस्थितीत प्राप्त झालेले आहे.
- ४) सदरच्या खर्चास संक्षम अधिकाऱ्यांची मान्यता देण्यात आली आहे.
- ५) सदरच्या खर्चाची नोंद नोंदवहीत पृष्ठ ...16.../प
वर करण्यात आली आहे.

Administrative Officer
State of Maharashtra Agribusiness and
Rural Transformation, SMART Society, Pune

M
M
MOTT
MACDONALD

Duplicate
TAX INVOICE

To: State of Maharashtra's Agri Busi&Rural Tra Project
F/E, 78, LDB Training Center
Building, Gultekdi, Market Yard
Pune-411037

State : Maharashtra

State Code : 27

GSTIN/UIN : UNREGISTERED

Invoice No. : UPCDIM0062
Invoice Date : 11/11/2019
Place Of Supply : Maharashtra
Customer Code : S800323
Project Number : 408004
Lead Number :

DESCRIPTION	AMOUNT (Rs.)	AMOUNT (Rs.)
Being 15% of our total fees (INR 25,25,324/-) towards submission of Draft ESMF and after sub of proof of completion of consultation workshops as Consultancy Services for Environmental and Social Assessment(ESA) for the SMART Project as per Contract No SMART/PMU/CS/01/2018-19/01 and Loan No.P 168310 dated 8th March 2019.		378,799

Towards submission of Draft ESMF and after sub of proof of completion

Add : IGST @ 18.00 %
Total Tax

प्रमाणपत्र

- १) सदर देवकात नमुद खर्च हा शासकीय प्रयोजनार्थ करण्यात आला आहे.
- २) सदरचा खर्च हा वर्ल्ड बँकेच्या खरेदी धोरणानुसार निविदा/दर कृपारा प्रमाणे करण्यात आलेला आहे.
- ३) सदरची सेवा सुव्यवस्थित/साहित्य सुस्थितीत प्राप्त झालेले आहे.
- ४) सदरच्या खर्चास सक्षम अधिकाऱ्यांची मान्यता देण्यात आली आहे.
- ५) सदरच्या खर्चाची नोंद नोंदवहीत पृष्ठ 02 / प करण्यात आली आहे.

[Signature]

Pooja P. Bhat, Deputy Dir. Agr

RS. FOUR LAKH FORTY SIX THOUSAND NINE HUNDRED EIGHTY THREE ONLY.

(SAC / HSN : 998331)

No Tax Payable On Reverse Charge Basis On This Invoice

Our Banker's Details for Payment

Beneficiary Name - Mott MacDonald Private Limited
Bank Name - Bank of India
Branch - Mumbai Large Corporate Branch
Account No.: 004930100006107
IFSC Code: BKID0000160
Swift Code.: BKIDINBBMLC
PAN No. AAACD2029F
GSTIN.: 09AAACD2029F2Z1
CIN.: U74210MH1970PTC014650

For, MOTT MACDONALD PVT LTD

[Signature]

Arijit Bhattacharya
(Project Principal)

Subject to Mumbai Jurisdiction

5th Floor, Tower C, Plot No.5, Logix, Techno Park, Sector-127, Noida - 201301 Uttar Pradesh, India
t +91 (0)120 4608100
w www.mottmac.in

Mott MacDonald Private Limited. Registered office: Unit No. 101, 1st Floor, Nomura Building, Hiranandani Gardens, Powai, Mumbai- 400076, India