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# **STANDARD OPERATING PROCEDURES (SoPs)**

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ANDHRA PRADESH CAPITAL REGION DEVELOPMENT AUTHORITY  
(APCRDA)

## Table of Contents

Introduction.....	1
Need of the SOPs .....	1
Objective of preparing SoPs.....	1
How to Use the SOPs .....	1
<b>1 Assessment and Management of Environmental and Social Risks and Impacts (SoP): 1 .....</b>	<b>5</b>
1.1 Introduction.....	5
1.2 Objective of SOP 1 .....	5
1.3 Application of the SOP.....	5
1.4 Requirements for SOP 1 .....	5
<b>2 Labor and Working Conditions (SoP): 2.....</b>	<b>23</b>
2.1 Introduction.....	23
2.2 Objective of SOP 2 .....	23
2.3 Application of the SOP.....	23
2.4 Audience .....	23
2.5 Requirements for SOP 2 .....	24
<b>3 Resource Efficiency and Pollution Prevention (SoP): 3 .....</b>	<b>33</b>
3.1 Introduction.....	33
3.2 Objective of SOP 3 .....	33
3.3 Application of the SOP.....	33
3.4 Requirements for SOP 3 .....	34
<b>4 Community Health and Safety (SoP): 4 .....</b>	<b>42</b>
4.1 Introduction.....	42
4.2 Objectives of SOP 4.....	42
4.3 Application of the SOP.....	42
4.4 Requirements for SOP 4 .....	43
<b>5 Biodiversity Conservation (SoP): 5.....</b>	<b>49</b>
5.1 Introduction.....	49
5.2 Objectives of SOP 5.....	49
5.3 Application of the SOP.....	49
5.4 Requirements for SOP 5 .....	50

<b>6</b>	<b>Grievance Redressal Mechanism (GRM) (SoP): 6</b>	<b>60</b>
6.1	Introduction	60
6.2	Objective of SOP 6	60
6.3	Application of the SOP	60
<b>7</b>	<b>Training Plan</b>	<b>65</b>

## List of Tables

Table 0-1:	An Overview of the Standard Operating Procedures and How to Use Them	2
Table 1-1:	Key Requirements for the Assessment and Management of Environmental and Social Risks and Impacts	7
Table 2-1:	Key Requirements for Labor and Working Conditions	24
Table 3-1:	Key Requirements for Resource Efficiency and Pollution Prevention	34
Table 4-1:	Key Requirements for Community Health and Safety	43
Table 5-1:	Key Requirements for Biodiversity Conservation	50
Table 6-1:	SOP for GRM	61

## List of Figures

Figure 1-1:	Assessment and Management of Environment Risks and Impacts	6
Figure 5-1:	Procedures for Identifying Impacts on Biodiversity and Critical Habitats	49

## Appendices

### Annexures of SoP 1

- Annexure I: Suggestive Budget Table
- Annexure II: Monthly Reporting Templates

### Annexure of SoP 2

- Annexure I: Applicable Labor Laws
- Annexure II: Labor Compliance Quarterly Reporting Format
- Annexure III: Template For Grievance Redressal Mechanism
- Annexure IV: Template for Code of Conduct
- Annexure V: Abstract of the Contract Labour Act, 1971
- Annexure VI: Abstract of the Building and Other Construction Workers' (Regulation of Employment and Condition of Service) Act, 1996
- Annexure VII: Abstract of the Payment of Wages Act, 1936 and the Rules Thereunder

Annexure VIII: Abstract of the Payment of Gratuity Act and Rules, 1972

Annexure IX: Abstracts of the Employee Compensation Act, 1923

Annexure X: Abstract of the Maternity Benefit Act, 1961

Annexure XI: Minimum Wages (Central) Rules

Annexure XII: Notice Displaying Employment Details

Annexure XIII: Form-A

Annexure XIV: Form-B

Annexure XV: Form-C

Annexure XVI: Form-D

Annexure XVII: Form-VIII

Annexure XVIII: Form-XII

Annexure XIX: Schedule-III

Annexure XX: Form-XXIII

Annexure XXI: Payment of Wages (Nomination) Rules, 2009

Annexure XXII: Form-XI

Annexure XXIII: Incident Reporting to World Bank

Annexure XXIV: SOP for Traffic Management

### **Annexure of SoP 3**

Annexure I: Environmental Clearance Flowchart

Annexure II: Indicative Mitigation Measures for Efficient Usage of Resources and Pollution Measures

Annexure III: Budget

Annexure IV: Indicative Monitoring Plan

Annexure V: Indicative Reporting Formats

### **Annexure of SoP 4**

Annexure I: GBV Service Providers

Annexure II: World Bank GBV Risk Assessment Tool

Annexure III: Key Considerations during Baseline Survey

Annexure IV: Emergency Response Plan Template

Annexure V: Key Safeguard Measures in Accordance with the National and State Laws and MDBs Standards for Labor Influx Management

Annexure VI: HIRA Format

Annexure VII: Labor Influx Study Tool

Annexure VIII: Template for SEA/SH Action Plan (To be included in the site-specific ESMP)

Annexure IX: Sample GBV Referral Pathway Chart (for reporting of any GBV-related cases from site)

Annexure X: Monitoring Format for GBV Compliance

Annexure XI: Budget Tables

#### **Annexure of SoP 5**

Annexure I: Screening and Scoping

Annexure II: General Guideline for Preparation of Mitigation Measures for Biodiversity Conservation, and Biodiversity Management Plan

Annexure III: Monitoring and Reporting Process

Annexure IV: Budget

#### **Annexure of SoP 6**

Annexure I: Workflow on Parishkram portal

Annexure II: Escalation levels on Pariskaram portal:

Annexure III: Workflow for Grievances received at APCRDA/Field units offices

Annexure IV: Grievance Redressal Mechanism for addressing SEA/SH/GBV grievances

Annexure V: Composition of tier-based mechanism for addressing GBV-related grievances

Annexure VI: Key players in addressing Grievances related to SEA/SH/GBV

Annexure VII: Escalation mechanism based on the severity of GBV grievances.

## Acronyms

Acronym	Acronym description
ADCL	Amaravati Development Corporation Limited
AIUDP	Amaravati Integrated Urban Development Program
APCRDA	Andhra Pradesh Capital Region Development Authority
APPCB	Andhra Pradesh Pollution Control Board
APSBB	Andhra Pradesh State Biodiversity Board
APWALTA	Andhra Pradesh Water, Land And Trees Authority
BMP	Biodiversity Management Plan
BNHS	Bombay Natural History Society
BOCW	Building And Other Construction Workers.
CCI	Child Care Institution
C-ESMP	Contractor's Environmental And Social Management Plan
CIA	Cumulative Impact Assessment
COVID-19	Coronavirus Disease 2019
CPHEEO	Central Public Health And Environmental Engineering Organisation
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
CSR	Corporate Social Responsibility
CTE	Consent To Establish
CTO	Consent To Operate
DPO	District Program Officer
DPR	Detailed Project Report
DSWO	District Social Welfare Officer
EIA	Environmental Impact Assessment
EMP	Environmental Management Plans
ESMP	Environment And Social Management Plans
ESMU	Environment And Social Management Uni
ESMU	Environmental And Social Management Unit
ESS	Environment And Social Standards
GBV	Gender-Based Violence
GGBS	Ground Granulated Blast-Furnace Slag
GOAP	Government Of Andhra Pradesh

<b>Acronym</b>	<b>Acronym description</b>
GIIPs	Good International Industry Practice
GRM	Grievance Redress Mechanism
GVB	Gender-Based Violence
HIRA	Hazard Identification And Risk Assessment
ICAR	Indian Council Of Agricultural Research
ICT	Information And Communication Technology
IFIs	International Financial Institutions
IUCN	International Union For Conservation Of Nature
LMP	Labor Management Procedures
LULC	Land Use And Land Cover
MDB	Multilateral Development Bank
MEPMA	Mission For Elimination Of Poverty In Municipal Areas
MoEFFCC	Ministry Of Environment, Forest & Climate Change (
MSIH	Manufacture, Storage, And Import Of Hazardous Chemicals
NABET	National Accreditation Board For Education And Training
NABL	National Accreditation Board For Testing And Calibration Laboratories
NBA	National Biodiversity Authority
NBWL	National Board For Wildlife
NRSC	National Remote Sensing Centre
OHS	Occupational Health And Safety
OSC	One Stop Centre
Pas	Protected Areas
PgMC	Program Management Consultants
PIA	Project Influence Area
POSH	Prevention Of Sexual Harassment
PPE	Personal Protective Equipment
PUC	Pollution Under Control
RAP	Reclaimed Asphalt Pavement
SEA/SH	Sexual Exploitation And Abuse Or Sexual Harassment
SEAC	State-Level Expert Appraisal Committee
SEAC	State Level Expert Appraisal Committee
SEIAA	State Level Environment Impact Assessment Authority

<b>Acronym</b>	<b>Acronym description</b>
SEP	Stakeholder Engagement Plan
SERP	Society For Elimination Rural Poverty
SOP	Standard Operating Procedure
WWF	World Wide Fund For Nature



## **Introduction**

The Government of Andhra Pradesh (GOAP) plans to build Amaravati as a new capital city on a 217.23 square kilometer site in Guntur district with assistance of World Bank and Asian Development bank through Amaravati Integrated Urban Development Program (AIUDP). Phase I of Amaravati development will be implemented over a period of 5 years (2024–2029) with an estimated investment of \$3.64 billion. The AIUDP program comprises implementing climate-resilient, sustainable, and inclusive infrastructure and service delivery solutions; supporting inclusive green economic growth; and strengthening inclusive governance and financing frameworks. The expected outcomes of the program are access to inclusive, efficient, and resilient infrastructure and public services, and jobs provided.

## **Need of the SOPs**

The Government of Andhra Pradesh has obtained environmental clearances for the capital city development project and is initiating the project after completing all due diligence pertaining to the Environment & Social Management System in compliance with national and state regulations, such as the Environmental Protection Act (1986) and EIA Notification (2006). However, while reviewing the safeguard documents, banks observed some gaps in implementing environmental risk management, including inconsistencies in Environmental Management Plans (EMPs) and Bills of Quantities (BOQs), which have not properly addressed GBV/SEA, GRM and waste management issues. To address these issues, the bank advised preparing Standard Operating Procedures (SOPs) to address gaps in the EMPs, including budgetary provisions in procurement and ensuring regular reporting to the banks as well as regulatory authorities. Further, it has been agreed that SoPs will be prepared and adopted under AIUDP. The bank also advised that these SOPs should be integrated into the planning and implementation of the capital city development project and can also be used in upcoming projects under APCRDA/ADCL, whether funded by state or MDBs.

## **Objective of preparing SoPs.**

Objective of Preparing SOPs to address the current gaps in EMPs to manage key construction-related environmental and OHS risks that were not adequately covered in existing EMPs, such as waste management, wastewater treatment, traffic management, OHS, labor influx, GBV/SEA risks, and GRM. These SOPs address critical E&S procedural requirements at all stages of project preparation, implementation, monitoring, and operation.

## **How to Use the SOPs**

Table 0-1 provides a brief overview of each SOP and how to use them.

**Table 0-1: An Overview of the Standard Operating Procedures and How to Use Them**

Standard operating procedure (SOP)	Brief about the SOP contents	How to use the SOP
<b>SOP 1: Assessment and Management of Environmental and Social (E&amp;S) Risks and Impacts</b>	<ul style="list-style-type: none"> <li>■ E&amp;S risk management: Processes for assessing and managing risks, including screening, impact assessment, and mitigation planning.</li> <li>■ Management plan: Procedures and templates for developing environment and social management plans (ESMPs), and procedures for development of monitoring and reporting.</li> </ul>	<ul style="list-style-type: none"> <li>■ Conduct comprehensive E&amp;S risk screenings as per SOP guidelines.</li> <li>■ Develop ESMPs based on impact assessments.</li> <li>■ Monitor and evaluate to assess the effectiveness of implemented ESMPs.</li> </ul>
<b>SOP 2: Labor and Working Conditions</b>	<ul style="list-style-type: none"> <li>■ Detail steps to prepare and implement labor management procedures (LMPs).</li> <li>■ Steps for implementing employment and working conditions and statutory compliance with labor laws</li> <li>■ Sections from laws or policies that requires compliance for occupational health and safety and labor welfare.</li> <li>■ Procedures for community workers and workers’ grievance management procedures.</li> </ul>	<ul style="list-style-type: none"> <li>■ Prepare LMPs.</li> <li>■ Monitor compliance with labor welfare laws and policies.</li> <li>■ Prepare process and progress monitoring reports.</li> </ul>
<b>SOP 3: Resource Efficiency and Pollution Prevention</b>	<ul style="list-style-type: none"> <li>■ Procedures: Steps for impact assessment and action plans, with budgeting templates.</li> </ul>	<ul style="list-style-type: none"> <li>■ Conduct impact assessments and develop action plans for resource efficiency and pollution prevention.</li> <li>■ Utilize provided templates for monitoring and tracking progress.</li> </ul>
<b>SOP 4: Community</b>	<ul style="list-style-type: none"> <li>■ Impact on host community: Procedures to be followed for</li> </ul>	<ul style="list-style-type: none"> <li>■ Assess impact on host community and develop</li> </ul>

Standard operating procedure (SOP)	Brief about the SOP contents	How to use the SOP
<b>Health and Safety</b>	<p>assessment of impact on host community due to labor influx and construction-induced impacts.</p> <ul style="list-style-type: none"> <li>■ Sexual exploitation and abuse or sexual harassment (SEA/SH) management: Guidelines for preventing and addressing these activities.</li> <li>■ Emergency response and crisis management procedures.</li> </ul>	<p>mitigation plans for addressing health and safety concerns.</p> <ul style="list-style-type: none"> <li>■ Implement measures to prevent SEA/SH and prepare for emergency situations.</li> <li>■ Monitor and report.</li> </ul>
<b>SOP 5: Biodiversity Conservation</b>	<ul style="list-style-type: none"> <li>■ Biodiversity screening to assess risk management plan, including mitigation, monitoring, and reporting.</li> </ul>	<ul style="list-style-type: none"> <li>■ Conduct biodiversity screening and risk assessment or critical habitat assessment.</li> <li>■ Collect baseline data.</li> <li>■ Develop a biodiversity management plan (BMP).</li> <li>■ Evaluate to assess the effectiveness of implemented BMP.</li> <li>■ Monitor and report.</li> </ul>
<b>SOP 6: Grievance Redressal Mechanism</b>	<ul style="list-style-type: none"> <li>■ Setting up of grievance redressal mechanism (GRM).</li> </ul>	<ul style="list-style-type: none"> <li>■ Address and report grievances.</li> <li>■ Monitor and report on stakeholder engagement and GRM.</li> </ul>

Guidance on Assessing and Managing  
Environmental and Social Risks and  
Impacts in APCRDA / ADCL Projects

# Standard Operating Procedure (SoP): 1

Assessment and Management of  
Environmental and Social Risks and Impacts

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# 1 Assessment and Management of Environmental and Social Risks and Impacts (SoP): 1

## 1.1 Introduction

The APCRDA & the ADCL has developed SOPs that detail processes and procedures aligned with the Environment and Social Standards (ESS) requirements of various Multilateral Development Banks (MDBs), Good International Industry Practice (GIIPs) and relevant acts / regulations of Government of India and Government of Andhra Pradesh. The SOPs emphasize the importance of integrating E&S considerations into decision-making to promote sustainable development outcomes. This approach will strengthen the existing processes of the Government of Andhra Pradesh by aligning them with the practices of MDBs. It also underscores the need for stakeholder engagement, transparency, and accountability in managing E&S risks and impacts.

SOP 1 covers assessment and management of E&S risks and impacts required for the APCRDA & ADCL's investments that entail civil works. The SOP lays down procedures for identification, assessment, minimization, and mitigation of E&S risks and impacts, including monitoring and evaluating these impacts throughout the project cycle.

## 1.2 Objective of SOP 1

The key objectives are to define procedures for screening and scoping, determining the level of E&S risk, conducting impact assessments, and adopting mitigation measures, that is:

- **Risk identification:** Identify potential E&S risks associated with the project at planning and implementation stages.
- **Impact assessment:** Assess the potential E&S impacts of the project throughout its life cycle, including during the construction, operation, and decommissioning phases.
- **Mitigation and management:** Adopt a mitigation hierarchy approach to anticipate and avoid risks and impacts. Where avoidance is not possible, minimize or reduce risks and impacts to acceptable levels. Once risks and impacts have been minimized or reduced, mitigate. Where significant residual impacts remain, compensate for or offset them, where technically and financially feasible.

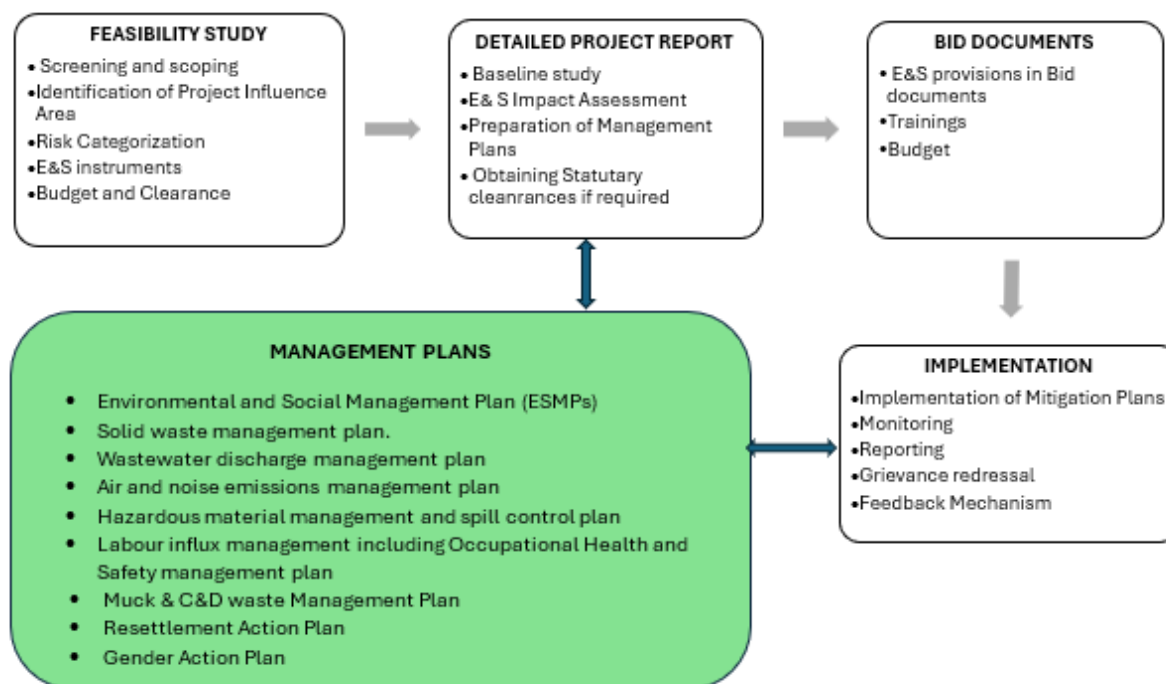
## 1.3 Application of the SOP

SOP 1 provides guidelines for APCRDA & ADCL's staff responsible for planning and implementation of capital region development projects, concerned consultants like Program Management Consultants (PgMC), Project Management Consultants (PMC), etc. and contractors associated with the APCRDA & the ADCL to assess and manage E&S risks in projects in compliance with national and state laws and regulations, including MDBs and GIIPs.

## 1.4 Requirements for SOP 1

The procedures for conducting the E&S risk assessment and formulating E&S instruments for mitigation.

## Environmental and Social Risks and Impact Assessment



**Figure 1-1: Assessment and Management<sup>1</sup> of Environment Risks and Impacts<sup>2</sup>**

<sup>1</sup> Management section and sub sections were applicable for the ongoing projects including WB/ADB assisted AIUDP/AISCCDP

<sup>2</sup> Assessment section and sub sections were applicable for the Upcoming and new projects/Private Institutes

**Table 1-1: Key Requirements for the Assessment and Management of Environmental and Social Risks and Impacts**

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility	
<b>Feasibility study – Environmental and Social (E&amp;S) screening and scoping</b>					
01	Screening and scoping	<ul style="list-style-type: none"> <li>Section 7 (II and III) of the Environmental Impact Assessment (EIA) Notification, 2006</li> </ul>	i. Conduct public consultation with stakeholders and local communities to gather additional information and understand their concerns and perceptions regarding project’s potential impacts. ii. Use the screening output to establish the category of E&S risks given and scope the boundary of the E&S assessment.  <b>Note:</b> The screening criteria will undergo revisions or updates if additional E&S impacts are identified or if there are changes in national rules and regulations.	Empaneled Accredited EIA Consultant <sup>3</sup>	
			<b>Screening and scoping as per Section 7 of EIA Notification, 2006:</b>		Andhra Pradesh State Environment Impact Assessment Authority (SEIAA)
			Screening	State-level expert appraisal committee (SEAC) will determine whether a category B project would require further EIA. The projects requiring an EIA report are category B1 and remaining projects will be category B2.	
Scoping <sup>4</sup>	Expert appraisal committee (EAC) in case category A project and SEAC in case of category B project determines the comprehensive terms of reference (ToR) for the preparation of the EIA report.				

<sup>3</sup> Accredited EIA Consultant Organizations [https://eia.nabet.qci.org.in/Accredited\\_EIA\\_Consultant.aspx](https://eia.nabet.qci.org.in/Accredited_EIA_Consultant.aspx)

<sup>4</sup> Process starts with submission of Form 1 and Form 1A(See <https://environmentclearance.nic.in/report/downloadForm.html>), including the proposed ToR to the EAC or SEAC for category A and category B1/B2, respectively. Based on these documents, the EAC or SEAC will determine the comprehensive ToR and will convey to the APCRDA & the ADCL within 60 days of receipt of Form 1.

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility								
			<b>Note:</b> The screening process will determine whether the project requires an EIA, a cumulative impact assessment (CIA), or an environmental and social management plan (ESMP).									
02	Determine project influence area (PIA)	<ul style="list-style-type: none"> <li>• General condition stipulated in the schedule of EIA Notification, 2006</li> <li>• General conditions are not applicable to Building projects/township and area development projects, EIA notification 2006</li> </ul>	<p>i. As per the general condition stipulated in the Schedule of EIA Notification, 2006, “Any project or activity specified in category ‘B’ will be treated as category A, if located in whole or in part within 10km from the boundary of: (a) protected areas notified under the Wild Life (Protection) Act, 1972, (b) critically polluted areas as identified by the Central Pollution Control Board from time to time, (c) eco-sensitive areas as notified under section 3 of the Environment (Protection) Act, 1986, and (d) inter-state boundaries and international boundaries.” Based on this requirement, it is recommended to use a 10km radius as the PIA for gathering secondary environmental data.</p> <p>ii. In other circumstances, where impacts remain within the project footprint area, a PIA of 500m is considered for collecting primary environmental data.</p> <p><b>Note:</b> Adjustments to the PIA for collecting primary environmental data would be required if any of the parameters listed under point (i) are observed and/or the impacts go beyond the footprint area.</p>	Empaneled Accredited Consultant EIA								
03	Risk categorization and establishing preparation of E&S instruments	<ul style="list-style-type: none"> <li>• Schedule of EIA Notification, 2006</li> </ul>	<p>i. <b>Categorization as per EIA Notification, 2006 and its subsequent amendments:</b></p> <p>The Schedule of EIA Notification, 2006 lists projects or activities under categories A and B:</p> <table border="1"> <thead> <tr> <th>Category<sup>5</sup></th> <th>Report type</th> <th>Clearance</th> <th>Authority</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Category <sup>5</sup>	Report type	Clearance	Authority					Empaneled Accredited Consultant EIA
Category <sup>5</sup>	Report type	Clearance	Authority									

<sup>5</sup> Most of the APCRDA & the ADCL projects fall within category B as per the EIA Notification, 2006 (that is, covering land area ≥ 50 hectares and or built up area ≥ 1,50,000 square Meters).



Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility															
			<table border="1" data-bbox="848 277 1697 531"> <tr> <td data-bbox="848 277 1003 363">A</td> <td data-bbox="1003 277 1245 363">Detailed report</td> <td data-bbox="1245 277 1552 363">EIA</td> <td data-bbox="1552 277 1697 363">Environmental clearance (EC)</td> <td data-bbox="1697 277 1742 363">MoEFCC</td> </tr> <tr> <td data-bbox="848 363 1003 450">B1</td> <td data-bbox="1003 363 1245 450">Detailed report</td> <td data-bbox="1245 363 1552 450">EIA</td> <td data-bbox="1552 363 1697 450">EC</td> <td data-bbox="1697 363 1742 450">SEIAA</td> </tr> <tr> <td data-bbox="848 450 1003 531">B2</td> <td data-bbox="1003 450 1245 531">Prefeasibility report</td> <td data-bbox="1245 450 1552 531"></td> <td data-bbox="1552 450 1697 531">EC</td> <td data-bbox="1697 450 1742 531">SEIAA</td> </tr> </table> <p data-bbox="848 531 1742 608">The detailed EC process is provided in SOP 3 - Resource Efficiency and Pollution Pprevention.</p> <p data-bbox="848 655 1742 799">ii. Risk Categorization by MDBs or external funding agencies: All MDBs have their own frameworks for categorizing projects, such as categories A, B, and C. Based on the project's category, they have guidelines to address any potential E&amp;S impacts</p> <p data-bbox="848 799 1742 906">iii. An independent consultant (accredited by NABET) will be hired for Category A/B1 projects to conduct the EIA study and obtain EC wherever required</p>	A	Detailed report	EIA	Environmental clearance (EC)	MoEFCC	B1	Detailed report	EIA	EC	SEIAA	B2	Prefeasibility report		EC	SEIAA	
A	Detailed report	EIA	Environmental clearance (EC)	MoEFCC															
B1	Detailed report	EIA	EC	SEIAA															
B2	Prefeasibility report		EC	SEIAA															
04	Budget clearance and	<ul style="list-style-type: none"> <li data-bbox="562 922 819 991">• Section 7 (II) of EIA Notification, 2006</li> </ul>	<p data-bbox="848 922 1742 986">i. Estimate the cost of E&amp;S risk management for the project cost-benefit analysis in the feasibility study.</p> <p data-bbox="848 986 1742 1129">ii. Based on the above risk categorization identified in the feasibility study, develop ToR to prepare E&amp;S instruments (detailed EIA / ESIA, EMP/ESMP, biodiversity management plan (BMP), Resettlement Action Plan (RAP), labor management procedure (LMP), and so on.)</p> <p data-bbox="848 1129 1742 1198">iii. Estimate the monitoring, mitigation, and capacity building costs of E&amp;S risk and impacts of the project activities.</p> <p data-bbox="848 1198 1742 1378">iv. <b>For categories A and B1, as per EIA Notification, 2006:</b> Submit Form 1 and Form 1A (see <a href="https://environmentclearance.nic.in/report/downloadForm.html">https://environmentclearance.nic.in/report/downloadForm.html</a>), including the proposed ToR to the EAC or SEAC for category A and category B1, respectively. Based on these documents, the EAC or</p>	APCRDA & ADCL															

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			SEAC will determine the comprehensive ToR and will convey to the APCRDA & ADCL within 60 days of receipt of Form 1.	
<b>Detailed project report (DPR) – EIA / ESIA</b>				
05	Baseline study	<ul style="list-style-type: none"> <li>Section 7 (II) of EIA Notification, 2006</li> </ul> <p>Applicable for category A and B1 projects</p>	<p><b>Environment baseline data: For atleast one non monsoon season or as directed by the SEAC</b></p> <p>Collect primary and secondary data from the PIA to determine direct and indirect impacts<sup>6</sup> under the project.</p> <p>i. <b>Standardized data collection methods:</b> Depending on the environmental parameters of relevance, either random sampling or stratified sampling techniques may be used for data collection.</p> <ul style="list-style-type: none"> <li>- For <b>random sampling</b>, each potential data point within the study area has an equal chance of being selected. For instance, for water sample collection, random number generators or GIS tools can be used to generate random coordinates within the study area.</li> <li>- <b>Stratified sampling</b> involves selecting sampling points at regular intervals (for example, every km along the river) for spatial coverage and to capture gradients or trends in environmental parameters. For instance, a water sample can be collected by establishing a grid or transect pattern across the study area, wherein spacing between sampling points can be determined based on the size of the area.</li> </ul> <p>ii. <b>Based</b> on these techniques, samples can be collected consistently at each location according to established protocols.</p> <p><b>Note: Remote sensing and GIS:</b> Utilize remote sensing data (for example, satellite imagery, Light Detection and Ranging) and GIS for</p>	Empaneled accredited EIA consultant with NABL environment lab certification

<sup>6</sup> Direct impacts refer to immediate and measurable consequences of a project, such as habitat destruction, pollution emissions, or noise disturbance, directly caused by project activities. Indirect impacts are secondary or consequential effects that occur as a result of direct impacts, such as induced development, changes in land use patterns, or socioeconomic shifts in the local community.

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility										
			<p>creating a land use and land cover<sup>7</sup> (LULC) map and analysis of environmental features and changes over time.</p> <p>iii. <b>Indicators:</b> Depending on the type of investment, collect data of relevant parameters (that is, air quality, water resources, biodiversity, traffic, and so on). The suggestive indicators for the following parameters are:</p> <table border="1" data-bbox="882 587 1709 1276"> <thead> <tr> <th data-bbox="882 587 1077 643">Parameters</th> <th data-bbox="1077 587 1709 643">Suggestive indicators</th> </tr> </thead> <tbody> <tr> <td data-bbox="882 643 1077 762">Air quality</td> <td data-bbox="1077 643 1709 762"> <ul style="list-style-type: none"> <li>- Levels of particulate matter (PM<sub>10</sub>, PM<sub>2.5</sub>)</li> <li>- Nitrogen oxides (NO<sub>2</sub>)</li> <li>- Sulfur dioxide (SO<sub>2</sub>)</li> </ul> </td> </tr> <tr> <td data-bbox="882 762 1077 922">Water resources</td> <td data-bbox="1077 762 1709 922"> <ul style="list-style-type: none"> <li>- Quality and flow of surface water bodies affected by construction</li> <li>- Runoff</li> <li>- Erosion and sedimentation</li> </ul> </td> </tr> <tr> <td data-bbox="882 922 1077 1090">Biodiversity</td> <td data-bbox="1077 922 1709 1090"> <ul style="list-style-type: none"> <li>- Sensitive habitats</li> <li>- Endangered species</li> <li>- Ecological corridors</li> </ul>           (See SOP 6 – Biodiversity Conservation.)         </td> </tr> <tr> <td data-bbox="882 1090 1077 1276">Soil</td> <td data-bbox="1077 1090 1709 1276"> <ul style="list-style-type: none"> <li>- Type of soil, its composition</li> <li>- Potential geological hazards</li> <li>- Nutrient content</li> <li>- pH levels</li> <li>- Organic matter</li> </ul> </td> </tr> </tbody> </table>	Parameters	Suggestive indicators	Air quality	<ul style="list-style-type: none"> <li>- Levels of particulate matter (PM<sub>10</sub>, PM<sub>2.5</sub>)</li> <li>- Nitrogen oxides (NO<sub>2</sub>)</li> <li>- Sulfur dioxide (SO<sub>2</sub>)</li> </ul>	Water resources	<ul style="list-style-type: none"> <li>- Quality and flow of surface water bodies affected by construction</li> <li>- Runoff</li> <li>- Erosion and sedimentation</li> </ul>	Biodiversity	<ul style="list-style-type: none"> <li>- Sensitive habitats</li> <li>- Endangered species</li> <li>- Ecological corridors</li> </ul> (See SOP 6 – Biodiversity Conservation.)	Soil	<ul style="list-style-type: none"> <li>- Type of soil, its composition</li> <li>- Potential geological hazards</li> <li>- Nutrient content</li> <li>- pH levels</li> <li>- Organic matter</li> </ul>	
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<sup>7</sup> Land cover refers to the surface cover on the ground—vegetation, urban infrastructure, water, bare soil, and so on. Land use refers to the purpose the land serves, such as recreation, wildlife habitat, or agriculture.

Sr. No.	Activity	Relevant laws and sections	Procedure		Responsibility
				<ul style="list-style-type: none"> <li>- Heavy metal concentrations</li> <li>- Soil's bearing capacity</li> </ul>	
			Noise	<ul style="list-style-type: none"> <li>- Ambient noise Levels</li> <li>- Noise sources</li> </ul>	
			Traffic	<ul style="list-style-type: none"> <li>- Traffic counts</li> <li>- Traffic speeds</li> <li>- Vehicle types</li> <li>- Peak hour analysis</li> <li>- Accidents</li> </ul>	
			Climate change	<ul style="list-style-type: none"> <li>- Extreme weather events</li> <li>- Increased river flows resulting in erosion and flooding</li> <li>- Erratic rainfall</li> <li>- Connectivity and mobility</li> <li>- Climate change adaptation strategies</li> <li>- Greenhouse gas emissions</li> </ul>	
			Waste management	<ul style="list-style-type: none"> <li>- Types of waste</li> <li>- Existing methods of storage and collection</li> <li>- Disposal mechanism</li> </ul>	
			Hazardous waste management	<ul style="list-style-type: none"> <li>- Presence of hazardous waste</li> <li>- Storage</li> <li>- Disposal mechanism</li> </ul>	
			<p><b>Social baseline data</b></p> <p>i. <b>Data collection:</b> Conduct socioeconomic or census surveys to gather socioeconomic baseline information on direct impact within 500m of project footprint area.</p>		

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility																		
			<p>ii. <b>Indicators:</b> Following indicators shall be considered for collating baseline of the population and adverse impact on assets and vulnerable communities.</p> <table border="1" data-bbox="882 392 1695 1382"> <thead> <tr> <th data-bbox="882 392 1106 448">Parameters</th> <th data-bbox="1106 392 1695 448">Suggestive indicators</th> </tr> </thead> <tbody> <tr> <td data-bbox="882 448 1106 608">Demographic</td> <td data-bbox="1106 448 1695 608"> <ul style="list-style-type: none"> <li>- Household size and composition</li> <li>- Age distribution</li> <li>- Gender distribution</li> <li>- Vulnerability</li> </ul> </td> </tr> <tr> <td data-bbox="882 608 1106 762">Economic</td> <td data-bbox="1106 608 1695 762"> <ul style="list-style-type: none"> <li>- Employment status (for example, unemployment rate, types of employment)</li> <li>- Skills</li> <li>- Occupational</li> </ul> </td> </tr> <tr> <td data-bbox="882 762 1106 884">Education</td> <td data-bbox="1106 762 1695 884"> <ul style="list-style-type: none"> <li>- Literacy rate</li> <li>- Educational attainment levels (for example, levels of schooling completed)</li> </ul> </td> </tr> <tr> <td data-bbox="882 884 1106 968">Health</td> <td data-bbox="1106 884 1695 968"> <ul style="list-style-type: none"> <li>- Prevalence of diseases and health conditions</li> </ul> </td> </tr> <tr> <td data-bbox="882 968 1106 1058">Assets</td> <td data-bbox="1106 968 1695 1058"> <ul style="list-style-type: none"> <li>- Housing, commercial, common</li> </ul> </td> </tr> <tr> <td data-bbox="882 1058 1106 1181">Housing</td> <td data-bbox="1106 1058 1695 1181"> <ul style="list-style-type: none"> <li>- Typology of house</li> <li>- Tenorial arrangements</li> <li>- Area of house</li> </ul> </td> </tr> <tr> <td data-bbox="882 1181 1106 1303">Commercial</td> <td data-bbox="1106 1181 1695 1303"> <ul style="list-style-type: none"> <li>- Typology</li> <li>- Tenorial arrangements</li> <li>- Area</li> </ul> </td> </tr> <tr> <td data-bbox="882 1303 1106 1382">Social Infrastructure</td> <td data-bbox="1106 1303 1695 1382"> <ul style="list-style-type: none"> <li>- Water</li> </ul> </td> </tr> </tbody> </table>	Parameters	Suggestive indicators	Demographic	<ul style="list-style-type: none"> <li>- Household size and composition</li> <li>- Age distribution</li> <li>- Gender distribution</li> <li>- Vulnerability</li> </ul>	Economic	<ul style="list-style-type: none"> <li>- Employment status (for example, unemployment rate, types of employment)</li> <li>- Skills</li> <li>- Occupational</li> </ul>	Education	<ul style="list-style-type: none"> <li>- Literacy rate</li> <li>- Educational attainment levels (for example, levels of schooling completed)</li> </ul>	Health	<ul style="list-style-type: none"> <li>- Prevalence of diseases and health conditions</li> </ul>	Assets	<ul style="list-style-type: none"> <li>- Housing, commercial, common</li> </ul>	Housing	<ul style="list-style-type: none"> <li>- Typology of house</li> <li>- Tenorial arrangements</li> <li>- Area of house</li> </ul>	Commercial	<ul style="list-style-type: none"> <li>- Typology</li> <li>- Tenorial arrangements</li> <li>- Area</li> </ul>	Social Infrastructure	<ul style="list-style-type: none"> <li>- Water</li> </ul>	
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Sr. No.	Activity	Relevant laws and sections	Procedure		Responsibility
				<ul style="list-style-type: none"> <li>- Health facility, banks, roads, education, markets, modes of transportation</li> </ul>	
			Common Property Resources	<ul style="list-style-type: none"> <li>- Area</li> <li>- Typology</li> <li>- Usage, nature of dependency</li> </ul>	
06	Environmental and social impact assessment (ESIA)	<ul style="list-style-type: none"> <li>• Section 7 (II) of EIA Notification, 2006</li> </ul>	<p><b>Environment impact assessment</b></p> <ol style="list-style-type: none"> <li>i. Assess baseline data to predict direct and indirect environmental impacts on factors such as air, water, and soil pollution; habitat loss; noise; waste; and climate change.</li> <li>ii. Consider the project's nature, scale, and location, and then identify the pathways through which these impacts may occur. For example, pollution from construction activities may flow to the nearby water bodies through runoff, affecting aquatic ecosystems.</li> <li>iii. Compare the baseline data with predicted impacts to assess and identify the type of mitigation measures by adopting mitigation hierarchy.</li> <li>iv. Analyze institutional and capacity risks related to government agencies or departments on the process of environment, forest, and wildlife clearances and pollution.</li> </ol> <p><b>Social impact assessment</b></p> <ol style="list-style-type: none"> <li>i. Assess risks and impacts related to: (a) land use patterns and tenurial arrangements, land access and availability, food security and land values, and any corresponding risks related to conflict over land and natural resources; (b) disadvantaged or vulnerable population groups, etc.</li> <li>ii. Analyze the impacts on private assets of titleholders and nontitle holders (encroachers and squatters)—that is, land, trees, and structures—and common property resources (structures, natural resources, and social infrastructure).</li> </ol>		Empaneled Accredited Consultant EIA

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
07	Environmental and social management plan (ESMP)	<ul style="list-style-type: none"> <li>• Section 7 (II) of EIA Notification, 2006</li> </ul>	<ol style="list-style-type: none"> <li>i. Identify the significant E&amp;S impacts of the project based on the findings of the ESIA.</li> <li>ii. Assess risks associated with these impacts, considering their likelihood and potential consequences.</li> <li>iii. Develop specific measures to mitigate and monitor the identified risks and impacts.</li> <li>iv. Prioritize the mitigation measures based on their effectiveness, feasibility, and urgency by following mitigation hierarchy approach.</li> <li>v. Clearly define responsibilities for implementing each mitigation measure by assigning tasks to the APCRDA &amp; the ADCL, contractors, Consultants (PgMC, PMCs, etc. ), nongovernmental organizations (NGOs) or civil society organization (CSOs) and local communities.</li> <li>vi. Establish specific targets and timelines for implementing and monitoring each mitigation measure.</li> <li>vii. Incorporate the ESMP into the overall project plans and schedules.</li> <li>viii. Develop monitoring and evaluation protocols to assess the effectiveness of the ESMP.</li> <li>ix. Engage with project stakeholders throughout the development of the ESMP.</li> <li>x. Review and update the ESMP as and when needed, particularly if there are changes in project scope, new risks emerge, or mitigation measures prove ineffective.</li> </ol>	Empaneled Accredited Consultant EIA
08	Critical habitat or Biodiversity assessment and mitigation plan	<ul style="list-style-type: none"> <li>• EIA Notification, 2006</li> <li>• Wildlife Protection Act, 1972</li> <li>• GIIP</li> </ul>	<ol style="list-style-type: none"> <li>i. Develop a biodiversity mitigation plan involving a systematic approach to minimize negative impacts on local ecosystems and species following the mitigation hierarchy.</li> </ol> <p>(See SOP 5– Biodiversity Conservation.)</p>	Empaneled Accredited Consultant EIA

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
09	Labor management, including occupational health and safety	<ul style="list-style-type: none"> <li>• GIIP</li> <li>• Conditions of EC &amp; NGT orders</li> </ul>	i. Identify the different types of project workers that are likely to be involved in the project. ii. Set out the ways of meeting the requirements of MDBs, including national or state laws and regulations that apply to the different types of workers. (See SOP 2 – Labour and Working Conditions and SOP 4– Community Health and Safety.)	Contractor  PMC  PgMC
10	Grievance Redressal Mechanism (GRM) and Information Disclosure	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Engage with relevant stakeholders and conduct public consultations, including with affected communities, throughout the planning, preconstruction, and construction phases, including screening, impact assessment, and mitigation planning process. (See SOP 6 -Grievance Redressal Mechanism (GRM)) ii. Information on consultations, grievances received and addressed to be disclosed on the websites, in visible places in public office premises in local languages and other important language	PMCs, PgMC, APCRDA
11	SEA/SH prevention action plan	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Integrate a gender perspective into the design, implementation, monitoring, and evaluation of projects ii. Establish effective mechanisms to prevent and respond to SEA/SH including GBV. (See SOP 4 – Community Health and Safety.)	PMC/PgMC/ APCRDA & ADCL
12	Budget	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Establish a budget to effectively allocate resources, estimate costs, manage and monitor risks and impacts through Site Specific ESMP, ensure compliance, promote transparency, and plan for the long-term sustainability of E&S initiatives. See SOP 1 - annex I for suggested budget table.	APCRDA & ADCL
<b>Procurement</b>				



Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
13	E&S provisions in Bid documents	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Incorporate E&S annexures including cost implications in the bid document: ESMP, code of conduct, applicability of labor laws & Environmental regulations. ii. Include E&S provisions under conditions of contract. iii. <b>Bidders' requirement:</b> Submit declaration of environment, social, health and safety (ESHS) past performance; ESHS performance security; contractor's ESMP (C-ESMP); and ESMP budget included in the bill of quantities (BOQ).	APCRDA & ADCL, ESMU
14	Bid Evaluation	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Evaluate the E&S capabilities related to personnel, past performance, and experience of the bidder during bid evaluation process.	APCRDA & ADCL, ESMU
<b>Project implementation</b>				
15	Implementation of mitigation plans	<ul style="list-style-type: none"> <li>• Section 2 &amp; 10 of EIA Notification, 2006</li> <li>• GIIP</li> </ul>	i. Supervise contractors for the implementation of the ESMP and compliance with labor laws, producing monitoring reports, including grievance redressal. ii. Coordinate with other concerned agencies, local governments, and communities to support the implementation of the ESMP and compliance of labor welfare laws. iii. Conduct regular meetings, workshops, and training sessions to build capacity and foster collaboration (See training plan).	PMCs  PgMC  APCRDA & ADCL, ESMU
			i. Designate a focal person from respective divisions not below the rank of Dy. Executive engineer to carry out the E&S responsibilities associated with the project offices. ii. Supervise civil works, ensuring compliance with all E&S design parameters and ESMP implementation. iii. Ensure day-to-day compliance E&S monitoring during the construction phase.	APCRDA & ADCL Project offices  Focal persons  PMCs
			i. Undertake periodic monitoring to ensure the implementation of the compliance as per the mitigation plans.	PMCs

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			ii. Prepare corrective actions.	PgMC,
			i. Prepare (C-ESMP) with site-specific mitigation measures. ii. Recruit environmental, labor, health, and safety managers responsible for implementing the contractors' environmental, health, and safety responsibilities and liaising with government agencies. iii. Implement mitigation and monitoring measures proposed in the ESMP and LMP. See SOP 2 and SOP 4.)	Contractors
16	Monitoring	<ul style="list-style-type: none"> <li>• Section 10 of EIA Notification, 2006</li> <li>• GIIP</li> </ul>	i. Review the specific E&S requirements, monitoring parameters, and compliance criteria outlined in the C-ESMP. ii. Develop a monitoring checklist that aligns with the requirements and parameters specified in the C-ESMP. (See SOP 1 – annex II.) iii. Communicate the monitoring schedule and requirements to construction contractors and subcontractors. iv. Conduct regular site inspections and observe construction activities and conditions against the C-ESMP requirements. v. Document observations, noting compliance with or deviations from the C-ESMP. vi. Record all inspection findings accurately on the inspection monitoring checklist. Include photographs or sketches as necessary to document conditions.	PMC  PgMC  PMC  PMC  PMC  PMC
			i. Designate focal persons for E&S from respective divisions not below the rank of Dy. Executive engineer to conduct field inspections and surveys. ii. Perform regular site inspections to observe construction activities by focusing on areas identified as critical for E&S protection. iii. Utilize checklists or inspection forms to systematically record observations. (See SOP 1 – annex II.)	APCRDA & ADCL Project offices  Focal persons  PMC

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			iv. Document compliance with C-ESMP requirements and note any deviations or concerns.	PMC
			i. Prepare project-specific monitoring plan by identifying the specific parameters and attributes to be monitored (for example, air quality, water quality, noise levels, biodiversity, GBV, consultations, and grievances). ii. Select locations where monitoring will occur during construction and operation phases. iii. Define the duration and frequency of monitoring activities for each phase (construction and operation). Consider seasonal variations and project milestones that may affect monitoring requirements. iv. Conduct site visits and verify adherence to C-ESMP requirements and regulatory standards. v. Identify instances of noncompliance, document findings, and recommend corrective actions to bring the project back into compliance.	Contractors  Contractors  APCRDA & ADCL  PgMC, APCRDA & ADCL  PgMC, APCRDA & ADCL
			i. Incorporate the developed monitoring plan into the C-ESMP. ii. Carry out the scheduled monitoring activities as per the established plan and timelines. iii. Use facilities recognized by the National Accreditation Board for Testing and Calibration Laboratories (NABL) for monitoring of environment parameters. <sup>8</sup>	Contractors
17	Reporting	<ul style="list-style-type: none"> <li>Section 10 of EIA Notification, 2006</li> </ul>	i. Review reports submitted by contractors to ensure adherence to regulations, consistency in data collection, and compliance with project requirements.	PgMC /ESMU

<sup>8</sup> The list of NABL-accredited laboratories is available at [https://nabl-india.org/nabl/file\\_download1.php?filename=202402200648-NABL-400-doc.pdf](https://nabl-india.org/nabl/file_download1.php?filename=202402200648-NABL-400-doc.pdf).

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility								
		<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	<p>ii. Submit regular progress / compliance reports to MDBs /Government of Andhra Pradesh (GoA) / Regulatory authority like SPCB/ NGT as per project requirement.</p> <p>i. Facilitate submission of regular reports from the contractors. ii. Compile Project reports and submit to the ESMU and the APCRDA &amp; ADCL.</p> <p>i. Prepare progress monitoring reports on E&amp;S activities as per the C-ESMPs and compile monitoring findings into comprehensive reports. ii. Submit reports to the ESMU according to agreed timelines.</p> <p>i. Prepare periodical reports (reporting period shall be as per project requirements) on E&amp;S compliances as per the C-ESMP and regulatory compliances, including environment monitoring data. ii. Submit regular reports to the APCRDA &amp; ADCL Project offices. iii. The suggested reporting template to be submitted by the contractor is provided in SOP 1 – Annex II. iv. The following monitoring templates are developed focusing on monitoring and reporting information required during the execution of the project:</p> <table border="1" data-bbox="898 999 1682 1366"> <thead> <tr> <th data-bbox="898 999 1245 1062">Type of report</th> <th data-bbox="1245 999 1682 1062">Frequency of submission</th> </tr> </thead> <tbody> <tr> <td data-bbox="898 1062 1245 1142">Regulatory compliance report</td> <td data-bbox="1245 1062 1682 1142">As per project requirement. (see SOP 1 – Annex II)</td> </tr> <tr> <td data-bbox="898 1142 1245 1222">E&amp;S compliance monitoring table</td> <td data-bbox="1245 1142 1682 1222">As per project requirement (See SOP 1 – Annex II)</td> </tr> <tr> <td data-bbox="898 1222 1245 1366">All related E&amp;S issues, accidents, or incidents resulting from project activities</td> <td data-bbox="1245 1222 1682 1366">Within 24 hours of the issue (See SOP1 – Annex II)</td> </tr> </tbody> </table>	Type of report	Frequency of submission	Regulatory compliance report	As per project requirement. (see SOP 1 – Annex II)	E&S compliance monitoring table	As per project requirement (See SOP 1 – Annex II)	All related E&S issues, accidents, or incidents resulting from project activities	Within 24 hours of the issue (See SOP1 – Annex II)	<p></p> <p>Focal persons PMC/ PgMC</p> <p>PgMC</p> <p>Contractors</p>
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Sr. No.	Activity	Relevant laws and sections	Procedure		Responsibility		
			v.	Labor-related compliance reports	See SOP 2 – Labour and Working Conditions		
				Accidents or incidents report	See SOP 2 – Labour and Working Conditions		
				Environment parameters monitoring report	See SOP 3 – Resource Efficiency and Pollution Prevention		
				Monitoring report for GBV	See SOP 4 – Community Health and Safety		
				Biodiversity monitoring report	See SOP 5 – Biodiversity Conservation		
				Grievance registration form and grievance registration portal	See SOP 6 - Grievance Redressal Mechanism (GRM) and Information Disclosure		
18	Training	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	i. Conduct capacity-building initiatives with the assistance of specialist institutions, PgMC, and PMCs to deliver training to project stakeholders, contractors, and ADCL/APCRDA engineers and staff responsible for execution and implementation of E&S measures at sites.		ESMU, APRCDA /PgMC / PMC		
19	Feedback mechanism and continuous improvement	<ul style="list-style-type: none"> <li>• Section 7 (III) of EIA Notification, 2006</li> <li>• Section 51 of RFCTLARR Act, 2013</li> </ul>	ii. Facilitate communication among stakeholders, including project teams, regulators and affected communities by following feedback mechanism: <ul style="list-style-type: none"> <li>- Stakeholder engagement</li> <li>- Grievance redressal</li> <li>- Disclosure</li> </ul>		APCRDA & ADCL or ES MU/ PgMC, PMCs		

Guidance on Ensuring Fair and  
Equitable Employment Practices and  
Safeguarding the Rights and Safety of  
Workers

# Standard Operating Procedure: 2

Labor and Working Conditions

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## **2 Labor and Working Conditions (SoP): 2**

### **2.1 Introduction**

SOP 2 provides procedures for safeguarding the rights of workers, ensure the provision of fair wages, and maintain safe working conditions, thereby fostering an atmosphere of respect and fairness in the workplace.

### **2.2 Objective of SOP 2**

The objectives of this SOP are to ensure compliance with national and state labor welfare laws and regulations.

### **2.3 Application of the SOP**

This SOP covers a wide range of areas including employment regulations, service conditions, wage payment, equal remuneration, social security, occupational health and safety (OHS) conditions, grievance redressal, prohibition of child or forced labor, and prevention of SEA/SH.

### **2.4 Audience**

The SOP applies to all types of project workers including direct workers, contract workers, primary suppliers,<sup>9</sup> and community workers.

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<sup>9</sup> *In certain cases, the primary supplier may assume control and legal responsibilities, while in other instances, they may act as intermediaries in the procurement and hiring of workers.*

## 2.5 Requirements for SOP 2

*Table 2-1: Key Requirements for Labor and Working Conditions*

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
<b>Feasibility</b>					
01	Screening	<ul style="list-style-type: none"> <li>• Good International Industry Practices (GIIP)</li> </ul>	<p>Apply environmental and social (E&amp;S) screening checklist as per SOP 1 to determine:</p> <ul style="list-style-type: none"> <li>i. Level of skills available in the project influence area (PIA)</li> <li>ii. Availability of local contractors</li> <li>iii. Category of workers expected to be engaged</li> <li>iv. Availability of space for labor camps</li> </ul> <p>Estimate budget for labor requirement.</p>	<p>Job opportunities to local people</p> <p>Reduction in labour influx</p>	Contractor
<b>Detailed project report (DPR) preparation</b>					
02	Labor management procedure (LMP)	<ul style="list-style-type: none"> <li>• Sections 7, 12, and 28 to 37 of the Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 (BOCW)</li> <li>• Rules 23, 34 to 54, 208, 209, 223, 231, 238, 240, 241, 243 to 247, and</li> </ul>	<p>Design the LMP to address the ways in which labor laws and rules of the Government of India (GoI) and the GoAP, apply to different categories of project workers—that is direct, contracted, primary supply workers, and community workers.</p>		Contractor with guidance from PMC & PgMC



Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
		<p>249, of BOCW Central Rules, 1998 &amp; AP BOCW Rules 1999.</p> <ul style="list-style-type: none"> <li>• Sections 7, 12, and 16 to 27 of the Contract Labour Act, 1970</li> <li>• Rules 17, 21, 76, and 81 read with 71 of the Contract Labour (R &amp; A) Central Rule 1971 &amp; AP CL(R&amp;A) Rules 1971</li> <li>• Section 4 of the Inter-State Migrant Workmen Act, 1979.</li> <li>• Rules 3, 7, and 55 of the Inter-State Migrant Workmen (RE &amp; CS) Central Rules, 1980 &amp; AP inter-state migrant workmen rules 1982.</li> <li>• Sections 25 and 26 of the Water (Prevention &amp; Control of Pollution) Act, 1974 and Air (Prevention and Control of Pollution) Act, 1981</li> <li>• Rule 22 of the Minimum Wages (Central) Rules,</li> </ul>	<p>Design the LMP to provide guidance on allocation of resources as well as implementation, monitoring, and reporting on compliance with labor standard. The LMP should broadly cover the following aspects:</p> <ol style="list-style-type: none"> <li>i. Overview of labor use on the project: Provide details related to the number and types of workers, characteristics of workers, and timing of labor requirements.</li> <li>ii. Key potential risks: Risks associated with the project, such as likely incidence of forced or child labor, presence of migrant or seasonal workers, risk of labor influx, possible accidents or emergencies, and understanding and implementation of occupational health and safety (OHS) requirements.</li> <li>iii. Brief overview of labor legislation (See SOP 2 – Annex I).</li> <li>iv. Responsible staff for engagement and management of workers, contractors, and subcontractors, OHS, training of workers, and addressing workers’ grievances,</li> </ol>	<p>Implementation of basic rights for labour – working hours, minimum and fair wage</p> <p>Risk reduction</p> <p>Promotes gender equality</p> <p>Opportunities for women</p>	

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
		1950 & AP Minimum wage Rules 1960 <ul style="list-style-type: none"> <li>• Rule 8 of The Rights of Persons with Disabilities Rules, 2017</li> <li>• Sections 3 and 9 of The Child and Adolescent Labour (Prohibition and Regulation) Act, 1986</li> <li>• Section 12, Child Labour (Prohibition and Regulation) Amendment Act, 2016</li> <li>• Rule 17 of The Child and Adolescent Labour (Prohibition and Regulation) Rules, 1988</li> <li>• Section 4 of The Bonded Labour System (Abolition) Act, 1976</li> <li>• Sections 3 (1) 4 (1), and 7 of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (POSH)</li> <li>• Section 3 of The Industrial Disputes Act,</li> </ul>	including monitoring of primary suppliers. <ul style="list-style-type: none"> <li>v. Policies and procedures on occupational health and safety (OHS).</li> <li>vi. Age of employment: Ensure minimum age of employment is met and process followed for verifying the age of workers to prevent hiring underage workers.</li> <li>vii. Terms and conditions of employment related to wages, hours of work, workers' organization, including nondiscrimination and equal opportunities.</li> <li>viii. Contractor management: Outline the process for selection of contractors and provisions on OHS and labor as well as procedures for monitoring performance in the bid document.</li> <li>ix. Community workers: Monitoring and reporting the terms and conditions of their work.</li> <li>x. Primary supply workers: Monitoring and reporting the terms and conditions of their work.</li> <li>xi. Women's safety and security at the workplace: Set a code of conduct and conditions of employment.</li> </ul>		

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
		1947 (Workers Committee) <ul style="list-style-type: none"> <li>• Section 4 of the Trade Unions Act, 1926</li> <li>• Sections 4 and 5 of the Equal Remuneration Act, 1976</li> <li>• Section 21 of the Rights of Persons with Disabilities Act, 2016</li> <li>• Rule 8 of The Rights of Persons with Disabilities Rules, 2017</li> <li>▪ Section 3 of The Bonded Labour System (Abolition) Act, 1976</li> <li>▪ Section 4 of the maternity benefit Act, 1961</li> <li>▪ Sections 19 (a) and (b) and Section 26 of the Bonus Act, 1965</li> <li>▪ Sections 3 and 4 of the Workmen's Compensation Act, 1923</li> </ul>	xii. Grievance mechanism: Process for management of grievances related to workers, including workplace sexual exploitation and abuse or sexual harassment (SEA/SH). (See SOP 2 – Annex II to XXIV).  Estimate the budget for LMP and incorporate into the DPR.  Disclose a copy of LMP on the APCRDA website .		APCRDA

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
		<ul style="list-style-type: none"> <li>▪ Sections 5 and 6 of the Employees' Provident Funds (EPF) and Miscellaneous Provisions Act, 1952</li> <li>▪ Sections 11, 39, 40, and 43 of the Employees' State Insurance Act, 1948</li> <li>• GIIP</li> </ul>			
03	Environmental and Social Management Plan (ESMP)	<ul style="list-style-type: none"> <li>• GIIP</li> </ul>	Summarize provisions of LMP and include it in the ESMP (see SOP 1)		Contractor
04	Bidding document and bid evaluation	<ul style="list-style-type: none"> <li>• Applicable relevant laws and rules are mentioned above as in point no 2.1</li> </ul>	Bid documents to include a section on E&S requirement under the conditions of contract: <ol style="list-style-type: none"> <li>i. Compliance to labor laws and regulations</li> <li>ii. Prohibition and prevention of SEA/SH</li> <li>iii. Prohibition of forced and child labor</li> <li>iv. Monitoring and reporting on LMP, ESMP, and OHS</li> </ol>	Projects meet the statutory requirements  Women safety	APCRDA(Andhra Pradesh capital region development Authority)& ADCL(Amaravati Development Corporation Limited), Contractor

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
			<ul style="list-style-type: none"> <li>v. Staffing and training of personnel including workers of sub-contractors</li> <li>vi. Preparation of contractor’s ESMP (C-ESMP) before commencement of work</li> <li>vii. Budget line items specific to ESMP and LMP implementation in the bill of quantities (BOQ)</li> <li>viii. Penalty clause for breach of contract</li> <li>ix. Annexures for ESMP and code of conduct.</li> </ul> <p>Evaluate the E&amp;S capabilities related to personnel, past performance, and experience of the bidder during bid evaluation process.</p>		
<b>Implementation</b>					
05	ESMP	<ul style="list-style-type: none"> <li>• Applicable relevant laws and Rules are mentioned above as in point no 2.1</li> <li>• GIIP</li> </ul>	<ul style="list-style-type: none"> <li>i. Once contract awarded, prepare C-ESMP.</li> <li>ii. Obtain relevant licenses, environmental clearances, and registration.</li> <li>iii. Monitor environmental parameters related to water, air, noise, and so on.</li> </ul>	Value of program works complying with E & S safeguards	Contractor

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
			<ul style="list-style-type: none"> <li>iv. Setup relevant committees (safety, Internal Complaints Committee or ICC, and so on).</li> <li>v. Display notice boards at camp and worksites.</li> <li>vi. Maintain registers and records.</li> <li>vii. Establish workers' grievance mechanism.</li> <li>viii. Train workers on OHS, labor welfare, and code of conduct.</li> <li>ix. In case of accidents: <ul style="list-style-type: none"> <li>- Prepare the incident report<sup>10</sup></li> <li>- Conduct root cause analysis</li> <li>- Prepare action taken report</li> <li>- Prepare corrective action plan.</li> </ul> </li> </ul> <p>For details, refer to the ESMP attached to the contract document.</p>		
06	Monitoring and reporting	<ul style="list-style-type: none"> <li>• Applicable relevant laws and rules are mentioned above as in point no 2.1</li> </ul>	<ul style="list-style-type: none"> <li>i. Develop reporting formats for monthly and quarterly progress report.</li> <li>ii. Update monitoring checklist as and when required.</li> <li>iii. Adopt information and communication technology (ICT) monitoring system for real-time</li> </ul>		Environmental and Social Management Unit (ESMU)

<sup>10</sup> Inform the respective MDBs within 24 hours of the incident and submit the incident investigation report within 10 working days. Also refer to Annexure XXII: FormXI under SOP 2.

Sr. No.	Activity	Relevant laws and sections	Procedure	Outcomes	Responsibility
			<p>reporting on labor standard compliance.</p> <p>iv. Conduct periodical site visits to ensure compliance with labor standards using the checklist (see SOP 2 – Annex I).</p> <p>v. Conduct periodic on-site and off-site monitoring to ensure compliance with ESMP (refer to SOP 1).</p> <p>vi. Prepare monthly and quarterly reports and submit to concerned officials for review.</p> <p><b>Note:</b> Provide periodic training on use of ICT and other monitoring tools to staff, consultants and contractors (including subcontractors).</p>		PMC,PGMC

Guidance on Assessing and Managing  
Environmental and Social risks in  
APCRDA / ADCL Projects, Promoting  
Sustainability, and Minimizing Adverse  
Impacts on Communities and the  
Environment

# Standard Operating Procedure (SoP): 3

Resource Efficiency and Pollution Prevention

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## **3 Resource Efficiency and Pollution Prevention (SoP): 3**

### **3.1 Introduction**

SOP 3 outlines the requirements for ensuring resource efficiency and effective pollution prevention and management throughout every stage of the project's life cycle. This means that from the initial planning and design phases to construction and operation, the project must consistently adhere to practices that minimize resource use and reduce E&S risks and impacts. SOP 3 ensures that these practices are integrated into all aspects of the project to achieve environmental sustainability and social inclusion.

### **3.2 Objective of SOP 3**

The objectives of this SOP are:

- Promote the sustainable use of resources, including energy, water, and raw materials
- Avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities
- Avoid or minimize project-related emissions of short- and long-lived climate pollutants
- Avoid or minimize generation of hazardous and non-hazardous waste and proper disposal.

### **3.3 Application of the SOP**

SOP 3 Provides a clear and standardized framework for staff, consultants, and contractors associated with the APCRDA to help minimize negative E&S impacts, optimize resource use, and promote sustainable development practices.

### 3.4 Requirements for SOP 3

**Table 3-1: Key Requirements for Resource Efficiency and Pollution Prevention**

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility								
<b>Feasibility study – Environmental and social (E&amp;S) screening and scoping</b>												
01	Screening and scoping	<ul style="list-style-type: none"> <li>Section 7 (II and III) of Environmental Impact Assessment (EIA) Notification, 2006</li> </ul>	<p>Apply E&amp;S screening tool to determine the presence of the following in the project influence area (PIA):</p> <ol style="list-style-type: none"> <li>Impacts on water quality (surface or underground) and water resource availability and use</li> <li>Impacts on air, noise, and soil</li> <li>Storage of waste/hazardous waste</li> <li>Energy conservation measures.</li> </ol> <p>Stakeholder consultations: Map the stakeholders, develop the tools for consultations, and inform the stakeholders of the project scope (as per SOP 6).</p>	Empanelled Accredited Consultant <sup>ii</sup> EIA								
<b>Detailed project report (DPR) – Environment and social impact assessment (ESIA)</b>												
02	Baseline data	<ul style="list-style-type: none"> <li>Section 7 (II) of EIA Notification, 2006</li> </ul>	Refer to SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts for baseline data collection methods, baseline environmental parameters, and respective indicators.	Empanelled Accredited EIA Consultant								
03	Environmental clearance (EC)	<ul style="list-style-type: none"> <li>Section 7 (II) of EIA Notification, 2006</li> </ul>	<ol style="list-style-type: none"> <li><b>Application:</b> Submit Form 1 and supplementary Form 1A , along with the requisite documents (prefeasibility project report or conceptual plan).</li> </ol>	Empanelled Accredited EIA Consultant								
			<table border="1"> <thead> <tr> <th>Category</th> <th>Report type</th> <th>Clearance</th> <th>Authority</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Category	Report type	Clearance	Authority					
Category	Report type	Clearance	Authority									

Sr. No.	Activity	Relevant laws and sections	Procedure				Responsibility
			A	Detailed EIA report and public consultation	EC	Ministry of Environment, Forest and Climate Change (MoEFCC)	
			B1	Detailed EIA report and public consultation	EC	State Environment Impact Assessment Authority (SEIAA)	
			B2	Prefeasibility report	EC	SEIAA	
			<p>ii. <b>Categorization:</b> The EIA Notification, 2006 groups projects into two main categories:</p> <p>iii. <b>Screening (done only for category B projects):</b> The expert appraisal committee (EAC) screens if the project requires EIA or not. If yes, then it is categorized B1, and if not, then B2.</p> <p>iv. <b>Scoping:</b> The EAC or state-level EAC (SEAC) sets the terms of reference (ToR) for the EIA based on Form 1 and Form 1A and applicant's proposed ToR. The ToR is sent to the project proponent within 60 days of receiving Form 1.</p> <p>v. <b>Public consultation:</b> Conduct public consultations for category A and category B1 projects, except as noted in the EIA Notification, 2006. (For building projects, area and township projects, public consultations are not applicable)</p> <p>vi. <b>Final EIA report:</b> Submit the final EIA report and required documents to the regulatory authority.</p> <p>vii. <b>Appraisal:</b> The EAC or SEAC reviews the application and public feedback and decides on the appraisal within 60 days of the final EIA submission.</p>				

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			<p>viii. <b>Granting of EC:</b> The regulatory authority decides on the EC within 45 days of receiving recommendations, based on the expert committee's input and public feedback.</p> <p>ix. <b>Compliance and monitoring:</b> After EC is granted, the proponent must follow EC conditions, and the project is regularly monitored for environmental compliance.</p> <p>x. <b>Post project monitoring and compliance:</b> After the project starts, post project monitoring is conducted to assess environmental impacts and the effectiveness of mitigation measures.</p> <p>The EC flow chart for category B1 projects is provided in SOP 3 – Annex I.</p>	
04	Environmental impact assessment (EIA)	<ul style="list-style-type: none"> <li>Section 7 (II) of EIA Notification, 2006</li> </ul>	<p>i. Conduct an EIA by taking into account the potential impact of the project activities on ambient conditions (such as ambient air quality). See SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts.</p> <p>ii. Consider climate adaptation measures during the design phase, focusing on enhancing resilience to climate-related stressors such as increased rainfall, temperature extremes, and rising water levels, wherever feasible.</p>	Empanelled Accredited EIA Consultant
05	Environmental and social management plan (ESMP)	<ul style="list-style-type: none"> <li>Section 7 (II) of EIA Notification, 2006</li> </ul>	<p>i. Prepare an ESMP by following the steps outlined in SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts by considering ambient conditions and apply technically and financially feasible resource efficiency and pollution prevention measures in accordance with the mitigation hierarchy, wherever possible.</p> <p>ii. Indicative mitigation measures for efficient usage of resources and pollution measures are provided in SOP 3 – Annex II.</p> <p><b>Note:</b> The indicative mitigation measures provided in SOP 3 – Annex II are project and location specific.</p>	Empanelled Accredited EIA Consultant

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility					
06	Budget		i. Estimate the budget for this SOP as per SOP 3 – Annex III and integrate in the consolidated budget provided in SOP 1.	Empanelled Accredited EIA Consultant					
<b>Procurement</b>									
07	Bid document and evaluation		ii. Include provision on mitigation and monitoring measures under conditions of contract in bid documents and attach ESMP.	APCRDA /ESMU					
<b>Implementation</b>									
08	Consent authorization management from APPCB	<ul style="list-style-type: none"> <li>Water (Prevention &amp; Control of Pollution) Act, 1974</li> <li>Air (Prevention &amp; Control of Pollution) Act, 1981</li> <li>Conditions of EC &amp; NGT orders</li> </ul>	<p>To establish an industry with potential for water or air pollution,<sup>11</sup>; prior consent under the Water Act and Air Act is to be obtained, respectively, which needs to be obtained in two phases:</p> <table border="1"> <tr> <td><b>Consent to establish (CTE)</b></td> <td><b>To be obtained prior to establishing any industry, process, or plant</b></td> <td rowspan="2"><b>Note:</b> The</td> </tr> <tr> <td><b>Consent to operate (CTO) [initial and renewal]:</b></td> <td>Once the process plant is established along the required pollution control systems, obtain consent to operate for the unit</td> </tr> </table> <p>consent is given for a particular period, which is mandatory to be renewed regularly.</p>	<b>Consent to establish (CTE)</b>	<b>To be obtained prior to establishing any industry, process, or plant</b>	<b>Note:</b> The	<b>Consent to operate (CTO) [initial and renewal]:</b>	Once the process plant is established along the required pollution control systems, obtain consent to operate for the unit	Empanelled Accredited EIA Consultant
<b>Consent to establish (CTE)</b>	<b>To be obtained prior to establishing any industry, process, or plant</b>	<b>Note:</b> The							
<b>Consent to operate (CTO) [initial and renewal]:</b>	Once the process plant is established along the required pollution control systems, obtain consent to operate for the unit								
09	Implementation of ESMP	<ul style="list-style-type: none"> <li>Sections 2 and 10 of EIA Notification, 2006</li> </ul>	<p>Refer to SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts.</p> <p>Based on the project, the C- ESMP shall include provisions for</p>	Contractor					

<sup>11</sup> Classification of industries/units from Pollution Control Board, Andhra Pradesh Pollution control Board is available on: [https://pcb.ap.gov.in/APPCBDOCS/Tenders\\_Noti//Cir-21-03-latest-categories-of-industries.pdf](https://pcb.ap.gov.in/APPCBDOCS/Tenders_Noti//Cir-21-03-latest-categories-of-industries.pdf)

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
		<ul style="list-style-type: none"> <li>• Water (Prevention &amp; Control of Pollution) Act, 1974</li> <li>• Air (Prevention &amp; Control of Pollution) Act, 1981</li> <li>• Conditions of EC &amp; NGT orders</li> <li>• SWM rules 2016</li> <li>• Battery waste management rules 2022</li> <li>• Plastic waste management rules</li> <li>• C &amp; D waste management rules 2016</li> <li>• Hazardous waste management rules</li> <li>• Biomedical waste management rules</li> </ul>	<p>A. Onsite Waste water treatment</p> <ol style="list-style-type: none"> <li>1. Waste water treatment systems for black water, sullage from kitchen, grey water, waste water from RMC plant and appropriate site level arrangements for the construction runoffs, waste water from tyre wash</li> <li>2. Reuse of treated Waste water</li> <li>3. Scientific disposal of Sludge (As directed by authority)</li> <li>4. Necessary statutory permissions to be obtained.</li> <li>5. Facilities shall be planned with all measures for prevention of surface and ground water pollution, odour, vector control</li> <li>6. Safety provisions, trained personnel to be deployed</li> </ol> <p>B. Onsite Waste processing, storage and handing over recyclables, hazardous wastes, inerts to authorised facilities</p> <ol style="list-style-type: none"> <li>1. Appropriate provisions and procedures for collection, segregation, storage</li> <li>2. Processing of organic waste and reuse of compost</li> <li>3. Tie up with authorised facilities to handover the bio medical waste, e wastes, battery wastes, plastics, other recyclables, hazardous wastes and inerts.</li> <li>4. Necessary statutory permissions to be obtained.</li> <li>5. Necessary provisions for storing the Biomedical waste shall be included and disposed to nearest biomedical waste treatment plant</li> </ol>	

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			<p>6. Provisions for handling Hazardous waste shall be included in compliance with the hazardous waste management rules and shall be handed over to the authorised facility.</p> <p>7. Provisions for handling Batteries and e wastes in compliance to the relevant rules shall be included and disposed other authorised facilities</p> <p>8. Facilities shall be planned with all measures for prevention of surface and ground water pollution, air pollution, odour control, vector control</p> <p>9. Safety provisions, trained personnel to be deployed</p> <p>C.C &amp; D wastes</p> <p>1. The C &amp; D waste shall be stored in segregated manner in the site.</p> <p>2. The C &amp; D waste shall be handled and disposed as per the C &amp; D waste management rules and CPCB guidelines.</p> <p>3. Measures for control of air and Noise pollution</p> <p>D. Top Soil</p> <p>1. The top soil upto 30 cm shall be conserved.</p> <p>2. Prior to commencement of works, topsoil shall be removed and stored separately.</p> <p>3. The stored top soil either shall be refilled in the same site or shall be used for horticulture purposes</p>	

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
10	Monitoring	<ul style="list-style-type: none"> <li>Section 10 of EIA Notification, 2006</li> </ul>	<p>i. Carry out monitoring for E&amp;S parameters as per the ESMP.</p> <p>ii. The frequency of monitoring for air, water, noise and soil pollution and waste depends on factors such as project size, duration, complexity, environmental sensitivity, regulatory requirements (as per CTO and EC conditions), and project-specific risks.</p> <p>iii. Refer to SOP 3 – Annex IV for an indicative monitoring plan specifying the attributes to be monitored based on specific parameters, applicable standards, and duration of monitoring to be undertaken during the construction and operation stages of a project.</p> <p><b>Note:</b> Critical locations including construction camp site and any other plant site to be selected for monitoring of E&amp;S parameters during construction stage as per project requirement.</p> <p>Refer to SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts.</p>	Contractor
11	Reporting	<ul style="list-style-type: none"> <li>Section 10 of EIA Notification, 2006</li> </ul>	<p>Submit periodical environment and social parameters monitoring reports. Indicative reporting formats provided in SOP 3 – Annex V.</p> <p>Refer to SOP 1 – Assessment and Management of Environmental and Social Risks and Impacts.</p>	Contractor
12	Training		<p>Conduct capacity-building initiatives with the assistance of other specialist institutions and consultants to deliver trainings to the project stakeholders, including their staff, consultants, and the contractors. The trainings will be conducted at the state and divisional levels, depending on training requirements. Refer to the training plan.</p>	APCRDA, ESMU, or consultant



Guidance on Application of Laws,  
Policies and International Good  
Practices Related to Community Health  
and Safety

# Standard Operating Procedure (SoP): 4

Community Health and Safety

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## **4 Community Health and Safety (SoP): 4**

### **4.1 Introduction**

Community health and safety hold paramount significance. It entails adopting proactive measures to identify and mitigate potential health and safety risks associated with project activities, guaranteeing that communities remain protected from any negative effects due to construction activities.

### **4.2 Objectives of SOP 4**

The objectives of the SOP are to:

- Avoid or minimize community exposure to project-related traffic and road safety risks, diseases, and hazardous substances.
- **Identify and effectively manage risks related to sexual exploitation and abuse or sexual harassment (SEA/SH) while implementing transparent reporting protocols.**
- Manage and respond to project-related emergency events.

### **4.3 Application of the SOP**

This SOP covers the aspects related to community health and safety, including addressing risks related to labor influx, unsafe migration, and gender-based violence (GBV).

#### 4.4 Requirements for SOP 4

The procedures for assessing risks and impacts on community health and safety and the implementation of incorporated mitigation measures are outlined in Table 4-1

**Table 4-1: Key Requirements for Community Health and Safety**

Sr. No.	Activity	Relevant laws and sections	Procedures	Responsibility
<b>Feasibility study</b>				
01	Screening and scoping	Appendix-I,(E & S Policy)	<p>i. Apply environmental and social (E&amp;S) screening checklist as per SOP 1 to determine:</p> <ul style="list-style-type: none"> <li>• Prevalence of communicable and waterborne diseases</li> <li>• Migration pattern</li> <li>• Prevalence of gender-based violence (GBV)</li> <li>• Prevalence of social conflict</li> <li>• GBV service providers in the area (see SOP 4 – Annex I)</li> <li>• Traffic trends and accident hotspots.</li> </ul> <p>ii. Undertake risk assessment to <b>establish level of risk – high, substantial, moderate, or low for sexual exploitation and abuse or sexual harassment (SEA/SH)</b> (see SOP 4 – Annex II).</p> <p><b>Note: SEA/SH risk assessment should be carried out at different phases of the project life cycle.</b></p> <p>iii. Estimate budget for mitigation measures for community health and safety.</p>	APCRDA/ADCL, PgMC, PMC
<b>Detailed project report (DPR)</b>				
02	Community health and safety	<ul style="list-style-type: none"> <li>■ Appendix-II, ESMP</li> </ul>	<p><b>Baseline study</b></p> <p>i. Collect and analyze baseline data from the project influence area (PIA) to determine the following direct and indirect impacts:</p>	APCRDA/ADCL, PgMC, PMC

Sr. No.	Activity	Relevant laws and sections	Procedures	Responsibility
	impact assessment		<ul style="list-style-type: none"> <li>• Incidence of communicable and water borne diseases</li> <li>• Traffic related data: traffic count, speed, vehicle types, peak hour analysis, accidents, and so on</li> <li>• Existing pollution levels</li> <li>• Access to social infrastructure</li> <li>• Presence of hazardous materials and waste</li> <li>• Migration pattern</li> <li>• Crime rates and GBV service providers within the PIA</li> <li>• Profile of host communities: employment, education, skills, and so on</li> <li>• Existing social conflicts.</li> </ul> <p><b>Note:</b> The standardized data collection methods will be followed as laid down in SOP 1. Secondary data and focus group discussions (FGDs) will be used for the baseline study. Also, it is essential to follow safety and ethical considerations when conducting surveys and consultation on GBV and unsafe migration (see to SOP 4 – Annex III).</p>	
03	Mitigation measures incorporated in the environmental and social management plan (ESMP) and	<ul style="list-style-type: none"> <li>■ Standard Bidding-Document, Section-VIII, Particular Conditions of Contract (PCC).</li> </ul>	<p>i. Identify risks and incorporate the following corresponding mitigation measures or plans into the ESMP:</p> <ul style="list-style-type: none"> <li>• Traffic management and road safety</li> <li>• Emergency response management (see SOP 4 – Annex IV)</li> <li>• Hazardous waste and materials management</li> <li>• Community infrastructure</li> <li>• Labor influx management (see SOP 4 – Annex V)</li> </ul> <p>(Refer to SOP 1 &amp; SOP 3)</p>	APCRDA/ADCL, PgMC, PMC

Sr. No.	Activity	Relevant laws and sections	Procedures	Responsibility
	labor management procedure (LMP)		Based on the SEA/SH risk assessment at the screening stage, incorporate measures for low risks in the ESMP and LMP. In case of moderate to high risks, prepare a standalone SEA/SH action plan (see SOP 4 – Annex VI).	
<b>Procurement</b>				
04	Bid document and evaluation	<ul style="list-style-type: none"> <li>■ Standard Bidding Document, Section-III, Evaluation and Qualification Criteria.</li> </ul>	i. Bid documents to include a section on E&S requirements under the conditions of contract. Clauses relevant to community health and safety are: <ul style="list-style-type: none"> <li>● Traffic management, emergency response, and hazardous waste and material management within the ESMP</li> <li>● Prohibition and prevention of SEA/SH</li> <li>● Preparation of a contractor’s ESMP (C-ESMP) before commencement of work</li> <li>● Budget line items specific to ESMP implementation in the bill of quantities (BOQ)</li> <li>● Penalty clause for breach of contract</li> <li>● Annexures: ESMP and code of conduct</li> <li>● Evaluate the E&amp;S capabilities related to personnel, past performance, and experience of the bidder during bid evaluation process.</li> </ul>	ESMU
<b>Implementation</b>				
05	Implementation	<ul style="list-style-type: none"> <li>■ Standard Bidding Document, C-ESMP. Appendix-II.</li> </ul>	i. Once contract is awarded, prepare and implement C-ESMP, which incorporates the following plans: <ul style="list-style-type: none"> <li>● Traffic management and road safety – plan to include elements to have minimum impact to public &amp; safety to workers; traffic control zones, sign boards indicating work</li> </ul>	Contractors

Sr. No.	Activity	Relevant laws and sections	Procedures	Responsibility
		<ul style="list-style-type: none"> <li>■ IRC 55-2014, IRC 30-1968, IRC 67-2001 and revisions</li> <li>■ The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (POSH)</li> <li>■ Sec 38 to 41, Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 (BOCW)</li> <li>■ BOCW Act 1996 and Rule 34 to 54 of BOCW Central Rule 1998</li> </ul>	<p>zones, diversions, advance caution, regulatory, guidance; speed and traffic control measures; traffic diversions.</p> <ul style="list-style-type: none"> <li>• Emergency response management</li> <li>• Hazardous waste and materials management</li> <li>• Hazard identification and risks assessment (see SOP 4 – Annex VI)</li> <li>• Labor influx management.</li> </ul> <p>ii. Native Tree plantation along the settlement periphery, along streets in existing settlements</p> <p>iii. Undertake IEC activities to create awareness on road safety, traffic management, SEA/SH, grievance redressal, work schedule, labor camps, and mitigation plans.</p> <p>iv. Establish stakeholder platforms representation from local governing bodies, nongovernmental organizations (NGOs) or civil society organizations (CSOs), utilities, and divisional office and organize fortnightly meetings.</p> <p>v. Implement SEA/SH prevention and response mitigation measures as per project-specific ESMP and/or SEA/SH action plan (see SOP 4 – Annex VIII).</p> <p>vi. Ensure codes of conduct are signed and understood by all workers.</p> <p>vii. Display notifications and notices (with focus on SEA/SH, community health and safety, communicable and noncommunicable diseases, grievance redressal, hazardous waste management, and so on) at camp, construction sites, and among project-affected communities</p> <p>viii. Maintain records for the following:</p> <ul style="list-style-type: none"> <li>• Number of SEA/SH complaints received, number of complaints disposed of, and number of cases pending for more than 90 days</li> </ul>	

Sr. No.	Activity	Relevant laws and sections	Procedures	Responsibility
			<ul style="list-style-type: none"> <li>• Trainings and IEC activities conducted on SEA/SH, community health and safety, communicable and noncommunicable diseases, and emergency response plan at camp, construction sites, and project-affected communities (including information on date, name, and designation of resource person, number of personnel sensitized, and photos of the trainings)</li> <li>• Accidents and fatalities</li> <li>• Grievances.</li> </ul> <p>ix. Conduct regular meetings, workshops, and training sessions to build capacity and foster collaboration</p>	
06	Monitoring and reporting	<ul style="list-style-type: none"> <li>■ Standard Bidding Document, Appendix-II, B, ESMP.</li> <li>■ Standard Bidding Document, Appendix-II ,C, ESMP, Occupational Health and Safety as per the applicable GIIP.</li> </ul>	<p>i. The required monitoring procedures to be followed by the APCRDA will be carried in accordance with SOP 1 – Assessment and Management of Environment and Social Risks Impact.</p> <p>ii. Monitor compliance with C-ESMP requirements and note any deviations or concerns in the monthly and quarterly progress report.</p> <p>iii. Periodic on-site monitoring of construction activities and PIA to identify potential hazards related to traffic and road safety, GBV hotspots, social conflict, communicable disease, community exposure to health issues, construction induced grievances, and accidents and fatalities (see SOP 4 – Annex VII).</p> <p>iv. Review C-ESMP to verify that appropriate mitigation measures actions are included.</p> <p>v. Prepare monthly and quarterly reports and submit to concerned officials for review.</p>	ESMU

Guidance on Biodiversity Conservation  
and Sustainable Management of Living  
Natural Resources in APCRDA / ADCL  
Projects

# Standard Operating Procedure (SoP): 5

Biodiversity Conservation

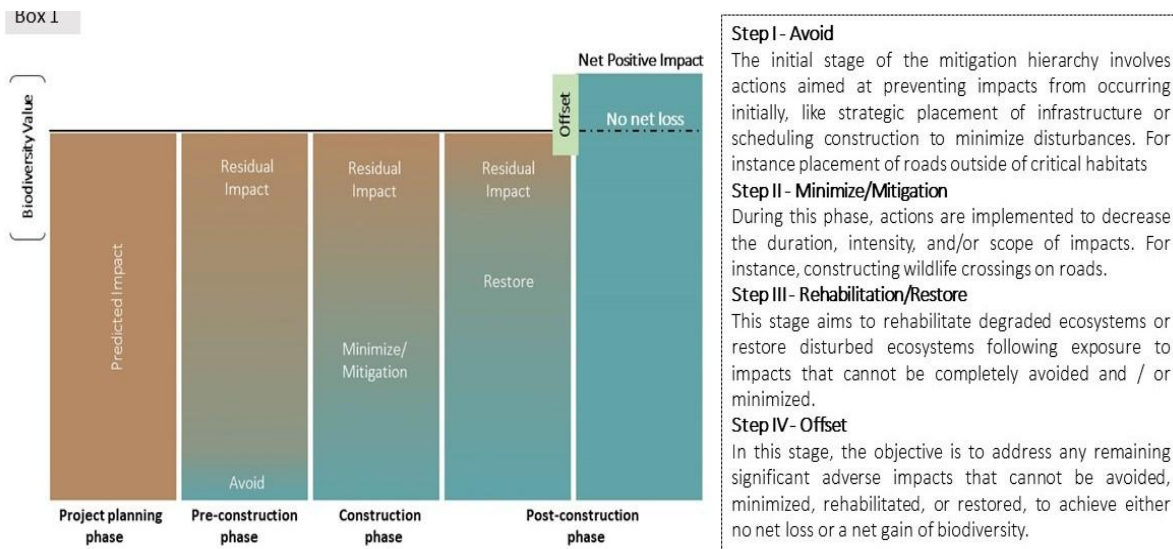
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## 5 Biodiversity Conservation (SoP): 5

### 5.1 Introduction

SOP 5 outlines procedures for identifying impacts on biodiversity and critical habitats, and if unavoidable, minimizing and mitigating through corresponding plans, following mitigation hierarchy principles.<sup>12,13,14,15,16,17</sup> See Figure 5-1



**Figure 5-1: Procedures for Identifying Impacts on Biodiversity and Critical Habitats**

Figure 5-1 illustrates the hierarchical methods for mitigating the impacts of project activities to ensure there is no net loss of biodiversity. These methods include avoidance, minimizing or mitigating, rehabilitating or restoring, and offsetting residual impacts.

### 5.2 Objectives of SOP 5

The key objectives are to establish a structured framework for application of the mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity.

### 5.3 Application of the SOP

The scope of SOP 5 covers all projects and activities, regardless of scale, that have potential impacts on biodiversity and ecosystem services.

<sup>12</sup> Environment and Social Framework (adopted August 2016), 2017; World Bank, Washington, DC, USA.

<sup>13</sup> Environmental and Social Framework (working paper), 2023; Asian Development Bank, Metro Manila, Philippines.

<sup>14</sup> Environment and Social Framework (approved February 2016; amended November 2022), 2022; Asian Infrastructure Investment Bank, Beijing, China.

<sup>15</sup> Environmental and Social Considerations, January 2022. Japan International Cooperation Agency, Tokyo, Japan.

<sup>16</sup> Environment and Social Framework (2016V4), March 2016. New Development Bank, Shanghai, China.

<sup>17</sup> Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources (2012). January 2012. International Finance Corporation, Washington, DC, USA.

## 5.4 Requirements for SOP 5

This SOP, read with SOP 1, details the procedures to systematically determine the project's area of influence (PIA), identify risks to biodiversity and ecosystem services, guide the preparation of a species-specific wildlife conservation plan (as required by the State or National Board for Wildlife for Environmental Clearance under the EIA, 2006 notification), and develop a biodiversity management plan (BMP). See Table 5-1

**Table 5-1: Key Requirements for Biodiversity Conservation**

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
<b>Feasibility study – Biodiversity screening and scoping</b>				
01	Screening and scoping – (Biodiversity assessment)	<ul style="list-style-type: none"> <li>• Section 7 (II and III) of Environmental Impact Assessment (EIA) Notification, 2006 and its subsequent amendments</li> <li>• Indian Forest Act, 1927 (IFA)</li> <li>• Forest (Conservation) Act, 1980</li> <li>• Wildlife (Protection) Act, 1972 (WPA)</li> </ul>	i. Identify the presence of critical habitats within the 10km radius of the project area. Criteria for critical habitat areas are (see SOP 5 – Annex I): <sup>18</sup> <ol style="list-style-type: none"> <li>a) Habitats protected by national and state legal regulation (for example, WPA, 1972 and IFA, 1927)</li> <li>b) Habitats of significant importance to (critical species):               <ul style="list-style-type: none"> <li>• Species listed under Schedule I and “specified plants” of the WPA (and its subsequent amendments)</li> <li>• Critically endangered or endangered species as listed by the International Union for Conservation of Nature (IUCN) Red List of Threatened species</li> <li>• Species notified as “threatened species” by the Government of Andhra Pradesh.</li> </ul> </li> <li>c) Habitats of significant importance to endemic or restricted-range species</li> <li>d) Habitats that support globally or nationally significant concentrations of migratory or congregatory species</li> <li>e) Habitats that include highly threatened or unique ecosystems</li> </ol>	APCRDA or consultant appointed by APCRDA

<sup>18</sup> World Bank. 2017. “Biodiversity Conservation and Sustainable Management of Living Natural Resources.” Guidance note 6, World Bank, Washington, DC. Retrieved from <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/634681491382426076/biodiversity-conservation-and-sustainable-management-of-living-natural-resources-guidance-note-6>.

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
		<ul style="list-style-type: none"> <li>• Section 41(1) of the Biological Diversity Act, 2002</li> <li>• Andhra Pradesh Biodiversity Rules, 2009</li> <li>• The Wet land conservation and management rules 2010 with 2017 amendments.</li> <li>• Conditions of EC &amp; NGT order</li> </ul>	<ul style="list-style-type: none"> <li>f) Habitats essential for ecological functions or characteristics crucial to maintaining the biodiversity values previously outlined.</li> <li>ii. Undertake the critical habitat survey using secondary data resources such as the Integrated Biodiversity Assessment Tool and other online available assessment tools (see SOP 5 – Annex I).</li> <li>iii. Identify if any of the project activities intersect critical habitats as described in the critical habitat criteria.</li> <li>iv. Engage an independent EIA consultant / Biodiversity Expert               <ul style="list-style-type: none"> <li>a) If the project requires forest or wildlife clearance by the Forest Conservation Act (1980) and the Wildlife Protection Act (1972)                   <ul style="list-style-type: none"> <li>• <b>Form for seeking the recommendation of Standing Committee of National Board of Wildlife or State Board of Wildlife (Refer SOP 5- Annex I)</b></li> </ul> </li> <li>b) If the project presents significant risks and adverse impacts on biodiversity or critical habitat.</li> </ul> </li> </ul>	
<b>Detailed project report (DPR) – Biodiversity assessment</b>				
02	Baseline data collection	<ul style="list-style-type: none"> <li>• EIA Notification, 2006; WPA, 1972 and the Forestry Conservation Act, 1980</li> <li>• Conditions of EC pertaining to Biodiversity conservation / ecology restoration</li> </ul>	<p><b>Stepwise approach for baseline biodiversity data collection</b></p> <ul style="list-style-type: none"> <li>i. <b>Sampling design (study direct and indirect impact areas of the project)</b> <ul style="list-style-type: none"> <li>a) Data are to be collected using stratified random sampling across various ecosystems (for example, forest, grassland, and aquatic).</li> <li>b) The local stakeholders such as the biodiversity management committee, conservation nongovernmental organizations (NGOs), research institutes and universities are to be consulted during the sampling design.</li> </ul> </li> <li>ii. <b>Methods</b></li> </ul> <div style="border: 1px solid black; padding: 2px; margin-top: 5px;"><b>Data collection, analysis, indicators, and potential impacts</b></div>	EIA Consultant / Biodiversity expert engaged by APCRDA

Sr. No.	Activity	Relevant laws and sections	Procedure				Responsibility
			Survey	Methods for data collection and analysis	Indicators	Potential impacts	
			Proximity to critical habitat	i. Assess the proximity of the project area to critical habitats using Geographic Information Systems (GIS) tools (SOP 5 – Annex I)	i. Distance from the project area to critical habitats	i. Wildlife disturbance intensifies as the distance between the construction project and habitats decreases, causing stress and change in the natural behavior and movement of animals.	
			Land use and land cover (LULC) distribution	i. Remote sensing (at 10m resolution) and GIS analysis (supervised classification)	i. Map of LULC • Percentage of each land cover type forest, agriculture (built-up area and so on)	<ul style="list-style-type: none"> <li>• Natural forest cover loss</li> <li>• Habitat loss for wildlife and threat to population</li> <li>• Loss of native flora and fauna</li> </ul>	

Sr. No.	Activity	Relevant laws and sections	Procedure				Responsibility
			Fragmentation using GIS tools	i. Assess forest fragmentation using GIS tools like Fragstat (temporal analysis)	i. Map of forest fragmentation • Fragmentation index and number of fragmented patches	<ul style="list-style-type: none"> <li>• Habitat loss</li> <li>• Change in microenvironment at the forest edge</li> <li>• Disruption of wildlife movement</li> </ul>	
			Impact on forest cover from the project activities	i. Assess the impact of project activities on forest cover ii. Risk mapping on forest cover from project activities ii. Estimate number of trees cutting as per project scale and design	i. Area of forest cover loss and percentage change in forest cover (to be predicted as per the project scale)	<ul style="list-style-type: none"> <li>• Habitat loss</li> <li>• Biodiversity loss</li> <li>• Soil degradation</li> <li>• Water cycle disruption</li> <li>• Change in local climate and carbon sequestration</li> <li>• Spread of nonnative invasive species</li> </ul>	
			Habitat type (vegetation survey)	i. Vegetation survey using belt transect and nested	i. Map habitat and forest types ii. Species richness index,	<ul style="list-style-type: none"> <li>• Irreversible change in plant community structure</li> </ul>	

Sr. No.	Activity	Relevant laws and sections	Procedure				Responsibility
				quadrat sampling (10 × 10m size) ii. Collect abundance data on tree (girth at 1.37m from the base and tree height), shrub, and herb species for community structure assessment ii. Identify habitat (natural or modified) and forest types based on plant community structure and composition	diversity index, and community structure composition ii. List of flora and status of critical species v. List of nonnative invasive plant species	<ul style="list-style-type: none"> <li>• Loss of native flora and primary forest</li> <li>• The increase in nonnative species disrupts ecosystem structure and services</li> </ul>	
			Fauna survey <sup>19</sup>	i. Conduct inventory study for	i. Species richness, encounter rate,	<ul style="list-style-type: none"> <li>• Habitat loss</li> </ul>	

<sup>19</sup> Sutherland, William J., ed. 2006. *Ecological Census Techniques: A Handbook*. Cambridge: Cambridge University Press.

Sr. No.	Activity	Relevant laws and sections	Procedure			Responsibility	
				mammals, avifauna, butterflies, reptiles, and amphibians	and density estimates ii. List of faunal diversity ii. List of critical species, sizes, and location of habitats	<ul style="list-style-type: none"> <li>• A decrease in species diversity leads to instability in ecosystems.</li> </ul>	
				i. Identify migratory, endemic, or restricted habitat species based on the survey data	i. Presence of endangered migratory (Convention on Migratory Species, United Nations Environment Programme) and endemic species	<ul style="list-style-type: none"> <li>• Threat to habitat and population</li> </ul>	
				i. Based on the primary data and secondary literature review, identify the feeding ground, animal corridor, and	i. Map of critical species habitat use pattern with the overlaying project area ii. Identify animal corridors and map corridors with overlaying project area	<b>Impact on feeding ground</b> <ul style="list-style-type: none"> <li>• Alteration of habitats can reduce the availability of natural food sources.</li> </ul> <b>Impact on animal corridor</b>	

Sr. No.	Activity	Relevant laws and sections	Procedure			Responsibility	
				<p>home range of critical species</p> <p>ii. Prepare biodiversity map</p>	<p>ii. Comprehensive map incorporating critical species spatial distribution within the study area</p>	<ul style="list-style-type: none"> <li>• Disruption of animal corridors leads to an increase of mortality and altered migration patterns.</li> <li><b>Impact on home range</b></li> <li>• Reduction in home range size restricts access to food, shelter, and mates</li> <li>• Stress and behavioral changes</li> <li>• Increase competition leading to conflicts with other species</li> <li>• Risk of local extinction of critical species</li> </ul>	
			Forest dependency survey	<p>i. Collect primary data on the forest dependency of local people (projects direct impact</p>	<p>i. Map forest resources used by the local people</p> <p>ii. Level of dependency on forest resources</p>	<ul style="list-style-type: none"> <li>• Loss of livelihoods</li> <li>• Reduced access to food and medicine (traditional practice)</li> </ul>	



Sr. No.	Activity	Relevant laws and sections	Procedure			Responsibility	
				area) using household survey (template)	and types of resources used ii. Predicted impact of project activities on local forest dependency	<ul style="list-style-type: none"> <li>• Degradation in ecosystem services</li> <li>• Increase the vulnerability of local communities to natural disasters such as floods and landslides</li> <li>• Cultural loss</li> <li>• Community displacement</li> </ul>	
<p><b>(Note:</b> The methods, data analysis, indicators, and potential impacts listed may vary depending on the specific scale, design, and implementation of each construction project. This table provides a general overview and should be adapted based on project-specific details and local conditions.)</p>							
8.	Biodiversity management plan (BMP)	<ul style="list-style-type: none"> <li>• As per Conditions of EC for biodiversity conservation</li> <li>• MDBs guidelines on biodiversity conservation &amp; management</li> <li>• Guidelines of MoEFCC &amp; State Environment dept</li> </ul>	<ul style="list-style-type: none"> <li>• The indicative mitigation measures to minimize adverse impacts on biodiversity within the direct and indirect impact areas are detailed in SOP 5 – Annex II.</li> <li>• The BMP is to be site-specific and may be adjusted based on the scale and nature of the project. It is to be updated as necessary to reflect the unique conditions of the project area.</li> <li>• The plan shall include – measures for prevention of pollution in water bodies Using nature based solutions and designs specific to site. Improve tree cover along the boundary with Native species, aquatic species to be planted.</li> <li>• The Plan shall include enhancement of the tree cover in the existing settlements – open spaces, public and semi public spaces, master plan</li> </ul>			APCRDA – ESMU	

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
		for biodiversity conservation <ul style="list-style-type: none"> <li>•</li> </ul>	green spaces in the neighbourhood areas using native species with community concept. <ul style="list-style-type: none"> <li>• Improvement of tree cover on the existing hills and hillocks</li> <li>• Protection of existing trees, priority for translocation, replacement tree plantation in a ratio of 1:10 for every tree felled.</li> <li>• Prior permissions form competent authority</li> </ul>	
9.	Monitoring and Reporting	<ul style="list-style-type: none"> <li>• As per conditions of EC</li> <li>• MDB reporting requirement</li> <li>• As per guidelines of MoEFCC/State Forest department</li> </ul>	<ul style="list-style-type: none"> <li>i. Sampling framework for biodiversity monitoring, methodologies, and indicators for assessment of impact of project activities (see SOP 5 – Annex II)               <ul style="list-style-type: none"> <li>• Monthly /quarterly report (comprehensive seasonal data)</li> </ul> </li> <li>ii. Monitoring reporting process outline in SOP 5 – Annex III.</li> </ul>	Forest Department, APCRDA, ESMU APCRDA, ESMU
10.	Budget	<ul style="list-style-type: none"> <li>• As per guidelines of state forest department / MoEFCC</li> <li>• Conditions of EC</li> </ul>	Estimate the budget for this SOP as per SOP 5 – Annex IV and integrate in the consolidated budget provided in SOP 1. Budget for remedial works and corrective actions as necessary.	EIA consultant / Biodiversity expert

Guidance on Grievance Redressal  
Mechanism in APCRDA / ADCL Projects

# Standard Operating Procedure (SoP): 6

Grievance Redressal Mechanism (GRM)

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## **6 Grievance Redressal Mechanism (GRM) (SoP): 6**

### **6.1 Introduction**

Grievance Redressal Mechanism is most effective when established early and maintained throughout the project cycle. It should be integrated into the identification, assessment, and management of E&S risks and impacts. A robust mechanism ensures concerns are addressed transparently, fostering trust and accountability. SOP 6 outlines the process for grievance management and must be read alongside other SOPs for coherence.

### **6.2 Objective of SOP 6**

- To outline the comprehensive Grievance Redressal Mechanism (GRM) established under APCRDA
- Including those related to Sexual Exploitation and Abuse (SEA), Sexual Harassment (SH), and Gender-Based Violence (GBV).
- This section details the procedural steps, channels for grievance submission, escalation mechanisms, monitoring and reporting frameworks, and the tier-based institutional arrangements to ensure timely, transparent, and survivor-centered redressal of complaints across all project stages.

### **6.3 Application of the SOP**

This Standard Operating Procedure (SoP) is to be applied across all stages of the project lifecycle to ensure an accessible, transparent, and accountable grievance redressal process. It outlines clear channels for grievance submission, defined timelines for resolution, and structured escalation mechanisms. The SoP covers all types of grievances, including general project-related issues, construction labour concerns, and those related to Sexual Exploitation and Abuse (SEA), Sexual Harassment (SH), and Gender-Based Violence (GBV). It integrates both digital and physical platforms—such as helplines, web portals, and in-person submission points—and specifies the roles and responsibilities of key stakeholders including APCRDA, ADCL, PgMC, PMC, and gender committees. The procedure emphasizes a survivor-centered approach for handling SEA/SH/GBV complaints, ensures confidentiality, and mandates compliance with legal frameworks like the POSH Act, enabling timely, sensitive, and effective grievance resolution.

**Table 6-1: SOP for GRM**

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
01	Existing mechanism for handling grievances under APWRD		<p>Grievances can be submitted through any of the following channels:</p> <ul style="list-style-type: none"> <li>■ E-mail (Amaravati.bonds@apcrda.org), post, and in-person to state and divisional officials</li> <li>■ Suggestion boxes in divisional and subdivisional offices</li> <li>■ Toll free helpline number (1902)</li> <li>■ Web portal (<a href="https://parishkaram.el91.com/grievances/">https://parishkaram.el91.com/grievances/</a>). Two separate dropdown option will be provided for construction labour grievances and GBV grievances.</li> <li>■ State level grievance redressal committee. (<a href="https://meekosam.ap.gov.in/">https://meekosam.ap.gov.in/</a>)</li> </ul> <p><b>Procedural steps of GRM</b></p> <p><b>1: Receive, register, and acknowledge the grievances</b></p> <p>Upon receipt of complaints, the project personnel will log the complaint in the online grievance register (see SOP 6 – Annex V) integrated with helpline and online portal within 24 hours. A unique identification number will be sent to the complainant through a phone call or text message in local language as and when complaint registered. Helpline operators may contact the complainant during this step, for further clarification.</p>	

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			<p>If the complaint is received through the portal or the helpline number, the operator will log the complaint and acknowledge its receipt immediately.</p> <p><b>2: Develop resolution and respond to complainant</b></p> <p>The complaint will then be transferred to the project personnel for investigation and resolution. The helpline operator will continually update the complainant on the progress and the timeline for conclusion. The helpline will close the grievance if the complainant is satisfied with the resolution. To the extent possible, investigation must be completed within 15 working days of the grievance first being logged.</p> <p><b>3: Escalation of grievances, if complainant is dissatisfied</b></p> <p>If the complainant rejects the proposed resolution, the complaint will be escalated to the higher-level grievance redressal committee within 15 days of its decision, to re-open and review. On every Saturday (working day), the commissioner, APCRDA reviews all the grievances village wise with direct interaction with the complainants &amp; the concerned CA regarding the satisfaction of the complaint. All the complainants of the units proposed for review meeting will be intimated through IVRS calls and also direct phone call from a team of GRM wing on previous day of review. After review of each grievance, by the commissioner APCRDA the grievance is disposed.</p>	

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			<p><b>4: Recourse to legal and other formal recourse</b></p> <p>The complainant is free to approach the court of law. Additionally, affected persons can file complaints with the Land Acquisition, Rehabilitation and Resettlement (LARR) Authority for land acquisition cases and also to the commissioner APCRDA for land exchange through Negotiated Settlement Policy (NSP) and CRDA related grievances.</p>	
2.	Addressing grievances related to sexual exploitation and abuse or sexual harassment (SEA/SH)	<ul style="list-style-type: none"> <li>• Refer to SoP 5</li> </ul>	<ul style="list-style-type: none"> <li>■ APCRDA established a tier based mechanism to address the GBV cases (refer to Annexure )</li> <li>■ ‘<i>Parishkaram</i>’ portal to receive grievances related to SEA/SH/GBV</li> <li>■ Escalation mechanism in place to address the grievance within a stipulated timeline based on severity of the grievance. (refer to Annexure</li> <li>■ Along with the established mechanisms, , the survivor has the following channels to file a complaint, including <ul style="list-style-type: none"> <li>□ One Stop Center</li> <li>□ Women Helpline</li> <li>□ Police</li> <li>□ Contractor Focal Point</li> <li>□ CRDA Focal Point</li> <li>□ PMC Focal Point</li> </ul> </li> <li>■ The APCRDA is mandated by the Sexual Harassment at the Workplace (Prevention, Prohibition and Redressal) Act, 2013 (POSH</li> </ul>	APCRDA,/ADCL GBV service providers, PgMC, PMC.

Sr. No.	Activity	Relevant laws and sections	Procedure	Responsibility
			<p>Act) to form an internal complaints committee (ICC) to address workplace-related SEA/SH complaints.</p> <ul style="list-style-type: none"> <li>■ Maintain confidentiality of all SEA/SH complainants.</li> <li>■ The contractor must also establish an ICC for handling SEA/SH issues at workplace.</li> </ul>	
3.	Monitoring and reporting		<ul style="list-style-type: none"> <li>■ The APCRDA gender specialist at Tier 2 will be responsible for monitoring the response measures and maintaining close communication and coordination with the Tier 1 gender committee and ICC Committees at all levels wherever they are formed. The PgMC gender specialist will support in monitoring and oversight with support from PMC at the project site and workers level on SEA/SH compliance at the project level by workers, contractors, supervision consultants and staff.</li> <li>■ The monthly monitoring report to include the number of cases managed and the kind of services provided with no personal details disclosed about the survivors.</li> </ul>	APCRDA,/ADCL GBV service providers, PgMC, PMC.



## 7 Training Plan

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
01	Assessment and management of environmental and social (E&S) risks and impacts	<ul style="list-style-type: none"> <li>APCRDA / ADCL Concerned officials</li> <li>E&amp;S focal persons</li> </ul>	<p><b>Module 1:</b></p> <ul style="list-style-type: none"> <li>Overview of the EIA notification 2006 and its applicability, EC requirements, MDBs E&amp;S policies, and GIIP</li> </ul> <p><b>Module 2:</b></p> <ul style="list-style-type: none"> <li>Introduction and scope of Standard Operating Procedure (SOP) 1</li> <li>SOP 1 procedures and instruments</li> <li>Overview of the ESMP and its implementation</li> <li>Monitoring and reporting</li> </ul>	1 day	Annually	<ul style="list-style-type: none"> <li>Lectures, Individual and group presentations</li> <li>Hands-on practice</li> </ul>	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Printed materials</li> </ul>	<ul style="list-style-type: none"> <li>ESMU, PgMC/PMC</li> <li>Expert from MDBs</li> </ul>	<ul style="list-style-type: none"> <li>HO of APCRDA &amp; ADCL</li> </ul>

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
		Contractors	<p><b>Module 1:</b></p> <ul style="list-style-type: none"> <li>• Overview of the EC requirements, NGT orders and compliance</li> <li>• MDBs E&amp;S policies and GIIP</li> </ul> <p><b>Module 2:</b></p> <ul style="list-style-type: none"> <li>• Introduction to ESMP</li> <li>• Preparation and development of contractor's ESMP (C-ESMP)</li> </ul>	1 day	One time at the preconstruction phase	<ul style="list-style-type: none"> <li>• Presentation</li> <li>• Hands-on practice</li> </ul>	<ul style="list-style-type: none"> <li>• Audio and visual aids</li> <li>• Printed materials</li> </ul>	<ul style="list-style-type: none"> <li>• ESMU / PgMC/PMC</li> <li>• Expert from MDBs</li> </ul>	<ul style="list-style-type: none"> <li>• ADCL site offices</li> <li>• Contractors</li> <li>• PMCs team</li> </ul>
02	Labor and working conditions	<ul style="list-style-type: none"> <li>• E&amp;S focal persons</li> <li>• Contractors</li> </ul>	<p><b>Modules:</b></p> <ul style="list-style-type: none"> <li>• Introduction and scope of SOP 2</li> <li>• Overview of the labor management procedure (LMP) and its implementation</li> <li>• Labor laws and their implementation (employment</li> </ul>	1 day	Bi - Annually	<ul style="list-style-type: none"> <li>• Presentation</li> <li>• Hands-on practice</li> </ul>	<ul style="list-style-type: none"> <li>• Audio and visual aids</li> <li>• Printed materials</li> </ul>	<ul style="list-style-type: none"> <li>• ESMU / PgMC/PMCs</li> <li>• Expert from MDBs</li> <li>• Labor inspector or expert from the Labour Department, AP</li> </ul>	<ul style="list-style-type: none"> <li>• Site offices of ADCL</li> <li>• Contractors</li> <li>• PMCs team</li> </ul>

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
			<p>conditions, wages, and so on)</p> <ul style="list-style-type: none"> <li>• Social security (compensation, Employees' State Insurance [ESI], Employees' Provident Fund [EPF], and so on)</li> <li>• Occupational health and safety (Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 or BOCW)</li> <li>• Workers' grievance management</li> <li>• Monitoring and reporting (on-site and information and communication</li> </ul>						

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
			technology or ICT tool) <b>Modules:</b> <ul style="list-style-type: none"> <li>Data entry in ICT tool on labor law compliance</li> <li>Role of contractors while reporting</li> </ul>	1 day	Following the contract award and subsequently as necessary	Demonstration Hands-on practice	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Handout</li> </ul>	PgMC / PMC / ESMU	<ul style="list-style-type: none"> <li>ADCL site offices</li> <li>PMCs</li> <li>PgMC</li> </ul>
03	Resource efficiency and pollution prevention	<ul style="list-style-type: none"> <li>E&amp;S focal persons</li> </ul>	<b>Modules:</b> <ul style="list-style-type: none"> <li>Pollution types (air, water, soil, and noise) and their effects</li> <li>Waste reduction and management</li> <li>Types of resources (renewable and nonrenewable)</li> <li>Water conservation techniques</li> <li>Site visit for training (as a part training program)</li> </ul>	1 day	Bi - Annually	Lectures and presentation	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Site visit for practical experience</li> </ul>	<ul style="list-style-type: none"> <li>Expert from the PHED and APPCB</li> <li>PgMC/PMC</li> <li>Expert from MDBs</li> </ul>	<ul style="list-style-type: none"> <li>APCR DA &amp; ADCL official at HO &amp; site offices</li> <li>Contractors</li> <li>PMCs</li> </ul>

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
			for practical knowledge)						
04	Community health and safety	<ul style="list-style-type: none"> <li>E&amp;S Focal Person</li> <li>Contractors</li> </ul>	<b>Modules:</b> <ul style="list-style-type: none"> <li>Traffic management plan</li> <li>Emergency response management plan</li> <li>Hazardous waste and materials management plan</li> <li>Labor influx management</li> <li>Sexual exploitation and abuse or sexual harassment (SEA/SH) and gender-based violence (GBV) mitigation</li> <li>Relevant laws and its implementation</li> <li>Monitoring and reporting</li> </ul>	1 day	Bi - Annually	<ul style="list-style-type: none"> <li>Lectures and presentation</li> <li>Case study</li> </ul>	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Printed materials</li> </ul>	<ul style="list-style-type: none"> <li>ESMU</li> <li>PgMC/PMC</li> <li>MDBs</li> <li>Labor inspector or expert from the Labour Department, AP</li> </ul>	<ul style="list-style-type: none"> <li>Site offices of ADCL</li> <li>Contractors</li> <li>PMCs</li> </ul>

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
05	Biodiversity conservation	<ul style="list-style-type: none"> <li>E&amp;S focal persons</li> <li>Contractor</li> </ul>	<b>Modules:</b> <ul style="list-style-type: none"> <li>Critical habitat assessment</li> <li>Wildlife protection and conservation laws (state and national)</li> <li>Rights and responsibilities of citizens</li> <li>Importance of awareness and education</li> <li>International good practices for biodiversity conservation</li> </ul>	1 day	Annually	<ul style="list-style-type: none"> <li>Lectures and presentation</li> <li>Case study</li> </ul>	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Printed materials</li> </ul>	<ul style="list-style-type: none"> <li>ESMU</li> <li>PgMC</li> <li>Subject specialist (species-specific)</li> <li>Expert from MDBs</li> </ul>	<ul style="list-style-type: none"> <li>HO &amp; Site offices of APCR DA &amp; ADCL</li> </ul>
06	Stakeholder engagement and information disclosure	<ul style="list-style-type: none"> <li>E &amp; S focal persons</li> <li>Contractors</li> </ul>	<b>Modules:</b> <ul style="list-style-type: none"> <li>Introduction and scope of SOP 06</li> <li>Stakeholder mapping and consultation</li> <li>Disclosure requirements</li> <li>Grievance redressal mechanism</li> </ul>	1 day	Annually	<ul style="list-style-type: none"> <li>Lectures and presentation</li> <li>Demonstration</li> </ul>	<ul style="list-style-type: none"> <li>Audio and visual aids</li> <li>Printed materials</li> <li>Handout</li> </ul>	<ul style="list-style-type: none"> <li>PgMC/ESMU</li> </ul>	<ul style="list-style-type: none"> <li>HO &amp; Site offices of APCR DA &amp; ADCL</li> </ul>

Sr. No.	Training area	Participant	Training contents	Duration	Frequency	Methodology	Training aids	Resource person	Level
			(including SEA/SH complaints) <ul style="list-style-type: none"> <li>• Overview of stakeholder engagement plan (SEP) and its implementation</li> <li>• Online reporting tools and role of the APCRDA &amp; ADCL</li> <li>• Monitoring and reporting</li> </ul>						

## Annexures of SoP 1

### Annexure I: Suggestive Budget Table

Budget categories	Description	Quantity	Unit costs (INR)	Time years	Total costs (INR)	Remarks
Preparation	Expenses for conducting screening and ESIA, preparation of mitigation plans (ESMP, LMP, SEP, BMP, community health and safety, CHMP and RAP,					
Obtaining statutory permissions for compliance	Expenses associated with obtaining permits and complying with environment and social (E&S) regulations					
Implementation	Expenses for implementation of the mitigation plans					
Environment monitoring	Expenses for carrying out environment monitoring such as air quality, water quality, soil and noise monitoring, and so on,					



Budget categories	Description	Quantity	Unit costs (INR)	Time years	Total costs (INR)	Remarks
	including third-party audit, contractor E&S performance and site-specific ESMP implementation					
Social monitoring	Expenses for monitoring RAP, IPDP, SEP, GRM, labour and community health and safety, third-party audit					
Communication and outreach	Budget for preparation and dissemination of IEC materials, stakeholder consultation, workshops					
Institutional Strengthening	Budget for human resources and training personnel on environment and social management					
Documentation and reporting	Costs for documentation and establishing monitoring and reporting mechanism					

Budget categories	Description	Quantity	Unit costs (INR)	Time years	Total costs (INR)	Remarks
Remediation and corrective actions	Cost of retroactive remedial or corrective actions					

**Annexure II: Monthly Reporting Templates**

**Template 1: Regulatory Compliance Monitoring Format**

Name of the contractor:

Name of the subproject:

Reporting for the month of:

<b>Component</b>	<b>Applicable legislation</b>	<b>Compliance status</b>	<b>Actions required</b>

**Template 2: Compliance as per Indicative list of Items for Contractor’s Environmental and Social Management Plan (C-ESMP)**

Name of the contractor:

Name of the subproject:

Reporting for the month of:

- The following are the indicative activities (but not limited) that need to be complied by the contractor during the contract duration. On award of work, the contractor shall work out a C-ESMP in line with labour laws and other regulatory guidelines along with the quantities of each of these indicated activities (which should be sufficient for effective implementation of the C-ESMP and other E&S clauses mentioned in the bid document) and submit for approval of PMC/Employer The modalities of monitoring these activities is to be jointly finalised by Employer/contractor.
- During periodical inspection, in case of necessity, on direction of Employer, the contractor shall provide additional quantities and activities.
- The payment for all these activities shall be made out of provisional sum. The payments are subjected to scrutiny and approval of all the activities done at site.
- The total payment for these activities/additional/new for the entire project duration shall be within ceiling amount of 1%.
- The contractor shall also, for the performance of its E&S obligations hereunder during the Construction Period, furnish the Performance Security for an amount equal to 0.1 per cent of the bid amount/contract value in the shape of unconditional and irrevocable Bank Guarantee/ Insurance Surety Bond valid until 60 days after the completion of work. This E&S Performance Security shall be over and above the Performance Security mentioned above

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
1	Permissions Clearances/Consents/NoC/ Authorisation/license etc	The contractor shall ensure that permissions from the regulatory bodies are obtained for Hot mix plant, RMC plant, Crusher, Quarries, Borrow areas, Tree cutting, Water for construction purposes, hazardous wastes, Biomedical wastes etc		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<p>Licences, insurance for the labour (local and migrant), Registration for specific work under labour laws</p> <p>Temporary shelter for workers considering the local climate- Bachelor accommodation with secured room with adequate space, ventilation, lights, fans , Bedding</p>		
2	Labour camps as per the applicable National/State laws and quantity as per the personnel	<ul style="list-style-type: none"> <li>■ Temporary shelter for workers considering the local climate - family accommodation with secured room with adequate space, ventilation, lights, fans, Bedding</li> <li>■ Provide meals at a reasonable cost or free of charge to its Contractor’s Personnel per shift in a Dining area and ensure minimum nutritional requirements</li> <li>■ Secured and Sanitary toilets/ Bio toilets with lights - for Men 1 pan for 25 persons</li> <li>■ Secured and Sanitary toilets/ Bio toilets with lights - for Women 1 pan for 25</li> <li>■ persons Secured bathroom for Men with Water supply and lights</li> <li>■ Secured bathroom rooms for Women with Water supply and lights</li> <li>■ Common Wash Areas Separate Wash areas for women in labour camps</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<ul style="list-style-type: none"> <li>■ Common Kitchen with ventilation, lights, storage racks for raw materials</li> <li>■ Supply of Environment friendly fuels for Kitchen</li> <li>■ Common Dining Area with ventilation, fans and lights</li> <li>■ Appropriate water storage units for supply of water for domestic usage to the camp</li> <li>■ Appropriate water storage units for supply of potable water for domestic usage to the camp</li> <li>■ Crèche for children</li> <li>■ Sanitation and Housekeeping activities within the camp includes periodic cleaning of overhead tanks, toilets, sweeping, Disinfection</li> <li>■ Dustbins of appropriate capacities for wet (Blue) and dry (Green) wastes and disposal at designated locations</li> <li>■ Pest control measures</li> <li>■ Onsite sewage treatment facilities/ Mobile STP Sludge/septage removal and disposal at the designated locations</li> <li>■ Power back up - Gas based Gensets with acoustic enclosure with stacks as per CPCB air and noise emission standards.</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<ul style="list-style-type: none"> <li>■ Water treatment unit for supplying potable water considering the raw water source Water Supply line for potable water to kitchen and to water disposal points near rooms</li> <li>■ Fencing around the labour camp to secure the workers and to prevent entry of stray animals</li> <li>■ Security personnel Signage's in the labour camps on the safety, code of conduct, sanitation, SEA/SH</li> <li>■ Camp level area lighting</li> <li>■ Store space for the workers to buy daily needs First Aid kits within labour camps</li> <li>■ Proper ventilated Health check rooms with chairs, tables, at least two beds, screens</li> <li>■ Fire control equipment Ambulance shall be available in the project site Arrange visiting doctor for periodic consultations and tie-up with nearest super speciality hospital for emergency treatments</li> <li>■ Arrange female nurse in the First aid room Medical Check Up - The Contractor shall organise medical check-ups carried out by a doctor for all Contractor's</li> <li>■ Personnel prior to the initial mobilisation to the Project Area for diagnosis of any disease conditions, fitness level and later on</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<p>quarterly basis to check general health condition fitness for the work.</p> <ul style="list-style-type: none"> <li>■ Common room for trainings/general meetings/Grievance redressal meetings with chairs, tables, lights and fans</li> <li>■ Open drains within the camp site for storm water drainage</li> <li>■ Transportation of workers between labour camps and work sites</li> </ul>		
3	Supply of work specific PPE to the workers and personnel on site as per the National standards	<ul style="list-style-type: none"> <li>■ Safety Jackets with reflective coating and water proofing Supply of work specific Safety helmets considering work place hazards related to electrical, falling objects</li> <li>■ Supply of work specific Safety shoes considering work place hazards related to sharp objects on floor/ground, electrical, slippage, thermal conditions in the work areas</li> <li>■ Supply of work specific Safety gloves considering work place hazards related to sharp objects, handling wet materials, chemicals, mechanical tools, electrical, slippage, thermal</li> <li>■ Supply of Safety ear plugs to all workers in a radius of 100' distance from noise sources</li> <li>■ Supply of Safety Masks of Minimum FFP 2 type or equivalent in all areas of potential sources of Dust, fumes from welding, emissions from vehicles</li> </ul>		



Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<ul style="list-style-type: none"> <li>■ Supply safety belt for the person working at heights Suitable safety apparatus for personnel working in confined spaces Safety Eye protective wear</li> </ul>		
4	Traffic management in consideration to the applicable guidelines, IRC, APCRDA instructions and local police	<ul style="list-style-type: none"> <li>■ All the vehicles deployed shall meet emission norms as per applicable rules.</li> <li>■ All the vehicles deployed shall have valid PUC certificate</li> <li>■ The loaded vehicles with material shall be covered with Tarpaulins</li> <li>■ Tyre wash facility shall be provided in construction site</li> <li>■ Speed limit boards shall be displayed along the haulage routes within 2km from the site</li> <li>■ Speed limiting barriers and speed bumps shall be arranged along the haulage routes within 2km from the site including in the nearest settlements</li> <li>■ Deployment of flag men in the nearest settlement and on the approach road to the site for management of traffic during peak hours</li> <li>■ Display no honking sign boards near to the sensitive receptors in the nearest settlement</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<ul style="list-style-type: none"> <li>■ Display warning sign boards to alert public on construction zone, unauthorised entry, heavy vehicular movement</li> <li>■ Arrange informative display boards with project information and directions to site along the haulage routes</li> </ul>		
5	Environmental Monitoring as per the CPCB guidelines and IS standards by the NABL accredited lab	<ul style="list-style-type: none"> <li>■ Surface water quality analysis for the parameters mentioned in IS 2296 on quarterly basis in the nearest water bodies</li> <li>■ Ground Water quality analysis for the IS 10500 parameters on Quarterly basis in project site, labour camps and nearest habitation</li> <li>■ Potable water quality analysis for IS 10500 parameters on monthly basis</li> <li>■ Noise levels during day peak work hours on monthly basis               <ul style="list-style-type: none"> <li>I. The Construction site</li> <li>II. Within 500 m on haulage road to construction site</li> <li>III. In nearest settlements during peak hours</li> <li>IV. labour camps</li> <li>V. Near to Hot mix plant/RMC plant/ DG sets</li> </ul> </li> </ul> <p>Noise levels during Night work hours on monthly basis</p> <ul style="list-style-type: none"> <li>I. The Construction site</li> <li>II. Within 500 m on haulage road to construction site</li> <li>III. In nearest settlements during peak hours</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<p>IV. labour camps V. Near to Hot mix plant/RMC plant/ DG sets</p> <p>Soil Quality analysis as per the ICAR recommended parameters on Quarterly basis in the construction site, site surroundings, labour camp surroundings Regular internal monitoring of minimum Lighting Lux levels in work areas and maintenance of records</p> <p>Ambient Air Quality Monitoring on monthly basis for the parameters So2, No2, PM10, PM2.5, O3, CO, VoC</p> <ul style="list-style-type: none"> <li>■ The Construction site</li> <li>■ Within 500 m on haulage road to construction site</li> <li>■ Downwind side in nearest settlements during peak hours</li> <li>■ labour camps</li> <li>■ Additional parameters under Air, Water, Soil in case of any polluting events noticed</li> </ul>		
6	Occupational, Health and Safety as per the applicable labour laws/GIIP	<ul style="list-style-type: none"> <li>■ Arrange the Hard MS/GI Sheet barricading up to 7 m height around the construction site to reduce the fugitive emissions to the surrounding area</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<ul style="list-style-type: none"> <li>■ Arrange adequate area lighting in the construction site, haulage routes, surrounding the construction site during night/low light conditions</li> <li>■ Arrange adequate lighting inside the under construction building to enable both day and night working conditions</li> <li>■ Supplying and fixing of cautionary and informative signs boards on Safety of the workers in all work areas</li> <li>■ Provide work specific arrangements for personnel to prevent trip, slip and falls hazards</li> <li>■ Arrange fall protection arrangements for the scaffolding, along the stairs, floor edge Walking Surfaces or boards at height should be of sound construction and to be provided with safety rails and safety belts</li> <li>■ Arrangement for head protection around the building from falling objects and with necessary signage's</li> <li>■ Arrangement of Vibration Control Damping tools shall be used Arrangement of Adequate safety barricades near heavy machinery considering the radial movement</li> <li>■ Arrangement of Adequate safety barricades with retro reflective snickering near excavated areas Arrangement of Personnel near</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<p>heavy machinery to control and guide movement with appropriate tools like flags/hand held batons appropriate to day/night conditions</p> <ul style="list-style-type: none"> <li>■ Arrangement of warning signage boards -with emergency contacts, site E &amp; S officer contact, Grievance officer contact</li> <li>■ Arrangement of Firefighting equipment shall be arranged in the construction site and near to the fuel storage and handling area</li> <li>■ Arrangement of Measures to prevent water stagnation and mosquito breeding</li> <li>■ Arrangement of basic amenities in the construction site - secured and sanitary toilets for men and women, drinking water, rest areas, food, first aid etc. Arrangement of Pest control measures in the construction site</li> </ul>		
7	Signage and display boards as per the E & S requirements	<ul style="list-style-type: none"> <li>■ Make arrangement to Display Grievance Redressal Boards with project information along the Projects</li> <li>■ Arrangement of warning signage boards -with emergency contacts, site E &amp; S officer contact, Grievance officer contact, list of trained first aiders with contacts</li> <li>■ Display informative board on GBV, SEA/SH and punishment under the law</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
8	Waste Management as per the CPHEEO/CPCB guidelines and GIIP (Good International Industry Practices)	<ul style="list-style-type: none"> <li>■ Arrangement of dust bins within the construction sites for collection of wet and dry wastes</li> <li>■ Onsite arrangement of space with shelter, spill control kits, impermeable floor and drain, collection pits for collecting, segregation and temporary storage of wastes into the streams -e waste, batteries, used oils, contaminated soils/materials, plastics, empty cement bags, used chemical cans, electrical wastes, steel cutting, plumbing wastes, glass, Tyres or any other hazardous wastes etc</li> <li>■ Space for temporary storage of bulk wastes like C &amp; D wastes and other wastes</li> <li>■ Transportation of C &amp; D wastes to the designated location</li> <li>■ Transportation of Top soil up to 30cm depth to the designated location</li> <li>■ Transportation of excavated soils other than topsoil to the designated location</li> <li>■ Transportation of other recyclable wastes to the designated collection location</li> <li>■ Arrangement with Authorised dealer/facility to hand over the biomedical wastes Hazardous waste (Used oil etc) handing over to</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		<p>the APPCB authorised recyclers/ TSDF by providing disposal certificates</p> <ul style="list-style-type: none"> <li>■ The sludge and septage shall be cleared through authorised operator in the region and shall be ensured for disposal in nearest STP/FSTP or authorised dealer/facility</li> </ul>		
9	Insurance	<ul style="list-style-type: none"> <li>■ The contractor shall take Public liability insurance if any material under the PLI act is handled.</li> <li>■ Arrangement of truck/s mounted with water fogging guns to control dust in the construction site, labour camp, along haulage routes and in nearest settlement and water sprinkling along roads wherever applicable.</li> <li>■ Arrange Oil, Grease &amp; Sludge Separator in all applicable areas such as vehicle bay, vehicle Garage, fuel storage areas, fuel handling areas</li> <li>■ Silt Fencing along the drains or at the sedimentation ponds in construction site to Protect water bodies</li> <li>■ Minimum onsite treatment systems for the effluents from the batching plant as per the consent conditions of PCB/GIIP</li> </ul>		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
10	Mitigation Measures as per the relevant applicable standards and guidelines	<ul style="list-style-type: none"> <li>■ Arrangement of Noise Barriers near all potential noise sources and as per the site conditions</li> <li>■ Arrangement of site specific measures to protect adjacent properties from dust and air pollution</li> <li>■ Arrangement of appropriate site specific measures to indicate and prevent any flooding conditions</li> <li>■ For power back up in all practicable cases arrange solar panel based supplies during emergencies in the construction site with stacks</li> <li>■ For power back up in all practicable cases arrange gas based gensets as a power back during emergencies in the construction site with stacks DG sets for power back (to be used only) if gas based and solar based arrangements are not feasible and DG sets to have stacks to limit ground level concentrations</li> <li>■ Existing trees to be translocated</li> <li>■ Topsoil excavated during construction activities shall be used for horticulture/landscape development within the project site. The contractor shall arrange adequate drains to ensure drainage of storm water during monsoons</li> </ul>		



Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
12	Capacity building Trainings/Workshops/Awareness Programs	Training sessions for his personnel in two-folds: <ul style="list-style-type: none"> <li>■ Introductory sessions for starting work at the Project Area, and technical training as required in relation to the execution of the works</li> <li>■ Training for the workers on Contractor Environment, Health &amp; Safety Management plan, Code of conduct, GBV/SEA/SH, Occupational safety Awareness on HIV/AIDS, Pandemics such as COVID-19 &amp; Medical Camps Firefighting, Mock Drills First Aid Training, CPR Testing</li> </ul>		
13	Rehabilitation & Reinstatement of Sites at the Closure of the Project	Site rehabilitation - Rehabilitate all Project Areas and landscapes disturbed by the works, to their original condition where possible upon completion of construction and prior to the provisional acceptance of the works.  Close collaboration with all statutory stakeholders will be conducted in cooperation with the Employer during the reinstatement. This will include all temporarily acquired sites including borrow areas, quarry areas, camp site, storage areas, diversions, etc.		
14	Social Aspects	Formation and functioning of Internal complaints committee for gender related issues as per the POSH act Provide temporary safe access to individual properties/ settlements /activity areas in case of disturbance to regular routes.		

Sl No.	Environmental and social aspects	Description of the item	Proposed mitigation measures as per C-ESMP	Status of compliance
		Formation and functioning of grievance redressed cell Consultations with stakeholders as and when required to prevent social conflicts due to labour influx		

*Note:* This table is subjective and is customizable as per the need of each project.

### Template 3: E&S Reporting from Project Activities

Name of the contractor:

Name of the subproject:

Reporting for the month of:

Project name:	Reporting period:	Prepared by:	Date:
Overview of the E&S issue			
Description of the issue			
Affected areas			
Timeline			
Impact assessment			
Severity*			
Stakeholders affected			
How did you find out about it and when?			
Clear facts or conflicting versions?			
Ongoing or contained?			
Loss of life or severe harm?			
Authorities informed? If so, how specifically? What has their response to date been?			
Mitigation plan			
Mitigation measures			
Timeline			

\* Severity classification of the incident with example:

Examples	Environmental	Social	Occupational health and safety
<b>Indicative:</b> <i>Small-scale incident that could indicate risk of future serious events</i>	Poor quality or delayed site restoration and revegetation	Minor instances of inappropriate behavior of security forces or other contractor personnel	Minor job site injuries; absence of health & safety plan and training
<b>Serious:</b> <i>Incident that has caused significant harm to workers, community members, or the environment</i>	Overexploitation of natural resources	Case(s) of mistreatment of community members or vulnerable groups by project workers or security forces	Injuries requiring off-site medical attention
<b>Severe:</b> <i>An incident that caused great harm to individuals or the environment (for example, fatality, GBV, forced or child labor)</i>	Major river contamination causing decimation of fish population or other aquatic resources	Forced evictions or resettlement of communities without due process or compensation	Any fatality

## Annexure of SoP 2

### Annexure I: Applicable Labor Laws

Sr. No.	Activity	Relevant Laws
1	Necessary relevant licenses and registrations	<ul style="list-style-type: none"> <li>■ Sections 7 and 12 of the Contract Labour Act, 1970               <ul style="list-style-type: none"> <li>□ Registration of certain establishments (Section 7)</li> <li>□ Licensing of contractors (Section 12)</li> </ul> </li> <li>■ Rule 17, 21, of the Contract Labour (R&amp;A) Central Rule, 1971 &amp; AP Rules 1971               <ul style="list-style-type: none"> <li>□ Manner of making application for registration of establishments (Rule 17)</li> <li>□ Application for a licensee (Rule 21)</li> </ul> </li> <li>■ Sec-7 and 12 of the Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 (BOCW Act)               <ul style="list-style-type: none"> <li>□ Registration of establishments (Section 7)</li> <li>□ Registration of building workers as beneficiaries (Section 12)</li> </ul> </li> <li>■ Rule 23 of the BOCW Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ Manner of making application for registration of establishments</li> </ul> </li> <li>■ Sec-4 of Inter-State Migrant Workmen Act, 1979               <ul style="list-style-type: none"> <li>□ Registration of certain establishments</li> </ul> </li> <li>■ Rules 3 and 7 of the Inter-State Migrant Workmen (Regulation employment and Conditions of Services) Central Rules, 1980 &amp; AP Rules 1982               <ul style="list-style-type: none"> <li>□ Form and manner of making application for registration of establishment. (Rule-3)</li> <li>□ Application for a licensee (Rule 7)</li> </ul> </li> <li>■ Sections 25 and 26 of Water (Prevention &amp; Control of Pollution) Act, 1974 and Air (Prevention &amp; Control of Pollution) Act, 1981 for Sewage Treatment Plants in Labor Camps               <ul style="list-style-type: none"> <li>□ Application form for Consent or Authorization, Schedule I Common Application for Consent</li> </ul> </li> </ul>

Sr. No.	Activity	Relevant Laws
2	Registration of building workers as beneficiaries	<ul style="list-style-type: none"> <li>■ Section 12 of the BOCW Act, 1996 <ul style="list-style-type: none"> <li>□ Registration of building workers as beneficiaries</li> </ul> </li> </ul>
3	Terms and conditions of employment	<ul style="list-style-type: none"> <li>■ Section 12 of BOCW Act, 1996 <ul style="list-style-type: none"> <li>□ Minimum age is 18 and maximum age is 60 for beneficiary registration</li> </ul> </li> <li>■ Rule 22 of the Minimum Wages (Central) Rules, 1950 &amp; Rule 23 of AP Minimum wage rules 1960 <ul style="list-style-type: none"> <li>□ Publicity to the minimum wages fixed under the Act</li> </ul> </li> <li>■ Rules 238, 241, 248, and 249 of the Building and other Construction Workers (Regulation of Employment and Conditions of Service) Central Rules, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Notice of wage periods and so on</li> <li>□ Muster roll, wages register, deduction register, overtime register, and issue of wage books and service certificates</li> <li>□ Payment of wages</li> <li>□ Display of notices of wage regarding date of payment of wages</li> </ul> </li> <li>■ Rule 81 read with Rule 71 of the Contract Labour (Regulation and Abolition) Central Rules, 1971 &amp; AP Rules 1971 <ul style="list-style-type: none"> <li>□ A notice showing the wage period and the place and time of disbursement of wages shall be displayed at the place of work (Rule 71)</li> <li>□ Notices showing the rates of wages, hours of work, wage period, dates of payment of wages, names and addresses of the inspectors having jurisdiction, and date of payment of unpaid wages, shall be displayed. (Rule 81)</li> </ul> </li> <li>■ Rule 55 of the Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Rules, 1980 &amp; Rule 47 of AP Rules 1982 <ul style="list-style-type: none"> <li>□ Notices showing the rates of wages, hours of work, wage period, dates of payment of wages, names and addresses of the Inspectors having jurisdiction, and date of payment of unpaid wages, shall be displayed.</li> </ul> </li> <li>■ Rule 8 of The Rights of Persons with Disabilities Rules, 2017</li> </ul>

Sr. No.	Activity	Relevant Laws
		<ul style="list-style-type: none"> <li>□ Manner of publication of equal opportunity policy</li> </ul>
4	Prohibition of child and forced labor	<ul style="list-style-type: none"> <li>■ Sections 3 and 9 of the Child and Adolescent Labour (Prohibition and Regulation) Act, 1986 <ul style="list-style-type: none"> <li>□ Prohibition of employment of children in certain occupations and processes (Section 3)</li> <li>□ Notice to inspector (Section 9)</li> </ul> </li> <li>■ Rule 17 of the Child and Adolescent Labour (Prohibition and Regulation) Rules, 1988 <ul style="list-style-type: none"> <li>□ Certificate of age</li> </ul> </li> <li>■ Section 4 of the Bonded Labour System (Abolition) Act, 1976 Abolition of bonded labour system</li> </ul>
5	Workers' employment card	<ul style="list-style-type: none"> <li>■ Rule 76 of the Contract Labour (R &amp; A) Central Rule 1971 &amp; AP Rules 1971 Employment Card</li> </ul>
6	Medical examination of workers	<ul style="list-style-type: none"> <li>■ Rule 223 of the BOCW Central rules, 1998 &amp; AP Rules 223 Medical examination of building workers, and so on.</li> </ul>
7	Compulsory display	<ul style="list-style-type: none"> <li>■ The Building and Other Construction Workers' (Regulation of Employment &amp; Conditions of Service) Central Rules, 1998, Rule 241 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Abstract of BOCW Act, 1996</li> </ul> </li> <li>■ Sec-12, Child Labour (Prohibition and Regulation) Amendment Act, 2016</li> <li>■ The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, Section 3(1) and Section 4 (1), 7</li> <li>■ Clause 117 of the BOCW (RE &amp; CS) Act's Central Rules, 1998 <ul style="list-style-type: none"> <li>□ Warning sign, barricades, and so on</li> </ul> </li> <li>■ Abstract of the <ul style="list-style-type: none"> <li>□ The Contract Labour Act, 1970</li> <li>□ The Payment of Wages Act, 1936</li> <li>□ The Payment of Gratuity Act, 1972</li> <li>□ The Employee Compensation Act, 1923</li> </ul> </li> </ul>

Sr. No.	Activity	Relevant Laws
		<ul style="list-style-type: none"> <li>□ The Maternity Act, 1961</li> <li>The Minimum Wage Act, 1948</li> </ul>
8	Welfare of workers	<ul style="list-style-type: none"> <li>■ Chapter VI, Sec 28 to 37 of BOCW Act, 1998. <ul style="list-style-type: none"> <li>□ Hours of work, welfare measures, and other conditions of service of building workers</li> </ul> </li> <li>■ Rule 243 to 247 of the BOCW Central Rules, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Welfare of building workers</li> </ul> </li> <li>■ Sec-40 to 62 Chapter V of the Contract labour Central Rules, 1971 &amp; AP Rules 1971 <ul style="list-style-type: none"> <li>□ Welfare and health of contract labor</li> </ul> </li> </ul>
9	Maintenance of register and records	<ul style="list-style-type: none"> <li>■ Sec 30 of BOCW Act, 1996. <ul style="list-style-type: none"> <li>□ Maintenance of registers and records</li> </ul> </li> <li>■ Rule 240 and 241 of the BOCW Central Rules, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Register of persons employed as building workers (Rule 240)</li> <li>□ Muster-roll, wages register, deduction register, overtime register, and issue of wage books and service certificates (Rule 241)</li> </ul> </li> <li>■ Rule 75, 78 of the Contract labour Central Rules, 1971 &amp; AP Rules 1971 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Register of persons employed (Rule 75)</li> <li>□ Muster Roll, Wages Registers, Deduction Register and Overtime Register (Rule 78)</li> </ul> </li> </ul>
10	Safety committee, safety officer, and safety committees' records of meetings	<ul style="list-style-type: none"> <li>■ Rules 208, 209, and 231 of the BOCW Central Rules, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Safety Committee (Rule 208)</li> <li>□ Appointment of Safety Officer (Rule 209)</li> </ul> </li> <li>■ First aid box (Rule 231)</li> </ul>
11	Grievance mechanism	<ul style="list-style-type: none"> <li>■ Section 3 of The Industrial Disputes Act, 1947 (Workers Committee)</li> </ul>
12	Workers' organization	<ul style="list-style-type: none"> <li>■ Section 4 of the Trade Unions Act, 1926 Mode of registration of Trade Union</li> </ul>



Sr. No.	Activity	Relevant Laws
13	Non-discrimination and equal opportunities	<ul style="list-style-type: none"> <li>■ Section 4 and 5 of the Equal Remuneration Act, 1976 <ul style="list-style-type: none"> <li>□ Duty of employer to pay equal remuneration to men and women workers for same work or work of a similar nature (Sec-4)</li> <li>□ No discrimination to be made while recruiting men and women worker (Sec-5)</li> </ul> </li> <li>■ Section 21 of the Rights of Persons with Disabilities Act, 2016 <ul style="list-style-type: none"> <li>□ Equal opportunity policy</li> </ul> </li> <li>■ Rule 8 of The Rights of Persons with Disabilities Rules, 2017 <ul style="list-style-type: none"> <li>□ Manner of publication of equal opportunity policy</li> </ul> </li> </ul>
14	Occupational health and safety	<ul style="list-style-type: none"> <li>■ Part III, Chapter VI of the Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Central Rules, 1998 (Annexure). <ul style="list-style-type: none"> <li>□ Safety and Health-General Provisions</li> </ul> </li> <li>■ Rules 5, 6, and 8 of the Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Central Rules, 1998) &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Duties and responsibilities of employers, employees and others (Rule 5)</li> <li>□ Responsibilities of architects, project engineers, and designers (Rule -6)</li> <li>□ Duties and responsibilities of workers (Rule 8)</li> </ul> </li> <li>■ Rules 234–237, Chapter XXVIII of the Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Rules, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Hours of work, rest intervals, and weekly off, and so on</li> </ul> </li> <li>■ Sec-16 to 27, Chapter V of the Contract Labour (Regulation and Abolition) Act, 1970 <ul style="list-style-type: none"> <li>□ Welfare and health of contract labor</li> </ul> </li> </ul>
15	Contracted workers	<ul style="list-style-type: none"> <li>■ Sections 20 and 21 of The Contract Labour (Regulation and Abolition) Act, 1970 The Andhra Pradesh Capital Region Development Authority &amp; Amaravati Development Corporation Limited (APCRDA &amp; ADCL) will have responsibility and liability as principal employer</li> </ul>

Sr. No.	Activity	Relevant Laws
16	Community workers	<ul style="list-style-type: none"> <li>■ No specific law covers voluntary labor. However, general principles of civil law and constitutional guarantees apply. Clear facilities should be provided at par with labor laws applicable to the work site; and the nature of work performed should be within the expected skillset and should not be bonded labor.</li> <li>■ Section 3 of The Bonded Labour System (Abolition) Act, 1976 <ul style="list-style-type: none"> <li>□ Abolition of bonded labour system.</li> </ul> </li> <li>■ Section 3 of The Child and Adolescent Labour (Regulation and Abolition) Act, 1986 <ul style="list-style-type: none"> <li>□ Prohibition of children in certain occupations and process.</li> </ul> </li> </ul>
17	Primary supply workers	<ul style="list-style-type: none"> <li>■ Section 3 of The Bonded Labour System (Abolition) Act, 1976 <ul style="list-style-type: none"> <li>□ Abolition of bonded labour system.</li> </ul> </li> <li>■ Section 3 of The Child and Adolescent Labour (Regulation and Abolition) Act, 1986 <ul style="list-style-type: none"> <li>□ Prohibition of children in certain occupations and process.</li> </ul> </li> </ul>
18	Women safety and security	<ul style="list-style-type: none"> <li>■ Section 4 of the maternity benefit Act, 1961 <ul style="list-style-type: none"> <li>□ Employment of, or work by, women prohibited during certain periods.</li> </ul> </li> <li>■ Section 4 of the Sexual Harassment of Women at Workplace (Prevention Prohibition and Redressal) Act, 2013 <ul style="list-style-type: none"> <li>□ Constitution of the internal complaints committee (ICC)</li> </ul> </li> </ul>
19	Social security	<ul style="list-style-type: none"> <li>■ The Bonus Act, 1965, Section 19 (a) and (b) and Sec-26</li> <li>■ Sections 3 and 4 of the Workmen’s Compensation Act, 1923</li> <li>■ Sections 5 and 6 of the Employees’ Provident Funds and Miscellaneous Provisions Act, 1952</li> <li>■ Sections 11, 39, 40 and 43 of the Employees’ State Insurance Act, 1948</li> </ul>
20	Reporting of accidents and occupational diseases	<ul style="list-style-type: none"> <li>■ Rule 210 and Rule 230 of the BOCW Central Rule, 1998 &amp; AP Rules 1999 <ul style="list-style-type: none"> <li>□ Reporting Accident (Rule 210)</li> </ul> </li> </ul>
21	Safety committee and safety officer	<ul style="list-style-type: none"> <li>■ Sec 38 of the BOCW Act, 1996 <ul style="list-style-type: none"> <li>□ Requirement for employers to form a safety committee and appoint a safety officer if 500 or more workers engaged</li> </ul> </li> </ul>

Sr. No.	Activity	Relevant Laws
22	Health and safety policy	<ul style="list-style-type: none"> <li>■ Clause 39 of the BOCW Act's Central Rules, 1998 &amp; AP Rues 1999               <ul style="list-style-type: none"> <li>□ Safety policy to be framed by the contractors wherein 50 or more workers employed.</li> </ul> </li> </ul>
23	First -aid	<ul style="list-style-type: none"> <li>■ Sec 36 of the BOCW Act, 1996               <ul style="list-style-type: none"> <li>□ First aid facility to be provided</li> </ul> </li> </ul>
24	Responsibility of employer	<ul style="list-style-type: none"> <li>■ Sec 44 of the BOCW Act, 1996               <ul style="list-style-type: none"> <li>□ Employer shall provide constant and adequate supervision, ensure compliance with provisions relating to safety, and take all practical steps to prevent accidents</li> </ul> </li> </ul>
25	Excessive noise and vibration	<ul style="list-style-type: none"> <li>■ Clause 34 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ Adequate measures to be taken for noise and vibration hazards</li> </ul> </li> </ul>
26	Fencing motors and so on	<ul style="list-style-type: none"> <li>■ Clause 37 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ Ensure fencing to all motors, cogwheels, chains, friction gearing, flywheels, shafting, and dangerous machinery parts</li> </ul> </li> </ul>
27	Lifting and carrying weight	<ul style="list-style-type: none"> <li>■ Clause 38 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ Ensure standards of maximum weight carried by adult man is 55 kg and adult woman is 30kg</li> </ul> </li> </ul>
28	Overhead protection	<ul style="list-style-type: none"> <li>■ Clause 40 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ The employer is required to install overhead protection along the periphery of every building under construction that will be 15 meters or taller upon completion.</li> </ul> </li> </ul>
29	Slipping, tripping, cutting, drowning, and falling hazards	<ul style="list-style-type: none"> <li>■ Clause 42 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Ensure passageways, platforms, and other construction work areas at buildings are free from dust, debris, and obstructions that may cause tripping</li> </ul> </li> </ul>
30	Eye protection	<ul style="list-style-type: none"> <li>■ Clause 45 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Contractors shall provide suitable PPE for eye protection</li> </ul> </li> </ul>
31	Head protection and other suitable protective apparel	<ul style="list-style-type: none"> <li>■ Clause 46 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Contractors shall provide safety helmets and PPE</li> </ul> </li> </ul>

Sr. No.	Activity	Relevant Laws
32	Electrical hazards	<ul style="list-style-type: none"> <li>■ Clause 47 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Take adequate measures to prevent accident/incident due to electrical hazards.</li> </ul> </li> </ul>
33	Stability of Structure	<ul style="list-style-type: none"> <li>■ Clause 49 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Employers must guard structures at construction sites to prevent falling, collapse, or weakening due to wind pressure vibration or other factors</li> </ul> </li> </ul>
34	Stacking of materials	<ul style="list-style-type: none"> <li>■ Clause 51 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Ensure safe and orderly storage and stacking of building materials at construction sites to ensure health and safety for all</li> </ul> </li> </ul>
35	Use of safety helmets and shoes	<ul style="list-style-type: none"> <li>■ Clause 54 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Ensure that all workers performing construction work in buildings or other structures wear safety shoes and helmets that meet national standards</li> </ul> </li> </ul>
36	Fire safety	<ul style="list-style-type: none"> <li>■ Clause 35 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - Contractors shall ensure fire protection at site by providing sufficient fire extinguisher equipment and training persons to operate such equipment</li> </ul> </li> </ul>
37	Emergency action plan	<ul style="list-style-type: none"> <li>■ Clause 36 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - There shall be an emergency action plan in place to handle emergency situation if contractor employs more than 500 workers at site</li> </ul> </li> </ul>
38	Warning signs, barricades, and so on	<ul style="list-style-type: none"> <li>■ Clause 117 of the BOCW Act's Central Rules, 1998 &amp; AP Rules 1999               <ul style="list-style-type: none"> <li>□ - The contractors shall ensure warning signs, barricades at the construction site</li> </ul> </li> </ul>

## Annexure II: Labor Compliance Quarterly Reporting Format

### 1. CHECKLIST FOR TRACKING LABOR-RELATED ISSUES

I. PROJECT DATA	
1.1	Name of project
1.2	Duration
1.3	Start date
1.4	Estimated completion date
1.5	Location
1.6	Name and contact information (email or phone) of contractor
1.7	Name and contact information (email or phone) of all subcontractors
1.8	Type of activities (project description)

II. LABOR PROFILE						
<i>This data is to be collected for each individual laborer working on the project, including temporary labor, labor hired through subcontractors or labor contractors/groups</i>						
2.1	Number of laborers by sex	<i>Male</i>		<i>Female</i>	<i>Total</i>	
2.2	Number of laborers by skill	<i>Skilled</i>		<i>Semi-skilled</i>	<i>Unskilled</i>	<i>Total</i>
2.3	Number of laborers by origin	<i>Local (same or adjoining district)</i>		<i>Other state</i>	<i>Other country</i>	<i>Total</i>
2.4	Number of laborers by age	<i>14-18</i>	<i>18-25</i>	<i>25-50</i>	<i>Above 50</i>	<i>Total</i>
2.5	Source of labor	<i>Contractor</i>	<i>Subcontractor</i>	<i>Independent</i>	<i>Other</i>	<i>Total</i>

III. WAGES				
3.1	Amount of wages paid (men)	<i>Skilled</i>	<i>Semi-skilled</i>	<i>Unskilled</i>
3.2	Amount of wages paid (women)	<i>Skilled</i>	<i>Semi-skilled</i>	<i>Unskilled</i>

3.3	Rate of wages below, equal to, or more than minimum wage?	
3.4	Frequency of payment (daily, weekly, or monthly)	
3.5	Deductions made, if any (with details)	
3.6	Mode of payment (cash, bank transfer, or checks)	
3.7	Is overtime paid, and if so, at what rate?	
3.8	Is overtime register maintained at work spot as per Form IV of Minimum Wages Central Rules?	
3.9	Is muster maintained at work-spot as per Form V of Minimum Wages Central Rules?	
3.10	Is register of wages maintained at work-spot as per Form X of Minimum Wages Central Rules?	
3.11	Is labor provided with wage slip as per Form XI of Minimum Wages Central Rules?	
3.12	How many hours is the working day?	
3.13	How many leaves in a week does the labor get?	

IV. MAINTENANCE OF OTHER LABOUR RECORDS	
4.1	Is a copy of photo ID of each laborer kept with the employer?
4.2	Is verification of qualifications/ experience for all semi-skilled and skilled labor done? If so, by which documents?
4.3	Is contact information of labor's next of kin kept for each labourer?
4.4	How many laborers have been employed from State Employment Exchange?

V. FACILITIES					
5.1	Details of labor camps	Number	Permanent or temporary	Location	Distance from nearest village or habitation
		1...			
		2...			
5.2	Type of housing in labour camp on leased land				

	(temporary shelters, kuchha, or pukka)	
5.3	Is there any housing on public land like roadsides, open fields, and other spaces?	
5.4	Is there any housing in rented accommodation in residential areas? If so, who is it rented by?	
5.5	How many laborers have families on or near worksite?	
5.6	Is drinking water available on-site and at the campsite?	
5.7	Are latrines and urinals provided on-site and at the campsite?	
5.8	Are first aid facilities provided on site?	
5.9	Does a doctor visit the worksite or campsite regularly?	
5.10	Is there a tie-up with a hospital or dispensary near the worksite or campsite?	
5.11	Is woollen clothing or rainwear provided?	
5.12	Is there a provision for a crèche or nursery?	
5.13	Is there a facility for cooking or canteen facility for all labor?	
5.14	Are leisure activities or facilities available for all labor	

5.15	Is transport to and from the worksite provided to labour?	
	Is there a mechanism in place for addressing grievances within the workplace?	

VI. SUPERVISION BY LABOR OFFICIALS		
6.1	Has the worksite or campsite been inspected by a labour official?	
6.2	How many times has the worksite or campsite been inspected by a labor official since commencement of work?	
6.3	What documents were inspected by labor officials?	
6.4	What documents were maintained and which ones were not?	
6.5	What directions were given by labor officials?	
6.6	What is the mode of compliance with such directions?	
6.7	Are you facing any legal proceedings on labor issues in Labour Court, Commissioner for Employees' Compensation, or other?	

VII. STATUTORY DISPLAY		
7.1	Display of the abstract of relevant labour laws	
7.1.2	The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 (BOCW Act) <i>(Yes/No)</i>	
7.1.3	The Contract Labour Act, 1970 <i>(Yes/No)</i>	
7.1.4	The Payment of Wages Act, 1936 <i>(Yes/No)</i>	
7.1.5	Payment of Gratuity Act, 1972 <i>(Yes/No)</i>	



7.1.6	Employee Compensation Act, 1923 <i>(Yes/No)</i>	
7.1.7	The Maternity Benefit Act, 1961 <i>(Yes/No)</i>	
7.1.8	The Minimum Wages Act, 1948 <i>(Yes/No)</i>	
7.2	The rate of wages of employees, category of workers, working hours, weekly rest, date of payment of wages, date of unpaid wages, name and contract details of the labor inspectors (local) at the workplace. <i>(Yes/No)</i>	
7.3	The code of conduct of workers	
7.4	Display of notice of Child and Adolescent Labor under Child Labour (Prohibition and Regulation) Amendment Act, 2016 <i>(Yes/No)</i>	
7.5	Display ICC under the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (POSH Act) <i>(Yes/No)</i>	
7.6	Display of emergency telephone numbers <i>(Yes/No)</i>	
7.7	Display of hazards <i>(Yes/No)</i>	
7.8	Signage for referral pathway of emergency exit plan and other remarkable points, for example, assembly area, entry path, exit path, store, site office, labor camp, kitchen, assembly area, dining, and so on; code of conduct <i>(Yes/No)</i>	
7.9	Display health and safety signage <i>(Yes/No)</i>	
7.10	Display of grievance redressal committee <i>(Yes/No)</i>	

<b>VIII. ACCIDENTS, EMERGENCIES, AND INCIDENTS</b>		
8.1	What is the nature of accidents or emergencies usually occurring at a worksite like yours?	
8.2	Is a functioning first aid available at the campsite or worksite?	
8.3	Is functioning fire-fighting equipment available at the campsite or worksite?	
8.4	Which is the nearest doctor, clinic, or dispensary?	
8.5	Which is the nearest hospital?	
8.6	Which is the nearest police station?	
8.7	Are details of the nearest doctor, clinic, dispensary, hospital, or police station	

	available and prominently displayed at worksite or campsite?	
8.8	What is the system of informing next of kin?	
8.9	Do you have ESI or ECA coverage?	
8.10	What is your familiarity with accident reporting procedures?	
8.11	What is your familiarity with police reporting procedures?	
8.12	Has an internal complaints committee been constituted and other appropriate measures undertaken at the workplace as per the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013?	

<b>IX. HEALTH AND SAFETY</b>		
9.1	Have you established a safety committee at the workplace?	
9.2	Have you appointed safety officer at the workplace?	
9.3	Have you developed a health and safety policy tailored specifically for the project?	
9.4	Have you completed the hazard identification and risk analysis (HIRA) on your side?	
9.5	Are you implementing measures for fire safety at the workplace, including the installation of fire extinguishers?	
9.6	Is a functioning first aid available at the campsite or worksite?	
9.7	Have you provided a sufficient amount of personal protective equipment to all employees?	
9.8	Have you conducted a safety audit at the site?	
9.9	Have you created a comprehensive plan for responding to emergencies and ensuring preparedness?	
9.10	Have you placed warning indicators and safety barriers at the workplace?	
9.11	Are you taking steps to maintain the secure and orderly arrangement of construction materials at the sites?	
9.12	What procedures are followed to inform the authorities regarding an accident or incident?	

9.13	Do you provide safety training to the workers?	
9.14	Have you carried out a mock drill in relation to emergency procedures?	

### Annexure III: Template For Grievance Redressal Mechanism

Stage	Description	Actions	Timeframe
1	Submission of grievance	Worker submits grievance in writing or verbally to the designated authority.	Within 24 hours of occurrence of grievance
2	Receipt acknowledgement	The designated authority acknowledges receipt of the grievance.	Within 48 hours of receipt of grievance
3	Investigation	The designated authority investigates the grievance thoroughly.	Within 7 days of receipt of grievance
4	Resolution	The designated authority proposes a solution and communicates it to the laborer.	Within 15 days of receipt of grievance
5	Appeal process	If the worker is unsatisfied with the resolution, they can appeal to a higher authority.	Within 3 days of receiving the resolution
6	Review and final decision	The higher authority reviews the appeal and makes a final decision.	Within 7 days of receiving the appeal
7	Implementation	If the decision favors the worker, the designated authority implements the resolution.	Within 7 days of the final decision
8	Feedback	The laborer provides feedback on the resolution process.	Within 7 days of implementation

## Annexure IV: Template for Code of Conduct

Sr. No.	Code of conduct	Description
1	Punctuality and attendance	Workers are expected to arrive on time for work and maintain regular attendance as per the agreed-upon schedule.
2	Professionalism	Workers must conduct themselves in a professional manner at all times, including dressing appropriately, communicating respectfully, wearing personal protective equipment (PPE) and adhering to company policies and procedures.
3	Workplace safety	Workers should prioritize their safety and the safety of others by following all safety protocols, using PPE as required, and reporting any hazards or incidents promptly.
4	Respect for colleagues	Workers are expected to treat their colleagues with respect, dignity, and fairness, regardless of differences in role, background, or opinion. Bullying, harassment, discrimination, or any form of disrespectful behaviour will not be tolerated. Sexual harassment is strictly prohibited and may lead to legal actions.
5	Confidentiality	Workers must respect the confidentiality of company or firms' information, customer data, and any other sensitive information they may have access to during the course of their work.
6	Compliance with laws and regulations	Workers are required to comply with all applicable laws, regulations, and industry standards relevant to their work, including but not limited to labor laws, health and safety regulations, and environmental protection laws.
7	Conflict of interest	Workers should avoid situations where their personal interests conflict with the interests of the company. If such conflicts arise, they must disclose them promptly to the appropriate authority.
8	Use of company resources	Workers should use company resources, including equipment, facilities, and funds responsibly and only for authorized purposes. Personal use of company resources is

Sr. No.	Code of conduct	Description
		prohibited. They can only be used in accordance with company policies.
9	Reporting violations	Workers are encouraged to report any violations of this code of conduct or any unethical behavior they observe to the appropriate authority without fear of retaliation.
10	Continuous improvement	Workers should strive for continuous improvement in their skills, knowledge, and performance to contribute positively to the company's goals and objectives.

## **Annexure V: Abstract of the Contract Labour Act, 1971**

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

The act aims at the abolition of contract labor in respect of such categories as may be notified by the appropriate government and at regulating the service conditions of contract labor where abolition is not possible.

### **APPLICABILITY**

- This act applies: To every establishment in which 50(AP act 21 of 2015) or more workmen are employed or were employed on any day of the preceding 12 months as contract labor. [Sec 1(4)(a)]
- To every contractor who employs or who employed on any day of the preceding 12 months 50(AP act 21 of 2015) or more workmen. [Sec 1(4)(a)]

### **To whom does it not apply?**

It shall not apply to establishments in which work only of an intermittent or casual nature is performed [Sec 1(5)(a)]. If question arises whether work performed in an establishment is of an intermittent or casual nature, the appropriate government shall decide that question after consultation with the central board or, as the case may be, a state board, and its decision shall be final [Sec 1(5)(b)]. For the purpose of this subsection, work performed in an establishment shall not be deemed to be an intermittent nature

- If it was performed for more than 120 days in the preceding 12 months; or
- If it is of a seasonal character and is performed for more than 60 days in a year.

### **Administration**

The act is administered by the central or state advisory boards, as the case may be, whereon the labor commissioner will be a member. [Secs 3 and 4]

### **Who is principal employer?**

The head of any office or department of government or local authority or, in a factory, the owner or occupier of the factory or a person named as the manager of the factory under the Factories Act, 1948, is the principal employer under the act. [Sec 2(g)]

### **What are wages?**

For the purpose of this act, the expression "wages" shall have the same meaning assigned to it under the Payment of Wages Act.

### **Who is a workman?**

"Workman" means any person employed in or in connection with a work of skilled, semi-skilled, or unskilled, manual, supervisory, technical, or clerical nature for hire or reward, whether terms of employment are express or implied. The expression "workman" does not include:

- a) Any person employed mainly in a managerial or administrative capacity
- b) A person being employed in a supervisory capacity but draws wages exceeding Rs 500 per mensem or exercises either by the nature of the duties attached to his office or by reason of the powers vested in him, functions mainly of a managerial nature
- c) A person who is an out-worker, that is to say, a person to whom any articles or materials are given out on behalf of the principal employer to be made up, cleaned, washed, altered, ornamented, finished, repaired, adapted, or otherwise processed for sale for the purpose of the trade or business of the principal employer and process is to be carried out either in the home of the out-worker or in some other premises, not being premises under the control and management of the principal employer. [Sec 2(i)]

#### **Contractor to make payment of wages**

The contractor shall be responsible for payment of wages to each contract worker employed by him, such amounts as wages and at such intervals as are agreed upon in the contract. The contractor should ensure that the wages are disbursed in the presence of an authorized representative of the principal employer. [Sec 21]

#### **The obligations of the principal employer**

In the case the contractor fails to make payment of wages within the prescribed period or makes short payment, the principal employer shall be liable to make payment of wages in full or the unpaid balance due, as the case may be, to the contract laborer employed by the contractor and recover the amount so paid from the contractor either by deduction from any amount payable to the contractor under any contract or as a debt payable by the Contractor. [Sec 21]

#### **Employer's obligation**

Every principal employer of an establishment shall, under this act, make an application to the registering officer in Form I for registration of his establishment. If the establishment fails to so register, it is prohibited to employ contract labor after the expiry of the period permitted for making the application. [Secs 7(1) and (2)]

#### **Licensing of contractors**

No employer shall undertake any work through contract labor except under the license issued by the licensing officer [Sec 11]. Such license will contain conditions as to hours of work, fixation of wages, and other essential amenities for the contract employees. Such license shall be valid for a specific period whereafter the employer may apply for renewal [Sec 12(2)]. Any appeal against an order of the licensing officer may be made by the employer within 30 days before the appellate officer nominated by the government. [Sec 15]

#### **Welfare, safety, and health measures**

Every principal employer governed by this act is responsible for maintaining such standards of welfare, safety, and health of contract laborers as prescribed in detail in the act. [Secs 16–21]



## **Registers and records**

**Registers of contractors:** Every principal employer shall maintain, in respect of each registered establishment, a register of contractors in Form XII. [Rule 74]

**Employment card:**

- a) Every contractor shall issue an employment card in Form XIV to each worker within three days of employment of the workers.
- b) The card shall be maintained up to date, and any change in the particulars shall be entered therein. [Rule 76]

**Service certificate:** On termination of employment for any reason whatsoever, the contractor shall issue to the workman whose service have been terminated a service certificate in Form XV. [Rule 77]

**Muster roll, wages register, deduction register, and overtime register:** Every contractor shall, in respect of each job on which he engages contract labor [Rule 78]:

- Maintain a muster roll and registers of wages in Forms XVI and XVII, respectively, provided that a combined register of wage-cum-muster roll in Form XVIII shall be maintained by the contractor where the wage period is a fortnight or less;
- Maintain a register of deductions for damage or loss, register of fines and registers of advances in Form XX, Form XXI, and Form XXII, respectively; and
- Maintain a register of overtime in Form XXIII recording therein the numbers of hours of, and wages paid for, overtime work if any.

Every contractor shall obtain the signature or thumb impression of the worker concerned against the entries relating to him on the register of wages or muster roll-cum-wages register, as the case may be, and the entries shall be authenticated by the initials of the contractor or his authorized representative and shall also be duly certified by the authorized representative of the principal employer in the following manner:

The authorized representative of the principal employer shall record under his signature a certificate at the end of the entries in the register of wages or the register of wages-cum-muster roll), as the case may be, in the following form: "Certified that the amount shown in column no.....has been paid to the workman concerned in my presence on (date) a (place) or deposit in concerned laborer's bank account."

**Display of the act:** Every contractor shall display an abstract of the act and rules in English and Hindi and in the language spoken by the majority of workers in such form as may be approved by the chief labor commissioner (central advisory board)(Rule 79). The contractor shall also display notices showing rates of wages, hours of work, wage period, dates of payment of wages in conspicuous places at the establishment and the worksite. [Rules 80–81 (1) and (2)]

**Returns**

Every principal employer shall, within 15 days of the commencement or completion of each contract job under each contractor, submit a return to the inspector intimating the actual dates of commencement and completion of such contract work in Form VI-B [Rule 81(3)]. Every contractor shall send half yearly returns in Form XXIV (in duplicate) so as to reach the licensing officer concerned not later than 30 days from the close of the half year [Rule 82(1)]. Every principal employer of registered establishment shall send annually a return in Form XXV (in duplicate) so as to reach the registering officer concerned not later than February 15 following end of the year to which it relates. [Rule 82(2)]

**Penalties**

Contravention of provisions of the act will attract punishment by way of imprisonment or fine or both.

## Annexure VI: Abstract of the Building and Other Construction Workers' (Regulation of Employment and Condition of Service) Act, 1996

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

An act to regulate the employment and conditions of service of building and other construction workers and to provide for their safety, health, and welfare measures and for other matters connected therewith or incidental thereto.

### APPLICABILITY

This act applies:

- To every establishment in which 10 or more workmen are employed or were employed on any day of the preceding 12 months as building workers. [Sec 1(4)]

**Explanation:** For the purpose of this subsection, the building workers employed in different relays in a day either by the employer or the contractor shall be taken into account in computing the number of the building workers employed in the establishment. [Sec 1(4)]

### Administration

The act is administered by the central or state advisory committee, as the case may be, whereon the labor commissioner will be a member. [Secs 3 and 4]

### Important definitions

- a) **Beneficiary** means a building worker registered under Section 12.
- b) **Building or other construction work** means the construction, alteration, repairs, maintenance, or demolition of, or, in relation to, buildings, streets, roads, railways, tramways, airfields, irrigation, drainage, embankment and navigation work; flood control works (including storm water drainage works); generation, transmission, and distribution of power; water works (including channels for distribution of water); oil and gas installations; electric lines, wireless, radio, television, telephone, telegraph, and overseas communications; dams, canals, reservoirs, watercourses, tunnels, bridges, viaducts, aqueducts, pipelines, towers, cooling towers, transmission towers, and such other work as may be specified in this behalf by the appropriate government, by notification, but does not include any building or other construction work to which the provisions of the Factory Act, 1948 (63 of 1918), or The Mines Act, 1932 (35 of 1952), apply.
- c) **Building worker** means a person who is employed to do any skilled, semi-skilled, or unskilled, manual, supervisory, technical, or clerical work for hire or reward, whether the terms of employment be express or implied, in connection with any building or other construction work but does not include:
  - i. Any person employed mainly in a managerial or administrative capacity; or
  - ii. A person being employed in a supervisory capacity but draws wages exceeding Rs 1600 per mensem or exercises either by the nature of the duties attached to his office or by reason of the powers vested in him, functions mainly of a managerial nature.
- d) **Employer** means the owner and includes:

- i. In relation to a building or other construction work carried on by or under the authority of any department of the government, directly without any contractor, the authority specified in this behalf, or where no authority is specified, the head of the department;
- ii. In relation to a building or other construction work carried on by or on behalf of a local authority or other establishment, directly without any contractor, the chief executive officer of that authority or establishment; and
- iii. In relation to a building or other construction work carried on by or through a contractor, or by the employment of building workers supplied by a contractor, the contractor.

### **The responsibility of the employer**

An employer shall be responsible for providing constant and adequate supervision of any building or other construction worker employed by him, and such wages shall be paid on or before such date as may be prescribed.

In case the contractor fails to make payment of wages within the prescribed period or makes short payment, then the employer shall be liable to make payment of wages in full or the unpaid balance due, as the case may be, to the building worker employed by the contractor and recover the amount so paid from the contractor either by deduction from any amount payable to the contractor under any contract or as a debt payable by the contractor. [Sec 45]

### **Employer's obligation**

Every employer of an establishment shall, under this act, make an application to the registering officer in Form I for registration of his establishment. If the establishment fails to so register, it is prohibited to employ a building worker after the expiry of the period permitted for making the application. [Secs 7(1) and (2)]

## **RESPONSIBILITIES AND DUTIES OF EMPLOYERS, ARCHITECTS, PROJECT ENGINEERS, DESIGNERS, BUILDING WORKERS, AND OTHERS**

### **A) Duties and responsibilities of employers, employees, and others**

1. It shall be the duty of every employer who is undertaking any of the operations or works related to or incidental to building or other construction work to which these rules apply
  - a. To comply with such of the requirements of these rules as are related to him provided that the requirements of this clause shall not affect any building worker if and so long as his presence in any place of work is not in the course of performing any work on behalf of his employer and he is not expressly or impliedly authorized or permitted by his employer to do the work: and
  - b. To comply with such of the requirements of these rules as are related to him in relation to any work, act, or operation performed or about to be performed by him.

2. It shall be the duty of every employer who erects or alters any scaffold to comply with such of the requirements of the provisions of these rules as relates to the erection or alteration of scaffolds having regard to the purpose or purposes for which the scaffold is designed at the time of erection or alteration, and such employer who erects, installs, works, or uses any plant or equipment in a manner which complies with those provisions.
3. Where a contractor, who is undertaking any of the operations or works to which these rules apply, appoints any artisan, tradesman, or other person to perform any work or services under a contract for services, it shall be the duty of the contractor to comply with such of the requirements of these rules as affect that artisan, tradesman, or other person and for this purpose any reference in these rules to an employee shall include a reference to such artisan, tradesman, or other person, and the contractor shall be deemed to be his employer.
4. It shall be the duty of every employee to comply with the requirements of such of these rules as are related to the performance of or the refraining from an act by him and to cooperate in carrying out these rules.
5. It shall be the duty of every employer not to permit an employee to do anything not in accordance with the generally accepted principles of standard safe operating practices connected with building and other construction work as specified by the state government.
6. No employee shall do anything that is not in accordance with the generally accepted principles of standard safe operating practices connected with building and other construction work as specified by the state government.
7. No person related with any building and other construction work shall wilfully do any act that may cause injury to him or to others.
8. It shall be the duty of every employer not to allow lifting appliance, lifting gear, lifting device, transport equipment, vehicles, or any other device or equipment to be used by the building workers that does not comply with the provisions given in these rules.
9. It shall be the duty of the employer to maintain the latrines, urinals, washing facilities, and canteen in a clean and hygienic condition. The canteen shall be located in a place away from the latrines and urinals and polluted atmosphere and at the same time be easily accessible to the building workers.
10. It shall be the duty of the employer to abide by the dates fixed and notified by him for payment of wages for a period in accordance with these rules, and no change in such dates and such period shall be effected without notice to the building workers and the inspector. The employer shall ensure timely payment of wages as specified under these rules and at the place and time notified by him. Where the employer is a contractor, he shall ensure that the wages of building workers are paid in the presence of a representative of the employer of the establishment or owner of the premises from whom he has taken the work on contract and obtain signatures of such representative in token of having witnessed the payment of wages.
11. It shall be the duty of the employer to ensure that the lifting appliance, lifting gear, earth moving equipment, transport equipment, or vehicles used in the building or other construction work undertaken by him conforms to the requirements relating to testing, examination, and inspection of such equipment as provided under these rules. It shall be the duty of every person in the service of the government or any local or other public authority to comply with the requirements relating to him as given in these rules.

**B) Responsibilities of architects, project engineers, and designers**

1. It shall be the duty of the architect, project engineer, or designer responsible for the design of any project or part thereof or any building or other construction work to ensure that, at the planning stage, due consideration is given to the safety and health aspects of the building workers who are employed in the erection, operation, and execution of such projects and structures as the case may be.
2. Adequate care shall be taken by the architect, project engineer, and other professionals involved in the project not to include anything in the design that would involve the use of dangerous structure or other processes or materials hazardous to the health or safety of building workers during the course of erection, operation, and execution, as the case may be.
3. It shall also be the duty of the professionals involved in designing the buildings, structures, or other construction projects, to take into account the safety aspects associated with the maintenance and upkeep of the structures and buildings where maintenance and upkeep may involve special hazards.

**C) Responsibilities of the person in the service of the state government and the board**

1. It shall be the duty of every person in the service of the government of any state or a board to comply with the directions given by the central government from time to time to carrying into execution in that state the provisions of the act and these rules.

**D) Duties and responsibilities of workers**

1. It shall be the duty of every building worker to comply with the requirements of such of these rules as relate to him and act and cooperate in carrying out the requirements of these rules, and if he discovers any defects in the lifting appliance, lifting gear, or lifting device concerning any transport equipment or other equipment, to report such defects without unreasonable delay to his employer or foreman or other person in authority.
2. No building worker shall, unless duly authorized, or except in case of necessity, remove or interfere with any fencing, gangway, gear, ladder, hatch covering, lifesaving appliances, lighting, or other things whatsoever required by the act and these rules to be provided. If any of aforesaid things are removed, they shall be restored at the end of the period during which its removal was necessary by the person engaged in that work.
3. Every building worker shall use only means of access provided in accordance with these rules, and no person shall authorize or order another to use means of access other than such means of access.
4. It shall be the duty of a building worker to keep the latrines, urinals, washing points, canteen, and other facilities provided by the employer for securing his welfare in a clean and hygienic condition.

**E) Exemption:** The chief inspector of building and construction may, by order in writing and subject to such conditions and for such period as may be specified therein, exempt from all or any of the requirements of these rules to:

1. Any building or other construction work if the chief inspector is satisfied that such building work is confined to such workers where it is not convenient to take measures as provided in these rules;
2. Any appliance, gear, equipment, vehicle, or other device if the chief inspector is satisfied that the requirement of such appliance, gear, equipment, vehicle, or other device is not necessary for use, or equally effective measures are taken in lieu thereof;

3. Provided that the Chief Inspector shall not grant exemption under this rule unless he is satisfied that such exemption would not adversely affect the safety, health, and welfare of building workers.

### **Hours of work, welfare, and other conditions of service, safety, and health measures**

Every employer governed by this act is responsible for maintaining such standards of hours of work, welfare, and other conditions of service, safety, and health measures of building workers as prescribed in detail in the act. [Rules 234 to 247]

### **Registers and records**

**Registers of building workers:** Every employer shall maintain, in respect of each registered establishment, a register of building workers in Form XV. [Rule 240]

**Service certificate:** On termination of employment for any reason whatsoever, the employer shall issue to the workman whose service has been terminated a service certificate in Form XXIV. [Rule 241(2)(b)]

**Muster roll, wages register, deduction register, and overtime register:** Every employer shall, in respect of each job on which he engages building workers [Rule 241]:

- Maintain a muster roll and registers of wages in Forms XVI and XVII, respectively, provided that a combined register of wage-cum-muster roll in Form XVIII shall be maintained by the employer where the wage period is a fortnight or less;
- Maintain a register of deductions for damage or loss, register of fines, and registers of advances in Form XIX, Form XX, and Form XXI, respectively;
- Maintain a register of overtime in Form XXII, recording therein the numbers of hours of, and wages paid for, overtime work if any; and
- Every employer shall, where the wage period is one week or more, issue wage book in Form XXIII to the building worker at least a day prior to the disbursement of wages to them. Every employer shall obtain the signature or thumb impression of the building worker concerned against the entries relating to him on the register of wages or muster roll-cum-wages register, as the case may be, and the entries shall be authenticated by the initials of the employer or his authorized representative.

### **Display of the act and notices**

Every employer shall display an abstract of the act and rules in English and Hindi and in the language spoken by the majority of workers in such form as may be approved by the chief labor commissioner (central advisory board). [Rule 241(5)] The employer shall also display notices showing rates of wages, hours of work, wage period, and dates of payment of wages in conspicuous places at the establishment and the worksite. [Rule 249]

### **Returns**

Every employer shall, at least 30 days before commencement or completion of any building or other construction work under his control, submit a return to the inspector, intimating the actual dates of commencement and completion of such contract work in Form IV. [Rule 239(1)]

Every employer shall send annual return in Form XXV (in duplicate) so as to reach the registering officer concerned not later than February 15 following the end of each calendar year with a copy to the Inspector having jurisdiction. [Rule 242]



## **Annexure VII: Abstract of the Payment of Wages Act, 1936 and the Rules Thereunder**

(*Source:* World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

### **Whom the act affects**

1. The act applies to the payment of wages to persons employed in any factory or industrial establishment receiving less than Rs 24,000 per month.
2. No employed person can give up by contract or agreement his rights under the act.

### **Definition of wages**

3. "Wages" means all remuneration (whether by way of salary, allowances, or otherwise) payable to an employed person in respect of his employment or of work done in such employment. It includes bonuses, if provided for expressly or implicitly in the contract of employment, and any sum payable for want of proper notice or discharge. It excludes the value of any house-accommodation, supply of light, water, medical attendance, or other amenity or any service excluded by the state government; any contribution paid by the employer to any pension or provident fund; any traveling allowance or the value of any traveling concession or other special expenses entitled by the employment; any sum paid to the employed person to defray special expenses entailed on him by the nature of his employment; and any gratuity payable on the termination of employment.

### **Responsibility for and method of payment of wages**

4. The manager of the factory or industrial establishment is responsible for the payment under the act of wages to persons employed, and any contractor employing persons is responsible for the payments to the persons he employs.
5. No wage period shall exceed one month.
6. Wages shall be paid on a working day within 7 days or at the end of the wage period (or within 10 days if 1,000 or more persons are employed). The wages of the person discharged shall be paid not later than the second working day from the day on which his employment is discharged.
7. Payments in kind are prohibited.

### **Fines and deductions**

8. No deduction shall be made from the wages of an employed person except those authorized by or under this act. (See paragraphs 9–15)
9. (a) Fines can be imposed only for such acts and omissions as the employer may, with the previous approval of the chief inspector of factories, specify by a notice displayed at or near the main entrance of the factory or industrial establishment and after giving the employed person an opportunity for explanation.  
(2) Fines:
  - shall not exceed 3 percent of the wages payable in a month;
  - Shall not be recovered by instalments, or later than 90 days of the date of Imposition;

- Shall be recorded in a register and applied to such purposes beneficial to the employed persons as approved by the chief inspector; and
  - Shall not be imposed on a child.
10. (a) Deductions for absence from duty can be made only on account of the absence of the employed person at times when he should be working, and such deductions must not exceed an amount which is in the same proportion to his wages for the wage period at the time he was absent in that period and is to total time he should have worked.
- (b) If 10 or more employed persons, acting in concert, absent themselves without reasonable cause and without due notice, the deduction for absence can include wages for 8 days in lieu of notice, but no deduction for breaking a contract can be made from a person less than 15 years of age or a woman.

There must be provision in writing forming part of the contract of employment and requiring the employee to give notice of the termination of such employment, the period of such notice not exceeding either 15 days or the wage period, whichever is less; or the period of the notice that the employer is required to give of the termination of that employment. The above provision must be displayed at or near the main entrance of the factory or industrial establishment. No deduction of this nature can be made until a notice that this deduction is to be made has been posted at or near the main entrance of the factory or industrial establishment. No deduction must exceed the wages of the employed person for the period by which the notice he gives of leaving employment is less than the notice he should give under his contract.

11. Deductions for damage to or loss of goods expressly entrusted to an employed person or loss of money for which he is required to account, where such damage or loss is directly attributable to his neglect or default, such deduction cannot exceed the amount of the damage or loss caused and can be made only after giving the employed person an opportunity for explanation.
12. Deductions can be made, equivalent to the value thereof, for house accommodation, amenities, and services (other than foods and raw material) supplied by the employer provided these are accepted by the employed person as a part of the terms of his employment and have, in the case of amenities and services, been authorized by order of the state government.
13. (a) Deductions can be made for recovery of advances or for adjustment of overpayments of wages.
- (b) Advances made before the employment began can only be recovered from first payment of wages or a complete wage period, but no recovery can be made of advances given for traveling expenses before employment began.
- (c) Advances of unearned wages can be made at the employer's discretion during employment, but must not exceed the amount of two months wages without the permission of an inspector.
14. Deductions can be made for subscriptions to and for repayment of advances from any recognized provident fund.
15. Deductions can be made for payments to cooperative societies approved by the state government or subject to any conditions imposed by the state government.

### **Inspections**

16. An inspector can enter on any premises and can exercise powers of inspection (including examination of documents and taking of evidence) as he may deem necessary for carrying out the purpose of the act.

### **Complaints of Deductions or Delays**

17. Where irregular deductions are made from wages or delays in payment take place, an employed person can make an application in the prescribed form within Twelve months to the authority appointed by the state government for the purpose. An application delayed beyond this period may be rejected unless sufficient cause for the delay is shown. Any legal practitioner, official of a registered trade union, inspector under the act, or other person acting with the permission of the authority can make the complaints on behalf of an employed person. A single person may be presented by or on behalf of any number of persons belonging to the same factory or industrial establishment the payment of whose wages has been delayed.

### **Action by the authority**

18. The authority may award compensation to the employed person in addition to ordering the payment of delayed wages or the refund of illegal deductions. If a malicious or vexatious complaint is made, the authority may impose a penalty not exceeding Rs 375.00 on the applicant and order that it be paid to the employer.

### **Appeal against the authority**

19. An appeal against an order or direction made by the authority may be referred within 30 days to the district court
  - (a) By the employer, if the total sum directed to be paid exceeds RS 300; or
  - (b) By any person directed to pay a penalty for a malicious or vexatious application.

**Punishment for breaches of the act:** Anyone delaying the payment of wages beyond the due date or making any unauthorized deduction from wages is liable to a fine up to Rs1500-7500, but only if prosecuted with the sanction of the authority or the appellate court.

### **20. The employer, who:**

Does not fix a wage period, make payment in kind, fails to display at or near the main entrance of the factory or industrial establishment of this abstract in English and the language of the majority of the employed persons, contravenes certain rules made under the act and is liable to a fine not exceeding Rs 3750. A complaint to this effect can be made only by the inspector, or with his sanction.

## Annexure VIII: Abstract of the Payment of Gratuity Act and Rules, 1972

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

### 1. EXTENT OF THE ACT

The act extends to the whole of India:

Provided that in so far as it relates to plantations or ports, it shall not extend to the state of Jammu and Kashmir. [Sec 1(2)]

### 2. TO WHOM THE ACT APPLIES

The act applies to: (a) every factory, mine, oilfield, plantation, port, and railway company; (b) every shop or establishment within the meaning of any law for the time being in force in relation to shops and establishments in state, in which 10 or more persons are employed, or were employed, on any day of the preceding 12 months; and (c) such other establishment, or class of establishments, in which 10 or more employees are employed or were employed, on any day of the preceding 12 months, as the central government may, by notification, specify in this behalf. [Sec 1(3)]

### 3. DEFINITIONS

(a) "Appropriate government" means:

(i) In relation to an establishment:

- Belonging to or under the control of the central government
- Having branches in more than one state
- Of a factory belonging to or under the control of the central government,
- Of a major port, mine, oilfield, or railway company, of the central government,

(ii) In any other case, the state government. [Sec 2(a)]

(b) "Completed year of service" means continuous service for one year. [Sec 2(b)]

(c) "Continuous service" means uninterrupted service and includes service that is interrupted by sickness, accident, leave, lay-off, strike, or a lock-out or cessation of work not due to any fault of the employees concerned, whether such uninterrupted service was rendered before or after the commencement of this act.

**Explanation I:** In the case of an employee who is not in uninterrupted service for one year, he shall be deemed to be in continuous service if he has been actually employed by an employer during the 12 months immediately preceding the year for not less than

- (i) 190 days, if employed below the ground in a mine, or
- (ii) 240 days, in any other case, except when he is employed in a seasonal establishment.

**Explanation II:** An employee of a seasonal establishment shall be deemed to be in continuous service if he has actually worked for not less than 75 percent of the number of days on which the establishment was in operation during the year. [Sec 2(b)]

(d) "Controlling authority" means an authority appointed by an appropriate government under Sec. 3. [Sec 2(d)]

(e) "Family" in relation to an employee shall be deemed to consist of:

- (i) In the case of a male employee, himself, his wife, his children, whether married or unmarried, his dependent parents, and the widow and children of his predeceased son, if any;

(ii) In the case of a female employee, herself, her husband, her children, whether married or unmarried, her dependent parents and the dependent parents of her husband and the widow and children of her predeceased son, if any:

Provided that if a female employee, by a notice in writing to the controlling authority, expresses her desire to execute her husband from her family, the husband and his dependent parents shall no longer be deemed for the purposes of this act to be included in the family of such female employee unless the said notice is subsequently withdrawn by such female employee.

**Explanation III:** Where personal law of an employee permits the adoption by him of a child, any child lawfully adopted by him shall be deemed to be included in his family, and where a child of an employee has been adopted by another person and such adoption is, under the personal law of the person making such adoption, lawful, such child shall be deemed to be excluded from the family of the employee. [Sec 2(h)]

#### **4. NOMINATION**

- a) Each employee who has completed one year of service, after the commencement of the payment of Gratuity (Central) Rules, 1972, shall make within 30 days of completion of one year of service, a nomination. [Sec 6(1) read with Rule 8, 6(1)]
- b) If an employee has a family at the time of making a nomination, the nomination shall be made in favor of one or more members of his family, and any nomination made by such employee in favour of a person who is not member of his family shall be void. [Sec 6(3)]
- c) If at the time of making a nomination the employee has no family, the nomination can be made in favor of any person, but if the employee subsequently acquires a family, such nomination shall forthwith become invalid and the employee shall make within 90 days a fresh nomination in favor of one or more members of his family. [Sec 6(4) read with Rule 6(3)]
- d) A nomination or a fresh nomination or a notice of modification shall be signed by the employee or, if illiterate, shall bear his thumb impression in the presence of two witnesses, who shall also sign a declaration to that effect in that nomination, fresh nomination, or notice of modification of nomination as the case may be. [Rule 6(5)]
- e) A nomination may, subject to the provisions of Secs 6(3) and (4) be modified by an employee any time after giving to his employer a written notice of his intention to do so. [Sec 6(5)]
- f) A nomination or fresh nomination or notice of modification of nomination shall take effect from the date of receipt of the same by the employer. [Rule 6(6)]

#### **5. APPLICATION FOR GRATUITY**

- a) An employee who is eligible for payment of gratuity under the act, or any person authorized in writing to act on his behalf, shall apply ordinarily within 30 days from the date the gratuity become payable, provided that where the date of superannuation or retirement. [Rule 7(1)]
- b) A nominee of an employee who is eligible for payment of gratuity shall apply, ordinarily within one month from the date the gratuity became payable to him, to the employer. [Rule 7(2)]

- c) A legal heir of an employee who is eligible for payment of gratuity shall apply, ordinarily within one year from the date the gratuity became payable to him, to the employer. [Rule 7(3)]
- d) The employer shall also entertain an application for payment of gratuity filed after the expiry of the periods specified above, if the applicant adduces a sufficient cause for the delay. [Rule 7(5)]

## **6. PAYMENT OF GRATUITY**

1. Gratuity shall be payable to an employee on the termination of his employment after he has rendered continuous service for not less than five years:
  - a. On his superannuation:
  - b. On his retirement or resignation:
  - c. On his death or disablement due to accident or disease:

Provided that the completion of continuous service of 5 years shall not be necessary where the termination of the employment of any employee is due to death or disablement:

Provided further that in case of death of the employee, gratuity payable to him shall be paid to his nominee or, if no nomination has been made, to his heirs, and where any such nominees or heirs are a minor, the shares of such minor, shall be deposited with the controlling authority who shall invest the same for the benefit of such minor in such bank or other financial institution, as may be prescribed, until such minor attains majority.

Disablement means such disablement that incapacitates an employee for the work which he was capable of performing before the accident resulting in such disablement. [Sec 4(1)]

2. For every completed year of service or part thereof in excess of 6 months, the employer shall pay gratuity to an employee at the rate of 15 days wages based on the rate of wages last drawn by the employee concerned:

Provided that in the case of a piece-rated employee, daily wages shall be computed on the average of the total wages received by him for a period of three months immediately preceding the termination of his employment, and, for this purpose, the wage paid for any overtime work shall not be taken into account:

Provided further that in the case of an employee employed in seasonal establishment, the employer shall pay the gratuity at the rate of seven days' wages for each season. [Sec 4(2)]

Examination: In case of a monthly rated employee, the 15 days' wages shall be calculated by dividing the monthly rate of wages last drawn by him by 26 and multiplying quotient by 15.

3. The amount of gratuity payable to an employee shall not exceed Ten Lakhs Rupees. [Sec 4(3)]

## **7. FORFEITURE OF GRATUITY**

- 1) The gratuity of an employee, whose services have been terminated for any act, wilful omission, or negligence causing any damages or loss to, or destruction of, property belonging to the employer, shall be forfeited to the extent of the damages or loss so caused.

- 2) The gratuity payable to an employee shall be wholly forfeited
  - a. If the services of such employee have been terminated for his riotous or disorderly conduct or any other act of violence on his part: or
  - b. If the services of such employee have been terminated for any act which constitutes an offense involving moral turpitude, provided that such offense is committed by him in the course of his employment. [Sec 4(6)]

#### **8. NOTICE OF OPENING, CHANGE, OR CLOSURE OF THE ESTABLISHMENT**

- 1) A notice shall be submitted by the employer to the controlling authority of the area within 30 days of any change in the name, address, employer, or nature of business. [Rule 3(2)]
- 2) Where an employer intends to close down the business, he shall submit a notice to the controlling authority of the area at least 60 days before the intended closure. [Rule 3(3)]

#### **9. APPLICATION TO CONTROLLING AUTHORITY FOR DIRECTION—IF AN EMPLOYER**

- 1) Refuses to accept a nomination or to entertain an application for payment of gratuity
- 2) Issues a notice either specifying an amount of gratuity that is considered by the applicant less than what is payable or rejecting eligibility to payment of gratuity
- 3) Having received an application for payment of gratuity, fails to issue notice within 15 days, the claimant employee, nominee, or legal heir, as the case may be, may within 90 days of the occurrence of the cause for the application, apply to the controlling authority for issuing a direction under Sec. 7(4) with as many extra copies as are the opposite party: Provided that controlling authority may accept any application on sufficient cause being shown by the applicant after the expiry of the period of 90 days. [Rule 10].

#### **10. APPEAL**

Any person aggrieved by an order of the controlling authority may, within 60 days from the date of the receipt of the order, prefer an appeal to the regional labor commissioner (central) of the area who has been appointed as the appellate authority by the central government: Provided that the appellate authority may, if it is satisfied that the appellant was prevented by sufficient cause from preferring the appeal within the said period of 60 days, extend the said period by a further period of 60 days. [Sec 7(7)]

#### **11. MACHINERY FOR ENFORCEMENT OF THE ACT OR RULES IN CENTRAL SPHERES**

All assistant labor commissioners have been appointed as controlling authorities and all the regional labor commissioners as appellate authorities.

#### **12. POWERS OF THE CONTROLLING AUTHORITY**

The controlling authority, for the purpose of conducting an inquiry as to the amount of gratuity payable to an employee or as to the admissibility of any claim of, or in relation to, an employee for payment of gratuity, or as to the person entitled to receive the gratuity, shall have the same powers as are vested in court, under the Code of Civil Procedure, 1908, in respect of the following matters, namely:

- a) Enforcing the attendance of any person or examining him on oath;
- b) Requiring the discovery and production of documents;
- c) Receiving evidence on affidavits; and
- d) Issuing commissions for the examination of witnesses. [Sec 7(5)]

#### **13. RECOVERY OF GRATUITY**

If the amount of gratuity payable is not paid by the employer, within the prescribed time, to the person entitled thereto, the controlling authority shall, on an application made to it in this behalf by the aggrieved person, issue a certificate for that amount to the collector, who shall recover

the gratuity, together with compound interest thereon at the rate as prescribed by the government, from the date of expiry of the prescribed time, as arrears of land revenue and pay the same to the person entitled thereto. [Sec 8]

#### **14. PROTECTION OF GRATUITY**

No gratuity payable under the Payment of Gratuity Act and rules made thereunder shall be liable to attachment in execution of any decree or order of any civil, revenue, or criminal court. [Sec 13]

#### **15. PENALTIES FOR OFFENSES**

1. Whoever, for the purpose of avoiding any payment to be made by himself or of enabling any other person to avoid such payment, knowingly makes or causes to be made any false statement or false representation, shall be punishable with imprisonment for a term which may extend to 6 months, or with a fine which may extend to Rs 10,000, or with both.[Sec 9(1)]
2. An employer who contravenes, or makes defaults in complying with, any of the provisions of the act or any rule or order made thereunder shall be punishable with imprisonment for a term which may extend to one year, or with a fine which may extend to Rs20,000 or with both:

Provided that if the difference relates to nonpayment of any gratuity payable under the Payment of Gratuity Act, the employer shall be punishable with imprisonment for a term which shall not be less than six months unless the court trying the offense, for reasons to be recorded by it in writing, is of opinion that a lesser term of imprisonment or the imposition of a fine would meet the ends of justice. [Sec 9(2)].

#### **16. DISPLAY OF NOTICE**

The employer shall display conspicuously a notice at or near the main entrance of the establishment in bold letters in English and in the language understood by the majority of the employees specifying the name of the officer with designation authorized by the employer to receive on his behalf notices under the Payment of Gratuity Act, or the rules made thereunder. [Rule 4]

#### **17. DISPLAY OF ABSTRACT OF THE ACT AND RULES**

The employer shall display an abstract of the Payment of Gratuity Act and the rules made thereunder in English and in the language understood by the majority of the employees at a conspicuous place at or near the main entrance of the establishment. [Rule 20]



## Annexure IX: Abstracts of the Employee Compensation Act, 1923

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

1. **Definitions:** [Section 2(1), Section 2(1)(d)]. (a) "Dependent" means any of the following relatives of a deceased workman, namely:

1. A widow, a minor legitimate son, and unmarried legitimate daughter, or widowed mother; and
2. If wholly dependent on the earnings of the workman at the time of his death, a son or a daughter who has attained the ages of 18 years and who is infirm.
3. If wholly or in part dependent on the earnings of the workman at the time of his death:
  - a) A widower
  - b) A parent other than a widowed mother
  - c) A minor illegitimate son, an unmarried illegitimate daughter, or a daughter legitimate or illegitimate if married and a minor or if widowed and a minor
  - d) A minor brother or an unmarried sister or a widowed sister if a minor
  - e) A widowed
  - f) A minor child of a predeceased son
  - g) A minor child of a predeceased daughter where no parent of the child is alive
  - h) A paternal grandparent if no parent of the workman is alive.
  - i) Section 2(1)(g): "Partial disablement" means where the disablement is of a temporary nature, such disablement as reduced the earning capacity of a workman in any employment in which he was engaged at the time of the accident resulting in the disablement, and where the disablement is of a permanent nature such disablement as reduces his earning capacity in every employment which he was capable of undertaking at that time: provided that every injury specified in Schedule I, shall be deemed to result in permanent partial disablement.
  - j) Section 2(1): "That disablement" means such disablement, whether of temporary or permanent in nature, as incapacitates a workman for all work which he was capable of performing at the time of the accident resulting in such disablement; permanent total disablement shall be deemed to result from the permanent total loss of the sight of both eyes or from any combination of injuries specified in Schedule I where the aggregate percentage of the loss of earning capacity, as specified in that Schedule against those injuries, amounts to 100 percent.
  - k) Section 2(1)(dd): "employee" means a person, who is (i) a railway servant as defined in clause (34) of section 2 of the Railways Act, 1989, not permanently employed in any administrative 24 of 1989. district or sub-divisional office of a railway and not employed in any such capacity as is specified in Schedule II; or (ii) (a) a master, seaman or other member of the crew of a ship, (b) a captain or other member of the crew of an aircraft, (c) a person recruited as driver, helper, mechanic, cleaner or in any other capacity in connection with a motor vehicle, (d) a person recruited for work abroad by a company, and who is employed outside India in any such capacity as is specified in Schedule II and the ship, aircraft or motor vehicle, or company, as the case may be, is registered in India; or (iii) employed in any such capacity as is

specified in Schedule II, whether the contract of employment was made before or after the passing of this Act and whether such contract is expressed or implied, oral or in writing; but does not include any person working in the capacity of a member of the Armed Forces of the Union; and any reference to any employee who has been injured shall, where the employee is dead, include a reference to his dependants or any of them;

## **2. Section 3(1): Employer's liability for compensation:**

If personal injury is caused to a employee by accident arising out of and in the course of his employment, his employer shall be liable to pay compensation in accordance with the provisions of chapter II of the act, provided that the employer shall not be so liable:

- a) In respect of any injury that does not result in the total or partial disablement of the workmen for a period exceeding three days;
- b) In respect of any injury not resulting in death caused by an accident which is directly attributable to:
  - i) The employee having been at the time thereof under the influence of drink or drugs;
  - ii) The willful disobedience of the employee to an order expressly given, or to a rule expressly framed, for the purpose of securing the safety of workmen; or
  - iii) The willful removal or disregard by the employee of any safety guard or other device that he knew to have been provided for the purpose of securing the safety of workmen.

## **3. Section 4:**

- a) Amount of compensation: Subject to the provision of this act, the amount of compensation shall be as follows, namely: where death results from the injury an amount equal to fifty per cent. of the monthly wages of the deceased \*[employee] multiplied by the relevant factor; or an amount of \*[one lakh and twenty thousand rupees], whichever is more;
- b) where permanent total disablement results from the injury : an amount equal to sixty per cent. of the monthly wages of the injured \*[employee] multiplied by the relevant factor; \*[one lakh and twenty thousand rupees], whichever is more;

Explanation I.--For the purposes of clause (a) and clause (b), "relevant factor", in relation to a \*[employee] means the factor specified in the second column of Schedule IV against the entry in the first column of that Schedule specifying the number of years which are the same as the completed years of the age of the \*[employee] on his last birthday immediately preceding the date on which the compensation fell due.

- c) Where permanent partial disablement results from the injury:
  - i. In the case of an injury specified in Part II Schedule I, such percentage of the compensation which would have been payable in the case of permanent total disablement as is specified therein as being the percentage of the loss of earning capacity caused by that injury; and
  - ii. In the case of an injury not specified in Schedule I, such percentage of the compensation payable in the case of permanent total disablement, as is proportionate to the loss of earning Capacity (as assessed by the qualified medical practitioner) permanently caused by the injury:

Explanation: Where more injuries than one are caused by the same accident, the amount of compensation payable under this head shall be aggregated but not so in any case as to exceed

the amount that would have been payable if permanent total disablement had resulted from the injuries.

- d) Where temporary disablement, where total or partial, results from the injury : a half monthly payment of the sum equivalent to twenty-five per cent. of monthly wages of the \*[employee], to be paid in accordance, payable on the sixteenth day:
  - i. From the date of the disablement, where such disablement lasts for a period of twenty-eight days or more; or
  - ii. After expiry of a waiting period of three days from the date of the disablement, where such disablement lasts for a period of less than 28 days, and thereafter half- monthly during the disablement or during a period of 5 years, whichever period is shorter;

Provided that:

- a) There shall be deducted from any lump sum or half-monthly payments to which the employee is entitled the amount of any payment or allowance that the workman has received from the employer by way of compensation during the period of disablement prior to the receipt of such lump sum or of the first half-monthly payment, as the case may be;
- b) No half-monthly payment shall in any case exceed the amount, if any, by which one-half the amount of the monthly wages of the employee before the accident exceeds one-half the amount of such wages which he is earning after the accident; and
- c) On the ceasing of the disablement before the date on any half-monthly payment falls due, there shall be payable in respect of half-month a sum proportionate to the duration of the disablement in that half-month.

#### **4. Section 3(2) and (2-A): Occupational diseases for which compensation is payable**

If a employee employed in any employment specified in Part A of Schedule III contracts any disease specified therein as an occupational disease peculiar to that employment, or, if a employee, while in the service of an employer in whose service he has been employed for a continuous period of not less than six months (which period shall not include a period of service under any other employer in the same kind of employment) in any employment specified in Part B of Schedule III, contracts any disease specified therein as an occupational disease peculiar to that employment, or if a employeewhile in the service of one or more employers in any employment, specified in Part C of Schedule III, for such continuous period as the central government may specify in respect of each such employment, contracts any disease specified therein as an occupational disease peculiar to that employment, the contracting of the disease shall be deemed to be an injury by accident within the meaning of this section and, unless the contrary is proved, the accident shall be deemed to have arisen out of, and in the course of the employment.

If any disease specified in Part C of Schedule III as an occupational disease peculiar to that employment has been contracted by any employee during the continuous period specified above in respect of that employment and the workman has during such period been employed in such employment under more than one employer, all such employers shall be liable for the payment of compensation under this act, in such proportion as the commissioner may, in the circumstances, deem just.

#### **5. Section 9: Compensation not to be assigned, attached, or charged**

Save as provided by this act, no lump sum or half-monthly payment payable under this act shall in any way be capable of being assigned or charged or be liable to attachment or pass to any person other than the workmen by operation of law, nor shall any claim be set off against the same.

**6. Section 10: Notice and claim:** (1) No claim for compensation shall be entertained by a commissioner unless notice of the accident has been given in the manner hereinafter provided as soon as practicable after the happening thereof and unless the claim is preferred before him within two years of the occurrence of the accident or, in case of death, within two years from the date of death: Provided that, where the accident is the contracting of a disease in respect of which the provisions of Section 3(2) are applicable, the accident shall be deemed to have occurred on the first of the days during which the employee was continuously absent from work in consequence of the disablement caused by the disease:

Provided further that the want of or any defect or irregularity in notice shall not be a bar to the entertainment of a claim:

- a) If the claim is preferred in respect of the death of a employee resulting from an accident that occurred on the premises of the employer, or at any place where the employee at the time of the accident was working under the control of the employer or of any person employed by him, and the employee died on such premises or at such place, or on any premises belonging to the employer, or died without having left the vicinity of the premises or place where the accident occurred; or
- b) If the employer or any one of several employers or any person responsible to the employer for the management of any branch of the trade or business in which the injured employee was employed had knowledge of the accident from any other source at or about the time when it occurred.

Provided, further, that the commissioner may entertain and decide any claim to compensation in any case notwithstanding that the notice has not been given, or the claim has not been preferred, in due as provided in this subsection, if he is satisfied that the failure so to give notice or prefer the claim, as the case may be, was due to sufficient cause.

- 1) Every such notice shall give the name and address of the person injured and shall state in ordinary language the cause of the injury and the date on which the accident happened, and shall be served on the employer or upon any one of several employers or upon any person responsible to the employer, for the management of any branch of the trade or business in which the injured workman was employed.
- 2) The state government may require that any prescribed class of employers shall maintain at their premises at which workmen are employed a notice-book in the prescribed form that shall be accessible at all reasonable times to any injured workman employed on the premises and to any person acting bona fide on his behalf.
- 3) A notice under this section may be served by delivering it at or sending it by registered post addressed to the residence or any office or place of business of the person on whom it is to be served, or, where a notice book is maintained, by entry in the notice book.

**7. Section 12: Contracting:** (1) Where any person (hereinafter referred to as the principal) in the course of or for purposes of his trade or business contracts with any other person (hereinafter referred to as the contractor) for the execution, by or under the contractor of the whole or any part of any work which is ordinarily part of the trade or business, the principal shall be liable to pay to any workman employed in the execution of the work any compensation which he would

have been liable to pay if that workman had been immediately employed by him and where compensation is claimed from the principal; this Act shall apply as if reference to the principal were substitute for references to the employer except that the amount of compensation shall be calculated with reference to the wages of the workman under the employer by whom he is immediately employed:

- 1) Where the principal is liable to pay compensation, he shall be entitled to be indemnified by the contractor, or any other person from whom the employee could have recovered compensation, and where a contractor who is himself a principal is liable to pay compensation or to indemnify a principal, he shall be entitled to be indemnified by any person standing to him in the relation of a contractor from whom the employee could have recovered compensation, and all questions as to the right to and the amount of any such indemnity shall, in default of agreement, be settled by the commissioner.
- 2) Nothing herein shall be construed as preventing a employee from recovering compensation from the contractor instead of the principal.
- 3) This provision shall not apply in any case where the accident occurred elsewhere than on, in, or about the premises on which the principal has undertaken or usually undertakes, as the case may be, to execute the work or which are otherwise under his control or management.

**8. Section 17: Contracting out:** Any contract or agreement whether made before or after the commencement of the Workmen's Compensation Act, whereby a employee relinquishes any right of compensation from the employer for personal injury arising out of or in the course of the employment, shall be null and void insofar as it purports to remove or reduce the liability of any person to pay compensation under this act.

**9. Section 22(3): Form of application:** If the applicant is illiterate or for any other reason is unable to furnish the required information in writing, the application shall, if the applicant so desires, be prepared under the direction of the commissioner.

**10. Section 24: Appearance of parties:** Any appearance, application, or act required to be made or done by any person before or to a commissioner (other than an appearance of a party which is required for the purpose of his examination as a witness) may be made or done on behalf of such person by a legal practitioner or by an official of an Insurance Company or a registered Trade Union or by an Inspector appointed under Section 8(1) of the Factories Act, 1948, or Section 5(1) of the Mines Act, 1952, or by any other officer specified by the state government in this behalf, authorized in writing.

## Annexure X: Abstract of the Maternity Benefit Act, 1961

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

1. No employer shall knowingly employ a woman during the 6 weeks immediately following the day of her delivery of miscarriage or medical termination of pregnancy, and no woman shall work in any establishment during the said period.
2. No pregnant woman shall, on a request being made by her in this behalf, be required by her employer to do during the period of one month immediately preceding the period of 6 weeks before the date of her expected delivery and also for any period during this period of 12 weeks for which she does not avail of leave of absence, any work which is of an arduous nature or which involves long hours of standing, or which in any way is likely to interfere with her pregnancy or the normal development of the fetus, or is likely to cause her miscarriage or otherwise to adversely affect her health.
3. Subject to the provisions of the act, every woman who has actually worked in an establishment of the employer from whom she claims maternity benefit for a period of not less than 80 days, including the days during which she was laid off, shall be entitled to, and her employer shall be liable for, the payment of maternity benefit at the rate of her average daily wages, or the minimum rate of wage fixed or revised under the Minimum Wages Act, 1948, or Rs 10 a day, whichever is highest, for the period of her actual absence not exceeding 8 weeks immediately preceding the day of delivery and the remaining period immediately following that day
4. Provided further that where a woman dies during the period for which maternity benefit is payable to her, the benefit shall be payable only for the days up to and including the day of her death. However, where the woman having been delivered of a child, dies during her delivery or during the remaining period of maternity benefit leaving behind in either case the child, the employer shall be liable for the payment of maternity benefit for the entire period of maternity benefit following the day of her delivery, but if the child also dies during the said period, then, for the days up to and including the day of the death of the child.
  - (a) The amount of maternity benefit for the period preceding the date of her expected delivery shall be paid in advance by the employer to the woman on production of a certificate in Form B stating that she is pregnant and is expected to be delivered of a child within 6 weeks of the date of production of the certificate, and the amount due for the subsequent period shall be paid by the employer to the woman within 48 hours of production of the certificate in Form B or Form D stating that she has been delivered of a child or production of a certified extract from a birth register maintained under the provisions of any law for the time being in force.
5. (a) Any woman employed in an establishment and entitled to maternity benefit under the provisions of this act may give notice in writing in Form E to her employer, stating that her maternity benefit and any other amount to which she may be entitled under this act may be paid to her or to such person as she may nominate in the notice and that she will not work in any establishment during the period for which she receives maternity benefit.
  - (b) In the case of a woman who is pregnant, such notice shall state the date from which she will be absent from work, not being a date earlier than 06 weeks from the date of her expected delivery.

- (c) Any woman who has not given the notice when she was pregnant may give such notice as soon as possible after the delivery.
- (d) On receipt of the notice, the employer shall permit such woman to absent herself from the establishment until the expiry of the remaining period of maternity benefit after the day of her delivery.
6. (a) Every woman entitled to maternity benefits under the act shall also be entitled to receive from her employer a medical bonus of Rs 1000/- if no prenatal, confinement and postnatal care is provided for by the employer free of charge. The medical bonus shall be paid along with the second installment of the maternity benefit.
- (b) In case of medical termination of pregnancy, a woman shall, on production of a certificate in Form B, be entitled to leave with wages of the rate of maternity benefit for a period of 1 month immediately following the day of her medical termination of pregnancy. The wages shall be paid within 48 hours of production of the certificate in Form B.
- (c) A woman suffering from illness arising out of pregnancy, delivery, premature birth of child, or miscarriage or medical termination of pregnancy or tubectomy operation shall, on production of a certificate in Form B, be entitled, in addition to the period of absence allowed to her on account of maternity or miscarriage or medical termination of pregnancy or tubectomy operation, as the case may be, to leave with wages at the rate of maternity benefit for a maximum period of one month. The wages for the leave period shall be paid within 48 hours of the expiry of that period.
7. Every woman delivered of a child who returns to duty after such delivery shall, in addition to the interval for rest allowed to her, be allowed in the course of her daily work two breaks of 15 minutes duration for nursing the child until the child attains the age of fifteen months. An extra sufficient period, depending upon the distance to be covered, shall be allowed for the purpose of the journey to and from the creche or the place where the children are left by women while on duty, provided that such extra period shall not be less than 5 minutes and more than 15 minutes duration.
8. (a) When a woman absents herself from work in accordance with the provisions of the act, it shall be unlawful for her employer to discharge or dismiss her during or on account of such absence or to give notice of discharge or dismissal on such a day that the notice will expire during such absence, or to vary to her disadvantage any of the conditions of her service. The discharge or dismissal of a woman at any time during her pregnancy, if the woman but for which discharge or dismissal would have been entitled to maternity benefit or medical bonus shall not have the effect of depriving her of the maternity benefit or medical bonus. Provided that where the dismissal is for one or more of the following acts, the employer may, by order in writing communicated to the woman, deprive her of the maternity benefit or medical bonus or both:
- (i) Willful destruction of employer's goods or property;
  - (ii) Assaulting any superior or coemployee at the place of work;
  - (iii) Criminal offense involving moral turpitude resulting in conviction in a court of law;
  - (iv) Theft, fraud, or dishonesty in connection with the employer's business or property;  
and
  - (v) Willful nonobservance of safety measures or rules on the subject or willful interference with safety devices or with fire-fighting equipment.

- (b) Any woman deprived of maternity benefit or medical bonus or both may, within 60 days from the date on which the order of such deprivation is communicated to her, appeal in Form G to the competent authority, and his decision on such appeal whether the woman should or should not be deprived of maternity benefit or medical bonus or both, shall be final.
9. If a woman works in any establishment after she has been permitted by her employer to absent herself under the provisions of the act, she shall forfeit her claim to the maternity benefit for such period.
10. (a) Any woman claiming the maternity benefit or any other amount to which she is entitled under the act and any person claiming that payment due has been improperly withheld may make a complaint to the Inspector in writing in Form H or Form I, as the case may be.  
(b) The inspector may, of his own motion or on receipt of a complaint in Form H or Form I, make an inquiry or cause an inquiry to be made, and if satisfied that payment has been wrongfully withheld, may direct the payment to be made in accordance with his orders.  
(c) Any person aggrieved by the decision of the inspector may, within, 30 days from the date on which such decision is communicated to such person, appeal to the chief inspector.  
(d) The decision of the competent authority where an appeal has been preferred to him or of the inspector where no such appeal has been preferred, shall be final.
11. (a) The employer shall supply to every woman employed by him at her request free of cost copies of Forms B, C, D, E, F, G, H, and I.  
(b) The failure to submit a notice, appeal, or complaint in the prescribed form will not affect the right of a woman entitled to receive maternity benefit or any other amount due under the act. Where a notice, appeal, or complaint has been received in a form other than the prescribed form, the authority concerned shall within 15 days of the receipt of such notice, appeal, or complaint, require the woman to submit the notice, appeal, or complaint, as the case may be in the prescribed form.  
(c) All entries in the muster-roll shall be made in ink and maintained up-to-date, and it shall always be available for inspection by the Inspector during working hours.



## Annexure XI: Minimum Wages (Central) Rules

### FORM IX-A

#### (Rule 22)

#### Notice

### Abstracts of the Minimum Wages Act, 1948 and the Rules Made Thereunder

(Source: World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

#### I. Whom the act affects

1. (a) The act applies to persons engaged in scheduled employments or in specified class of work in respect of which minimum wages have been fixed.
- (b) No employee can give up by contract or agreement his rights insofar as it purports so reduce the minimum rates of wages fixed under the act.

#### II. Definition of wages

- 1) "Wages" means all remuneration payable to an employed person on the fulfilment of his contract of employment and includes house rent allowance. It excludes:
  - (a) The value of any house accommodation, supply of light, water, medical attendance, or any other amenity or any service extended by general or special order of the appropriate government;
  - (b) Contribution paid by the employer to any pension fund or provident fund or under any scheme of social insurance;
  - (c) The travelling allowance or the value of any travelling concession;
  - (d) The sum paid to the person employed to defray special expenses entailed by him by nature of his employment; and
  - (e) Gratuity payable on discharge.
- 2) The minimum rate of wages may consist of:
  - (a) A basic rate of wages and special allowance called the cost-of-living allowance;
  - (b) A basic rate of wages with or without a cost-of-living allowance and the cash value of any concessions, like supplies of essential commodities at concession rates; and
  - (c) An all-inclusive rate comprising basic rate, cost of living allowance, and cash value of concession, if any.
- 3) The minimum wages payable to employees of scheduled employments notified under Section 5, read with Section 3 or as revised from time to time under Section 10, read with Section 3, may be:
  - a. A minimum time rate,
  - b. A minimum piece rate,
  - c. A guaranteed time rate, or
  - d. An overtime rate,

differing with (i) different scheduled employments, (ii) different classes or work, (iii) different localities, (iv) different wage-periods, and (v) different age groups.

#### III. Computation and conditions of payment

The employer shall pay to every employee engaged in scheduled employment under him wages at a rate not less than the minimum rate of wages fixed for that class of employee. The

minimum wages payable under this act shall be paid in cash unless the government authorizes payment thereof either wholly or partly in kind.

Wage-period shall be fixed for the payment of wages at intervals not exceeding one month or such other longer period as may be prescribed.

Wage shall be paid on a working day within 7 days of the end of the wage-period or within 10 days if 1,000 or more persons are employed.

The wages of a person discharged shall be paid not later than the second working day after his discharge.

If an employee is employed on any day for a period less than the normal working day, he shall be entitled to receive wages for a full normal working day provided his failure to work is not caused by his unwillingness to work but by the omission of the employer to provide him with work for that period.

Where an employee does two or more classes of work to each of which a different minimum rate of wages is applicable, the employer shall pay to such employee in respect of the time respectively occupied in each such class of work, wages at not less than the minimum rate in force in respect of each such class.

Where an employee is employed on piece work for which minimum time rate and not a minimum piece-rate has been fixed, the employer shall pay to such employee wages at not less than the minimum time rate.

#### **IV. Hours of work and holidays**

The number of hours that shall constitute a normal working day shall be:

- a) In the case of an adult, 9 hours;
- b) In the case of a child, 4.5 hours.

The working day of an adult worker, inclusive of the intervals of rest, shall not exceed 12 hours on any day.

The employer shall allow a day of rest with wages to the employees every week. Ordinarily, Sunday will be the weekly day of rest, but any other day of the week may be fixed as such rest day. No employee shall be required to work on a day fixed as a rest day unless he is paid wages for that day at the overtime rate and is also allowed a substituted rest day with wages. (See Rule 23).

When a worker works in an employment for more than 9 hours on any day or for more than 48 hours in any week, he shall in respect of overtime worked be entitled to wages in scheduled employment other than agriculture, at double the ordinary rate of wages.

#### **V. Fines and deductions**

No deduction shall be made from wages except those authorized by or under the rules.

- i) Deductions from the wages shall be one or more of the following kinds, namely:  
Fines: An employed person shall be explained to personally and also in writing the act or omission in respect of which the fine is proposed to be imposed and given an opportunity to offer any explanation in the presence of another person. The amount of the said fine shall also be intimated to him. It shall be subject to such limits as may be specified in this behalf by the central government. It shall be utilized in accordance with the directions of the central government.
- ii) Deductions for absence from duty.
- iii) Deductions for damage to or loss of goods entrusted to the employee for custody, or for loss of money for which he is required to account, where such damage or loss is directly

attributable to his neglect or default. The employed person shall be explained to personally and also in writing the damage or loss, in respect of which the deduction is proposed to be made and given an opportunity to offer any explanation in the presence of another person. The amount of the said deduction shall also be intimated to him. It shall be subject to such limits as may be specified in this behalf by the central government.

- iv) Deductions for house accommodations supplied by the employer or by the state government or any authority constituted by a state government for providing housing accommodation.
- v) Deductions for such amenities and services supplied by the employer as the central government may by general or special order authorize. These will not include the supply of tools and protectives required for the purposes of employment.
- vi) Deductions for recovery of advances or for adjustment of overpayment of wages. Such advances shall not exceed an amount equal to wages for two calendar months of the employed person, and the monthly installment of deduction shall not exceed one-fourth of the wages earned in that month.
- vii) Deductions of income tax payable by the employed person.
- viii) Deductions required to be made by order of court or other competent authority.
- ix) Deductions for subscription to and for repayment of advances from any provident fund.
- x) Deductions for payment to cooperative societies or deductions for recovery of loans advanced by an employer from out of a fund maintained for the purpose by the employer and approved in this behalf by the central government or deductions made with the written authorization of the person employed for payment of any premium on his life insurance policy to the Life Insurance Corporation of India established under the Life Insurance Act, 1956 (31 of 1956).
- xi) Deductions for recovery or adjustment of amount other than wages, paid to the employed person in error or in excess of what is due to him:  
Provided that prior approval of the inspector or any other officer authorized by the central government in this behalf is obtained in writing before making the deductions, unless the employee gives his consent in writing to such deduction.
- xii) Deductions made with the written authorization of the employed person (which may be given once generally and not necessarily every time a deduction is made) for the purchase of securities of the Government of India or of any state government or for being deposited in any Post Officer Savings Bank in furtherance of any savings scheme of any such government.

Every employer shall send annually a return in Form III showing the deduction from wages so as to reach the inspector not later than the February 1 following the end of the year to which it relates.

## **VI. Maintenance of registers and records**

Every employer shall maintain at the work spot a register or wages in the form prescribed specifying the following particulars for each period in respect of each employed person:

- (c) The minimum rates of wages payable
- (d) The number of days in which overtime was worked
- (e) The gross wages
- (f) All deductions made from wages

(g) The wages actually paid and the date of payment.

Every employer shall issue wage slips in the form prescribed containing prescribed particulars to every person employed.

Every employer shall get the signature or the thumb impression of every person employed on the wage book and wage slips.

Entries in the wage book and wage slips shall be properly authenticated by the employer or his agent.

A muster roll, register of fines, register of deductions for damage or loss, and register of overtime shall be maintained by every employer at the work spot in the form prescribed.

Every employer shall keep exhibited at the main entrance to the establishment and its office notice in English and in a language understood by a majority of the workers of the following particulars in a clean and legible form:

- a) Minimum rate of wages;
- b) Abstracts of the Acts and the rules made thereunder; and
- c) Name and address of the inspector.

Register of wages, muster roll, register of fines, register of deductions for damage or loss, and register of overtime shall be preserved for a period of three years after the date of last entry made therein.

All registers and records required to be maintained by an employer under the rules shall be produced on demand before the inspector provided that where an establishment has been closed, the inspector may demand the production of the registers and records in his office or such other place as may be nearer to the employers.

## **VII. Inspectors**

An inspector can enter in any premises and can exercise powers of inspector (including examination of document and taking of evidence) as he may deem necessary for carrying out the purposes of the act.

## **VIII. Claims and complaints**

Where an employee is paid less than the minimum rates of wages fixed for his class of work, or less than the amount due to him under the provisions of this act, he can make an application in the prescribed form within six months to the authority appointed for the purpose. An application delayed beyond this period may be admitted if the authority is satisfied that the applicant had sufficient cause for not making the application within such period.

Any legal practitioner, official of a registered trade union, inspector under the act, or other person acting with the permission of the authority can make the complaint on behalf of an employed person.

(A single application may be presented on behalf of or in respect of a group of employed persons whose wages have been delayed, if they are borne on the same establishment and their claim relates to the same wage-period or periods.)

A complaint under Section 22(a) relating to payment of less than the minimum rates of wages or less than the amount due to an employee under the provisions of the act can be made to the court only after an application in respect of the facts constituting the offense has been presented under Section 20 and has been granted wholly or in part, and the appropriate government or an officer authorized by it in his behalf has sanctioned the making to the complaint.

A complaint under Section 22(a) or 22(b) regarding contravention of the provisions relating to hours of work and weekly day of rest or other miscellaneous offenses relating to maintenance of

registers, submission of returns, and so on, can be made to the court by or with the sanction of an inspector. The time limits for making such complaints are one month from the date of grant of sanction by the Inspector, in the case of offense falling under Section 22(b) and six months from the date on which the offense is alleged to have been committed, in the case of offenses falling under Section 22(a).

**IX. Action by the authority**

The authority may direct the payment of the amount by which the minimum wages payable exceeds the amount actually paid, together with the payment of compensation not exceeding 10 times the amount of such excess. The authority may direct payment of compensation in cases where the excess is paid before the disposal of the application.

If a malicious or vexatious complaint is made, the authority may impose a penalty not exceeding Rs 50 on the application and order that it be paid to the employer.

Every direction of the authority shall be final.

**X. Penalties for offense under the Act**

Any employer who pays to any employee less than the amount due to him under the provisions of this act or infringes any order or rules in respect of normal working day or weekly holiday, shall be punishable with imprisonment of either description for a term which may extend to 6 months or with a fine which may extend to Rs 500 or with both.

Any employer who contravenes any provision of the act or of any rule or order made thereunder shall, if no other penalty is provided for such contravention by the act, be punishable with a fine which may extend to Rs 500. If the person committing any offense under the act is a company, every person who at the time the offense was committed, was in charge of and was responsible to the company for the conduct of the business of the company as well as the company shall be deemed to be guilty of the offense and shall be liable to be proceeded against and punished accordingly. No such person will be liable to punishment if he proves that the offense was committed without his knowledge or that he exercised all due diligence to prevent the commission of such offense.

Any director, manager, secretary, or other officer of the company with whose consent or connivance an offence has been committed is liable to be proceeded against and punished under the act.

*Note:* (a) "Company" means anybody corporate and includes a firm or other association of individuals.

(b) "Director" in relation to a firm means a partner in the firm.

**XI. Minimum rates of wages fixed**

Name of Undertakin.....

Sr. No.	Category of employee	Minimum wages

**XII. Name and addresses of inspector(s)**

Name	Address

## Annexure XII: Notice Displaying Employment Details

(*Source:* World Bank's Handbooks and Toolkits for Labour Compliances in India EST Kit-1)

A notice in English or Hindi and a language understood by a majority of the employees (if any other), should be posted in a conspicuous place. This notice must set down the terms of employment, including the following details:

- The rate of wages of employees at the workplace
- The hours of work or work timings for the employees
- The weekly rest day
- The wage period for the employees, whether monthly, weekly, or fortnightly
- Date fixed for payment of wages to the employees
- Date fixed for payment of unpaid wages to the employees
- The contact details, such as name and address of the local labor inspector
- The list of acts or omissions at the workplace by an employee that are punishable or can legally invite a fine, along with amount of fine
- Any other terms as may be prescribed.

## Annexure XIII: Form-A

[Under Rules-75, of The Contract Labour (Regulation and Abolition) Central Rules, 1971

### FORMAT OF EMPLOYEE REGISTER

#### [PART A: FOR ALL ESTABLISHMENT]

Name of the Establishment.....Name of Owner.....LIN.....

Sl. no.	Employee code	Name	Surname	Gender	Father's or spouse's name	Date of birth	Nationality	Education level	Date of joining	Designation
1	2	3	4	5	6	7	8	9	10	11

Category address (HS/S/SS/US)	Type of employment	Mobile	UAN	PAN	ESIC ID	LWF	AADHAAR	Bank account number	Bank	Branch (IFSC)
12	13	14	15	16	17	18	19	20	21	22

Present address	Permanent address	Service book number	Date of exit	Reason for exit	Mark of identification	Photo	Specimen signature or thumb impression	Remarks
23	24	25	26	27	28	29	30	31



*Note:* #In case the age is between 14 to 18 years, mention the nature of work, daily hours of work, and intervals of rest in the remarks column.  
AADHAAR = spell out; ESIC = spell out; HS = highly skilled; IFSC = spell out; LIN = spell out; PAN = spell out; S = skilled; SS = semi-skilled; UAN = spell out; US = unskilled.

**Annexure XIV: Form-B**

[Under Rule-78 (a) and (1) (i) The Contract Labour (Regulation and Abolition), Central Rules, 1971]

**FORMAT FOR WAGE REGISTER**

Rate of minimum wages and since the date.....				
	Highly skilled	Skilled	Semi-skilled	Unskilled
Minimum basic				
DA				
Overtime				

Name of the establishment.....Name of owner.....LIN.....

Wage period from.....to.....(Monthly, fortnightly, weekly, daily, or piece rated)

Sl. no. of employee register	Name	Rate of wage	No. of days worked	Overtime hours worked	Basic	Special basic	DA	Payment overtime	HRA	Others	Total
1	2	3	4	5	6	7	8	9	10	11	12

Deduction								Net payment	Employer share PF welfare fund
PF	ESIC	Society	Income Tax	Insurance	Others	Recoveries	Total		
13	14	15	16	17	18	19	20	21	22

Receipt by employee or bank transaction ID	Date of payment	Remarks
23	24	25

*Note:* In case of Mines Act any Leave Wages paid should be shown in the Others Column and specially mentioned in the Remarks column also. DA = spell out; ESIC = spell out; HRA = spell out; PF = spell out.

**Annexure XV: Form-C**

[Under rule Rule-78 (a) and (1), (ii) of The Contract Labour (Regulation and Abolition), Central Rules, 1971]

**FORMAT OF REGISTER OF LOAN/RECOVERIES**

Name of establishment.....LIN.....  
 .....

Sl. No. in employee register	Name	Recovery type (Damage, loss, fine, advance, or loan)	Particulars	Date of damage or loss*	Amount
1	2	3	4	5	6

Whether show cause issued*	Explanation heard in presence of	Number of instalments	First month and year	Last month and year	Date of complete recovery	Remarks
7	8	9	10	11	12	13

*Note:* \*Applicable only in case of damage/loss/fine.

## Annexure XVI: Form-D

[Under Rule-78 (a) and (1)(i) of The Contract Labour (Regulation and Abolition), Central Rules, 1971]

### FORMAT OF ATTENDANCE REGISTER

Name of Establishment.....Name of

Owner.....LIN.....

For the Period from.....To.....

Sl. No. in employee register	Name	Relay# or set work	Place of work*	Date		Summary no. of day	Remarks no. of day	Signature of register keeper
				In	Out			
1	2	3	4	5	6	7	8	9

*Note:* #Relay and \*Place of Work in case of mines only (underground, opencast, or surface).

In case an employee is not present

## Annexure XVII: Form-VIII

[Under rule 77 of the Contract Labour (Regulation and Abolition) Central Rules, 1971; rule 24192) (b) of Building and other Construction Workers' (Regulation of Employment and Conditions of Service) Central Rules, 1998; and rule 50 of the Inter State Migrant Workmen (Regulation of Employment and Conditions of Service) Central Rules, 1980]

### SERVICE CERTIFICATE

- 1 Name of contractor or employer\*:
- 2 LIN or PAN no. of the contractor or employer\*:
- 3 Email ID of the contractor or employer\*:
- 4 Mobile no. of the contractor or employer\*:
- 5 Nature and location of work\*:
- 6 Name of principal employer\*:
- 7 LIN or PAN no. of the principal employer\*:
- 8 Email ID of the principal employer\*:
- 9 Mobile no. of the principal employer\*:
- 10 Name of the workman or building and other construction worker\*:
- 11 UAN or AADHAAR no.:
- 12 Mobile no.:
- 13 Serial number in the register of workmen:
- 14 Registration number, date and name of the Board if the building and other construction worker is registered as a beneficiary:
- 15 Period of employment:
- 16 Designation:

Seal and signature of contractor

*Note:* \*Please strike off whichever is not applicable.

## Annexure XVIII: Form-XII

[Under rule 76 of the Contract Labour (Regulation and Abolition) Central Rules, 1971]

### EMPLOYMENT CARD

A) Name of contractor:

A1) LIN or PAN no. of the contractor:

A2) Email ID of the contractor:

A3) Mobile no. of the contractor:

B) Nature and location of work:

C) Name of principal employer:

C1) LIN or PAN no. of the principal employer:

C2) Email ID of the principal employer:

C3) Mobile no. of the principal employer:

D) Name of workman:

D1) UAN or AADHAAR no.:

D2) Mobile no.:

1. Serial number in the register of workmen employed:
2. Nature of designation:
3. Wages rate (with particulars of unit, in case of piecework):
4. Date of commencement of employment:
5. Blood Group
6. Remarks:

Passport size  
photo

Seal and signature of contractor

## **Annexure XIX: Schedule-III**

[Under rule-231 (b) of Building and Other Construction Workers (Regulation of employment and Condition of Services) Central rules, 1998]

### **CONTENTS OF FIRST-AID BOX**

- A sufficient number of eyewash bottles filled with distilled water or suitable liquid clearly indicated by a distinctive sign which shall be visible at all times
- 4% xylocaine eye drops, boric acid eye drops, and soda bicarbonate eye drops
- 24 small, sterilized dressings
- 12 medium-sized sterilized dressings
- 12 large sterilized dressings
- 12 large sterilized burn dressings
- 12 (15 cm) packets of sterilized cotton wool
- 2 100ml bottle of certimide solution (1%) or suitable antiseptic solution
- 1 (200ml) bottle of mercurochrome (2%) solution water
- 1 (120ml) bottle of Salvolatile having the doses and mode of administration indicated on label
- 1 pair of scissors
- 1 roll of adhesive plaster (6cm X 1m)
- 2 rolls of adhesive plaster (2cm X 1m)
- 2 pieces of sterilized eye pads in separate sealed packets
- A bottle containing 100 tablets (each of 325mg) of aspirin or any other analgesic
- 12 roller bandages 10 cm wide
- 12 roller bandages 5 cm
- 1 tourniquet
- A supply of suitable splints
- 3 packets of safety pins
- Kidney tray
- A snakebite lancet
- 1 (30ml) bottle containing potassium permanganate crystals
- 1 copy of first aid leaflet issued by the DGFASLI
- Six triangular bandages
- Two pairs of suitable, sterilized, latex hand gloves



**Annexure XX: Form-XXIII**

[Under rule 241 (2) (a) of Building and Other Construction Workers (Regulation of Employment and Condition of Services) Central Rules, 1998]

**WAGE BOOK**

Name and address of employer	Name and permanent address of establishment
Name and address of establishment where building or other construction work is carried on	Nature of building or other construction work

For the week, fortnight, or month ending.....

1. No. of days worked.....
2. No. of units worked in case of piece-rate workers.....
3. Rate of daily/monthly wages/piece-rate.....
4. Amount of overtime wage.....
5. Gross wages payable.....
6. Deductions, if any, on account of the following.....
  - (a) Fines
  - (b) Damage or loss
  - (c) Loans and advances
  - (d) Subscription toward provident fund
  - (e) Subscription toward the Building Workers' Welfare Fund
  - (f) Any other deductions, e.g. subscriptions to cooperative society or account of loans from cooperative society/housing loans, or contribution to any relief fund as per provision of clause (P) or Section 7 (2) of the Payment of Wages Act or for payment of any premium of life insurance corporation.
7. Net amount of wages paid.....

Initials of the employer or his representative

## Annexure XXI: Payment of Wages (Nomination) Rules, 2009

### FORM-I Nominated and Declaration Form

(See Rule 3)

1. Name of person making nomination: \_\_\_\_\_
2. Father's or husband's Name: \_\_\_\_\_
3. Date of birth: \_\_\_\_\_
4. Sex: \_\_\_\_\_
5. Marital status: (In block letters) \_\_\_\_\_
6. Address (Permanent): \_\_\_\_\_  
Address (Temporary): \_\_\_\_\_

I hereby nominated the person(s)/cancel the nomination made by me previously and nominate the person(s) mentioned below to receive any amount due to me from the employer, in the event of my death.

Name of nominee or nominees	Address	Nominee relationship with the member	Date of birth	Total amount of share of accumulations in credit to be paid to each nominee	If the nominee is minor, name relationship and address of the guardian who may receive the amount during the minority of nominee
1	2	3	4	5	6

1. Certified that I have no family, and should I acquire a family hereafter, the above nomination shall be deemed as cancelled.
2. \*Certified that my father or mother is/are dependent upon me.
3. \*Strike out whichever is not applicable.

Signature or the thumb impression of the employed person.

#### **CERTIFICATE BY EMPLOYER**

Certified that the above declaration and nomination has been signed/thumb impressed before me by Shri/Smt./Kum..... employed in my establishment after he/she has read the entry/entries or has been read to him/her by me and got confirmed by him/her.

Place:

Date:

Signature of the employer  
other authorized officer of  
the establishment and  
Designation

## Annexure XXII: Form-XI

### PART-A ACCIDENT REPORTING FORM

[Rule 210(7) of the Building and other construction workers (Regulation of employment and condition of services) Central Rules, 1998]

- 1. Particulars of accident:**
  - a. Exact place where accident occurred:
  - b. Date:
  - c. Time:
  - d. What the injured person was doing at the time of accident:
  - e. Weather condition:
  - f. How long employed by you for this particular job:
  - g. Particulars of equipment, machine, or tool involved and condition of the same after the accident occurred:
  - h. Brief description of the accident:
- 2. Nature of injuries:**
  - a. Fatal:
  - b. Nonfatal:
  - c. If nonfatal, state precisely the nature of injuries (describe in detail the nature of injury, for instance fracture of right arm, sprain, and so on):
  - d. First aid:        given                      not given
  - e. If not, give the reasons:
  - f. Name and designation of the person by whom first aid was given:
  - g. If admitted to hospital, name of the hospital, address of the hospital:  
Name of the doctor:  
Phone no.:
- 3. Mode of transport used ambulance/any other mode (please specify):**
- 4. How much time was taken to shift the injured person**
  - a. If very late, state the reasons:
  - b. How the reporting was made:  
Phone or special messenger letter, email, or SMS
  - c. Who visited the accident site first and what action was proposed by him?
  - d. What are the actions taken for the investigation of the accident by the employer?  
(Describe about photographs, video film, or measurements taken, and so on):
- 5. Particulars of persons giving witness:**

a.	Name	Address	Occupation	Mobile no.
1.				
2.				
3.				
4.				
- 6. Particulars in case of fatal:**

Date and time:  
Whether workers registered with Building and Other Construction Worker's Welfare Board.  
If yes, give registration number and name of the board:
- 7. Dangerous occurrences as covered under the regulation number. (Give details):**
  - a. Collapse or failure of lifting appliances, hoist conveyors, and so on:

- b. Collapse or subsidence of soil, any wall, floor, gallery and so on:
  - c. Collapse of transmission towers, pipeline, bridges and so on:
  - d. Explosion of receiver, vessel, and so on:
  - e. Fire and explosion:
  - f. Spillage or leakage of hazardous substances:
  - g. Collapse, capsizing, toppling, or collision of transport equipment:
  - h. Leakage or release of harmful toxic gases at the construction site:
  - i. Failure of lifting appliance, loose gear, hoist, or building and other construction work machinery, transport equipment, and so on:
- 8. Certificate from the Employer or authorized signatory:**

Date:.....

Seal and signature of the employer designation

## Annexure XXIII: Incident Reporting to World Bank

CONFIDENTIAL

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE:

TO: \_\_\_\_\_, Country Director, \_\_\_\_\_

FROM: \_\_\_\_\_, (title, TTL/ co-TTL), unit

EXTENSION: \_\_\_\_\_

SUBJECT: \_\_\_\_\_

Country: \_\_\_\_\_ (name of project \_\_\_\_\_) (P# \_\_\_\_\_)

Conclusions Regarding a \_\_\_\_\_ (type of incident) on the \_\_\_\_\_ Project Site

1. The \_\_\_\_\_ Project was approved by the Bank's Board of Executive Directors on \_\_\_\_ (date). The Project consists of \_\_\_\_ components. The first component focuses on \_\_\_\_\_. The second component provides \_\_\_\_\_ (etc., as relevant). The Project involves loans from IBRD to fund both components and the \_\_\_\_\_ (Trust Fund or other sources) to fund the \_\_\_\_\_.

2. The Project is implemented through \_\_\_\_\_ (type of implementation arrangement). Describe the partners, implementation arrangements, and other key details.

3. Briefly describe the Environmental and Social Management Plan (ESMP) and provisions for best practices to health, safety, and environmental procedures being followed during implementation. These best practices are/will be reflected and refined in a \_\_\_\_\_ (type of document) that is being/was prepared by the Engineering, Procurement, and Construction contractor.

4. The most recent supervision mission took place on \_\_\_\_ (date) to review progress of the Project's implementation. Provide brief detail as to status in relation to ESMP.

5. On \_\_\_\_\_ (date), \_\_\_\_\_ (which counterpart/partner) informed the Bank (and other project financiers) that a \_\_\_\_\_ (type of incident) had occurred \_\_\_\_\_ (where) project site (see Appendix 1 with relevant correspondence), and shared written investigative reports prepared by \_\_\_\_\_ (counterpart/contractor) about the incident. The incident took place on \_\_\_\_\_ and involved a \_\_\_\_\_ (identify who/what and institutional relationship(s)).

6. A mission traveled to \_\_\_\_\_ (incident site) on \_\_\_\_ (dates), to investigate the \_\_\_\_\_ (incident) and follow up with \_\_\_\_\_ (counterparts), and review the environmental, health & safety (EHS)/Occupational Health and Safety (OHS) system \_\_\_\_ (or other systems) at the \_\_\_\_\_ project sites. The mission involved technical and EHS specialists from the Bank, \_\_\_\_\_ (other financing partners) which are involved in financing the project. In particular, the mission included \_\_\_\_\_ (name key World Bank (WB) and other team members, including title and organization). \_\_\_\_\_ (describe materials shared, how these reflected any recommendations by WB or other experts made prior to the incident). The mission report is included in Appendix 2.

7. After the \_\_\_\_ (incident), \_\_\_\_ (describe actions by Borrower and implementing partners; who was informed; internal investigations of the accident). Describe any independent reviews undertaken, by whom and when) to consider the factual circumstances and the root causes of the incident.

8. The following root causes for the accident were identified: (list as appropriate, 1–2 sentences each)

9. In summary, the incident was clearly \_\_\_\_\_ (describe conclusions).

10. The investigation also revealed shortcomings \_\_\_\_\_ (for example, in the rules and design of the EHS system; absence of clear leadership on-site; lack of proper communication on contractor schedules; inadequate designation of exclusion zones; design flaws; cultural and language barriers; the absence of contractor EHS personnel at the site of the accident; an apparent lack of clear roles and responsibilities of EHS staff; an apparent lack of authority of EHS personnel to stop work in case of unsafe working practices; failure to involve the contractors' management in EHS issues; other....).

11. \_\_\_\_\_ (describe effort by Borrower/contractor, for example, to strengthen the EHS system at the project site(s) because of these findings; corrective actions are currently being implemented; implementation of the corrective measures observed during the site visit).

12. \_\_\_\_\_ (describe reports shared with the WB). The mission concluded that, with proper implementation of the reports' recommendations, the EHS system (\_\_\_\_ or other systems as relevant) on-site should significantly reduce the risk of similar future incidents.

13. On \_\_\_\_ (date), the Borrower/implementing partner received a letter complaint from \_\_\_\_ (the affected party, his/her family), raising questions about the circumstances of the incident. Describe actions taken by the Borrower/implementing partner. Note whether these actions were in line with the implementing partner's Corporate Social Responsibility (CSR) policy for similar situations.

14. The mission also discussed with \_\_\_\_ (implementing partner/Borrower) the need for incident notification of the international financial institutions (IFIs) in case of a serious incident in the future. The mission and \_\_\_\_ (the Borrower/implementing partner) agreed that, in case of a serious incident, IFIs will be notified within 24 hours after \_\_ (the Borrower/implementing partner) notification of the incident.

Cleared by: \_\_\_\_\_, Project Practice Manager, \_\_\_\_\_ (unit)

CC: as per notification guide

## Annexure XXIV: SOP for Traffic Management

<b>Subject</b>	:	<b>TRAFFIC MANAGEMENT</b>
<b>Applicability</b>	:	Binding on Contractors engaged for capital city works
<b>Purpose</b>	:	To provide a practical procedure and guidelines for managing traffic during Construction.
<b>Scope</b>	:	This SOP shall be applicable to all the construction works pertaining to the trunk roads and other road networks in the Amaravati Integrated Urban Development Program in the Amaravati Capital City, Guntur.
<b>Responsibilities &amp; Procedure</b>	:	<p><b>Contractor's Responsibilities</b></p> <p><i>Planning &amp; Initial Assessment:</i></p> <ul style="list-style-type: none"> <li>• Make videography and photographs of the entire stretch in the project area prior commencement of the work to capture all the features all along the transportation routes from source to the project site locations, which includes designated routes, alternate routes, and any other routes, indicated time-to-time by the authority.</li> <li>• Provide qualified road safety personnel with support staff to serve as a site safety team, Designate Roles and Responsibilities for the safety personnel.</li> <li>• Prepare an overall Traffic Management Plan (TMP) or adopt if it was already prepared by the PMC or APCRDA, with revisions as agreed with the PMC if warranted. The TMP includes a Traffic Diversion Plan (TDP), the Temporary Traffic Measures, including without being limited to measures to ensure safety such as design of the work zone, signages, pedestrian &amp; other NMT facilities.</li> <li>• Appoint a Site Traffic Management Supervisor (STMS) to manage and co-ordinate execution of the Traffic Management Plans throughout the life span of the road project.</li> <li>• Prepare accurate and compliant Traffic Diversion Plans (where an external TDP Designer is not appointed)</li> <li>• Ensure the TMP submission has been reviewed internally within the contractor's organization, reviewed by the Supervision Consultant and reviewed by the PMC prior to submission to the TMP Approvals.</li> <li>• Ensure all stakeholders and members of the public are consulted and informed of the road project and potential disruption prior to any works being undertaken.</li> <li>• Allocate adequate and available resources that ensure the effective implementation of this SOP.</li> </ul>

	<p><b><i>During Construction:</i></b></p> <ul style="list-style-type: none"> <li>• Prepare detailed site traffic management plan (STMP) for each site and submit for approval at least 5 days prior to commencement of works on any section of road.</li> <li>• The STMP shall be site-specific and shall be prepared by considering the factors such as nature of work activities, peak hours of traffic with respect to the locations, traffic routes (designated or alternate routes), settlements and sensitive receptors (Educational institutions, hospitals, court, religious places, ecological sensitive locations) along the routes, type of vehicle, permissible speed and no. of trips, etc.</li> <li>• Ensure that the STMPs have specific control measures to minimize adverse impacts on local communities and road users due to overspeed, dust &amp; noise and to maintain smooth traffic flow.</li> <li>• The STMPs shall contain measures related to unforeseen situations like temporary diversion from designated routes and these measures shall address the aspects related to safety of all road users, activities, residential areas and sensitive receptors along the road.</li> <li>• Consultation with local traffic police is given priority in considering certain points related to the existing conditions of traffic, traffic flow, peak hours of traffic, day and night traffic, critical accident spots, blind spot areas, major junctions, sharp curves, narrow roads, etc.</li> <li>• Undertake regular inspections of the STMPs to ensure a proactive approach towards safety and compliance is adopted.</li> <li>• Work collaboratively with Supervision Consultants, PMCs, PgMC, and APCRDA to ensure work zone safety and adjust the STMP as needed.</li> <li>• Work collaboratively with the APCRDA, PMC and PgMC to accurately report any crashes/incidents ((major, minor, fatal accidents, dangerous occurrences etc) occurring within the work zone and follow all incident management protocols.</li> <li>• Conduct daily toolbox talks with the construction crews and provide proper guidance on the safety requirements for the specific works to be performed and maintain PEP talk records and reporting to the safety engineers.</li> <li>• Provide a grievance redress mechanism, a procedure that provides a clear and transparent framework to address safety related complaints by the construction crew, road users and the communities.</li> <li>• Ensure that safe work practices and safe work culture are enforced and that unsafe conditions are corrected.</li> <li>• Ensure that all worksites are complying to HSE policies, safety standards, safe method of working safe systems and safe procedures are followed.</li> </ul>
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	<p><b><i>Traffic Control:</i></b></p> <ul style="list-style-type: none"> <li>• Provision of traffic safety devices and road signs in construction zones as per IRC: SP:55 and other relevant IRC codes.</li> <li>• Identify the potential accident locations by consultation with local traffic police such as critical accident spots, blind spot areas, major junctions, sharp curves, narrow roads, etc and ensure to provide necessary safety measures at those locations.</li> <li>• Warn the road user clearly and sufficiently well in advance and protect the work zones with no access to the civilians or nearby communities.</li> <li>• Include as primary traffic control devices in work zones signs, delineators, barricades, cones, pylons, pavement markings and flashing lights.</li> <li>• Arrange for the suitably qualified workers to erect signs and other traffic control devices and trained workmen such as flagmen, banksman, operators, drivers, etc and aware of safety aspects at construction site;</li> <li>• Ensure that traffic warning devices are in place. Such as warning signs, flashing lights and beacons, barricades, cones, portable message board, flaggers, sound-based warning devices, vehicle activated signs.</li> <li>• Ensure that there is sufficient stabilization area before the traffic approaches the work area.</li> <li>• Ensure hard barricade and they are not obstructing the road user.</li> <li>• Ensure that men machinery and equipment are well within the barricades.</li> <li>• Provide smooth transition of lanes and the length of transitions to be as per speed of the road. Ensure no obstructions that may hinder the visibility of the incoming traffic.</li> <li>• Provide advance warning area with suitable signage's to warn motorist before approaching road work zone. Continues monitoring of aforesaid.</li> <li>• Provide safe and clearly marked lanes for guiding road users and clear demarcation of buffer zone and work zone for workers.</li> <li>• Enforce to use appropriate personal protective equipment.</li> <li>• Appropriate signs such as Mandatory/Regulatory Signs, Cautionary/Warning Signs, Information/Guide Signs, etc shall be erected at the appropriate locations.</li> <li>• Ensure the provision for first aid facilities and emergency response arrangements.</li> </ul>
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	<ul style="list-style-type: none"> <li>• Provide safety measures that anticipate driver behaviour through project's work zones especially at unusual alignments, uneven lanes and closed lanes.</li> <li>• Ensure all the construction vehicles and heavy machinery are having valid PUC (Pollution under control) certificates, licences, Insurances and well fit prior to perform the task;</li> <li>• Ensure all the construction vehicles are holding necessary fitness certificate and shall be in good condition and drivers should check the condition of vehicle before use such as tyre condition and pressure; breaks working correctly; Horns (front and rear) and audible and visible alarms working correctly; Lights (front and rear) working correctly, Mirrors clean and properly set, Secure and properly adjusted seat, etc.</li> <li>• Fit all vehicles and equipment used in construction with exhaust silencers.</li> <li>• Maintain and Service all construction vehicles regularly and during routine servicing operations, check the effectiveness of exhaust silencers and if found defective replace those;</li> <li>• Identify all the existing features such as trees, utility lines, infrastructure, public or private properties, ecological features etc., along the routes of transport and take necessary precautionary measures to prevent damages. <ul style="list-style-type: none"> <li>○ Road safety survey will be carryout prior to transport the materials to identify utilities, trees, public or private properties etc.</li> <li>○ Escort vehicle will be provided along with the transporting equipment's to guide.</li> <li>○ Identify and protect the utilities, public &amp; private properties with suitable media to prevent damages.</li> </ul> </li> <li>• In case of any damages to the unforeseen features to the public or private properties carry out immediate rectification measures through appropriate communication and approval procedures;</li> <li>• All existing roads used by vehicles which are part of the works, shall be kept clear of all dust/mud or other extraneous materials dropped by such vehicles and other obstructions from the site immediately.</li> <li>• At the construction sites within 150 m of the nearest habitation, noisy construction works such as crushing, operation of DG sets, use of high noise generation vehicles shall be stopped during the night time between 10.00 pm to 6.00 am. Working hours- of the construction activities shall be restricted around educational institutions/health centres (silent zones) up to a distance of 100 m from the sensitive receptors i.e., schools, health centres and hospitals etc.</li> </ul>
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	<ul style="list-style-type: none"> <li>• Ensure the implementation of the requirements of this SOP and related procedures within their respective functional areas;</li> </ul> <p><b><i>Emergency Preparedness and Response Plan</i></b></p> <ul style="list-style-type: none"> <li>• Procedure during occurrence of an accident  Scenario1: Fatality: Inform to the concerned police department-Call Ambulance/check for nearest hospital-communicate to the responsible persons (Project management/Safety personnel of Contractor concerned to that road section-Make a communication to the victim’s family and further necessary formalities as per the applicable labour laws and or agreement conditions- Document and reporting the accident-Contact insurance company and pursue as per the legal formalities-Investigate the root cause-Take corrective actions to rectify the non-compliances-Necessary measures to avoid recurrence of the incidents-Review and improve the safety systems - Revise the plan. Other scenarios may include but not limited to:  <i>Scenario:2 Major/Minor injuries</i>  <i>Scenario:3 Damage to properties</i>  <i>Scenario:4 Vehicle breakdown (Loaded &amp; unloaded)</i>  <i>Scenario:5 Material spillage leading to traffic interruption</i></li> <li>• Establish protocols for coordination with local emergency services for each scenario; strengthen the system by developing safe working practices, safe methods, safe work culture and safe conditions.</li> <li>• Display of Emergency preparedness and Response boards with the Contact details of Police, Ambulance, Nearest Hospital, Fire Brigade, Project Management-Project Manager, Safety Engineer.</li> <li>• Ensure the contacts of project management shall be updated in case there is a change of persons in the team and should be in working condition at all times.</li> <li>• Identify suitable places for Display of Emergency preparedness and Response Boards, at all construction zones and all identified critical locations along the traffic routes from source to delivery, all construction vehicles.</li> <li>• Establish and implement procedures for handling traffic accidents or other emergencies.</li> <li>• Maintain close-coordination with the construction safety officers and formulate site safety guidelines &amp; prepare checklist for safety auditing by field supervision team on day-to-day basis.</li> </ul>
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	<ul style="list-style-type: none"> <li>• Periodical monitoring and reporting of all the mitigation measures as specified in the C-ESMP;</li> <li>• Environmental monitoring of attributes such as ambient air, noise, soil and water (surface and ground water) at the locations approved by the engineer/authority through the NABL accredited monitoring agency.</li> <li>• Green belt or vegetation cover shall be developed at the locations specified by the engineer/authority to mitigate dust pollution and for noise attenuation;</li> <li>• Conduct regular water sprinkling on construction sites, construction roads, and stockpiled material;</li> <li>• The temporary traffic detours in settlement areas shall be kept free of dust by frequent water sprinkling;</li> <li>• Solid barriers, such as plywood or plastic sheeting, can be used to protect against dust by separating work zones;</li> <li>• Maintain driving surfaces clean as a standard site management practice; regular cleaning or sweeping;</li> <li>• Construction vehicles carrying soil, sand, or other fine materials to and from the construction sites shall be properly covered with tarpaulin sheets or any other suitable material to avoid spillages;</li> <li>• Reporting and follow-up on construction safety issues / lapses as appropriate.</li> <li>• Undertake hands-on-training programs and conduct mock safety drills as required from time to time;</li> <li>• Usage of appropriate personal protective equipment (PPE) such as helmets, eye wears, shoes, gloves, masks, nose mufflers, etc</li> <li>• Perform regular monitoring of road safety as per the <i>URDPFI guidelines, 2014. Volume II B. Ministry of urban development;</i></li> <li>• Take all necessary measures for the safety of traffic during construction and provide, erect and maintain such barricades, including signs, markings, flags, lights and flagmen as may be required by the engineer for the information and protection of traffic approaching or passing through the section of the roads under construction.</li> </ul> <p><b><i>Risk Assessment</i></b></p> <ul style="list-style-type: none"> <li>• Risk assessments shall be conducted to identify potential hazards, determine the associated risks and impacts, evaluate the risks and prepare corrective measures to control/minimise these risks, record the findings and review assessment and revise the plans as necessary;</li> <li>• Perform daily site inspections of construction zones to identify potential hazards and develop strategies to mitigate them;</li> </ul>
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	<p><b><i>Communication Mechanism:</i></b></p> <ul style="list-style-type: none"> <li>• Maintain close-coordination with local authorities to develop detour plans and traffic schedules that reduce congestion and disruption to residents;</li> <li>• Proper communication and co-ordination with the concerned departments shall be maintained;</li> <li>• Maintain close co-ordination between the project management and the safety engineers on the critical issues and shall be resolved immediately;</li> </ul> <p><b><i>Trainings, Awareness programs, Workshops:</i></b></p> <ul style="list-style-type: none"> <li>• Instruct, educate and aware all the workmen and project personnel regarding the hazards &amp; risks associated and preventive or control measures;</li> <li>• Training should generally be provided to management, supervisors, workers, and occasional visitors to areas of risks and hazards;</li> <li>• Ensure to provide induction trainings which includes hazard and risks associated with traffic management;</li> <li>• Conduct appropriate trainings, mock drills including general and task-specific trainings relevant to traffic management to all the workmen in the workplace as per the needs and requirements of the project.</li> <li>• Conduct specific trainings to workers on the traffic safety and related topics such as first aid, firefighting, flagman, banksman, operators of heavy vehicles/machinery, drivers etc</li> <li>• Conduct orientation and training for new employees on proper safety procedures; maintain registers and records of issue of Personal protective equipment's (PPEs), first aid facilities, firefighting equipment, daily tool box talks, pep talks, awareness programs, trainings, workshops, mock drills, accident/incident reporting etc.</li> <li>• Plan and conduct safety education and advise on road safety education, training, and publicity programs; pedestrian safety, road users, etc., plan to conduct safety programs to school children;</li> </ul> <p><b><i>Project management consultant (PMC)Responsibilities:</i></b></p> <ul style="list-style-type: none"> <li>• Review and approve the construction zone safety plans and traffic management and safety plans prepared by the Contractors and ensure their strict compliance with IRC SP 55 - 2014 and all other applicable safety regulations, before commencement of construction works at site;</li> <li>• Maintain close-coordination with the Contractor, PgMC, Authority and other departments and review safety aspects at all construction activities;</li> </ul>
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	<ul style="list-style-type: none"> <li>• Conduct regular safety inspections to identify safety lapses and advise the contractor for the corrective measures in the stipulated time;</li> <li>• Reporting timely to the PgMC/Authority as per the reporting mechanism</li> </ul> <p><b><i>Program Management Consultant (PgMC) Responsibilities:</i></b></p> <ul style="list-style-type: none"> <li>• Assist the APCRDA in establishing and operating programme’s safety management system, promoting safe work culture, establishing traffic safety performance indicators, performance reviews, monitoring and reporting and timely remedial and corrective actions.</li> <li>• Ensure all Traffic Diversion Plans (Traffic Diversion Plans) produced by contractors and consultants working on road projects under their management are fully checked and compliant prior to submission to the Traffic Diversion Plans Approvals.</li> <li>• Ensure all relevant Stakeholders are consulted and informed of the intention to undertake works within the right of way and implement TTM (Temporary Traffic Management) Works with the Traffic Diversion Plans Approvals from APCRDA and Compliance Monitoring Team.</li> <li>• Develop &amp; implement framework for programme assurance functions safety, environment and security) aligned with existing Programme documents.</li> <li>• Promote design for safety and identify and reduce safety risks through appropriate planning and design;</li> <li>• Ensure all the projects and agencies engaged with APCRDA comply with the safety standards during all stages of the project,</li> <li>• Oversee the traffic safety management, monitoring and reporting</li> <li>• Assist APCRDA by developing road safety standards, guidelines, and best practices in line with national and international safety regulations,</li> <li>• Monitor contractor compliance with road safety regulations during the construction phase and ensure traffic control measures are implemented properly.</li> <li>• Conduct post-construction safety audits to ensure roads are safe for public use and suggest improvements where needed.</li> <li>• Review traffic studies, ability to use macro/micro modeling tools to predict traffic patterns, and recommend solutions</li> <li>• Evaluate transportation infrastructure projects, considering factors such as land use, and community needs.</li> <li>• Perform safety assessments of transportation systems, identifying potential hazards and communicate results</li> </ul>
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		<p><b>Authority's Responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Monitor to maintain close-coordination of filed units with the nodal agencies such as revenue department, RTA and local traffic police departments, for smooth flow of traffic at all times.</li> <li>• Any failure to comply with the legal requirements or other requirements as per the conditions of Contract will be considered for strict actions as per the provisions of Contract, such as imposing penalties.</li> </ul>
<b>Liabilities</b>		<ul style="list-style-type: none"> <li>• Contractor is liable to pay penalties for any notified non-compliances pertaining to the traffic safety in accordance with the Contract agreement Clauses/ Conditions.</li> </ul>
<b>Maintenance of records</b>		<ul style="list-style-type: none"> <li>• Contractor shall submit the immediate incident/Accident report to PgMC/PMC and a detailed accident investigation report to APCRDA.</li> <li>• Accident and Incident Investigation Reports shall be maintained and submitted every fortnight to APCRDA.</li> </ul>
<b>Applicable Statutory Permissions/Policies/ Conditions/ Guidelines</b>	:	<ul style="list-style-type: none"> <li>• <i>IRC SP 055: 2014 Guidelines on Traffic Management in Work Zones</i></li> <li>• <i>IRC 067:2022(Amendment) Code of Practice for Road Signs</i></li> <li>• <i>IRC: SP:88-2019- Manual on Road Safety Audit</i></li> <li>• <i>IRC:35-2015 - Code of Practice for Road Markings</i></li> <li>• <i>The National Urban Transport Policy of the Government of India, 2006 (NUTP)</i></li> <li>• <i>Urban and Regional Development Plans Formulation and Implementation (URDPFI) Guidelines;</i></li> </ul>

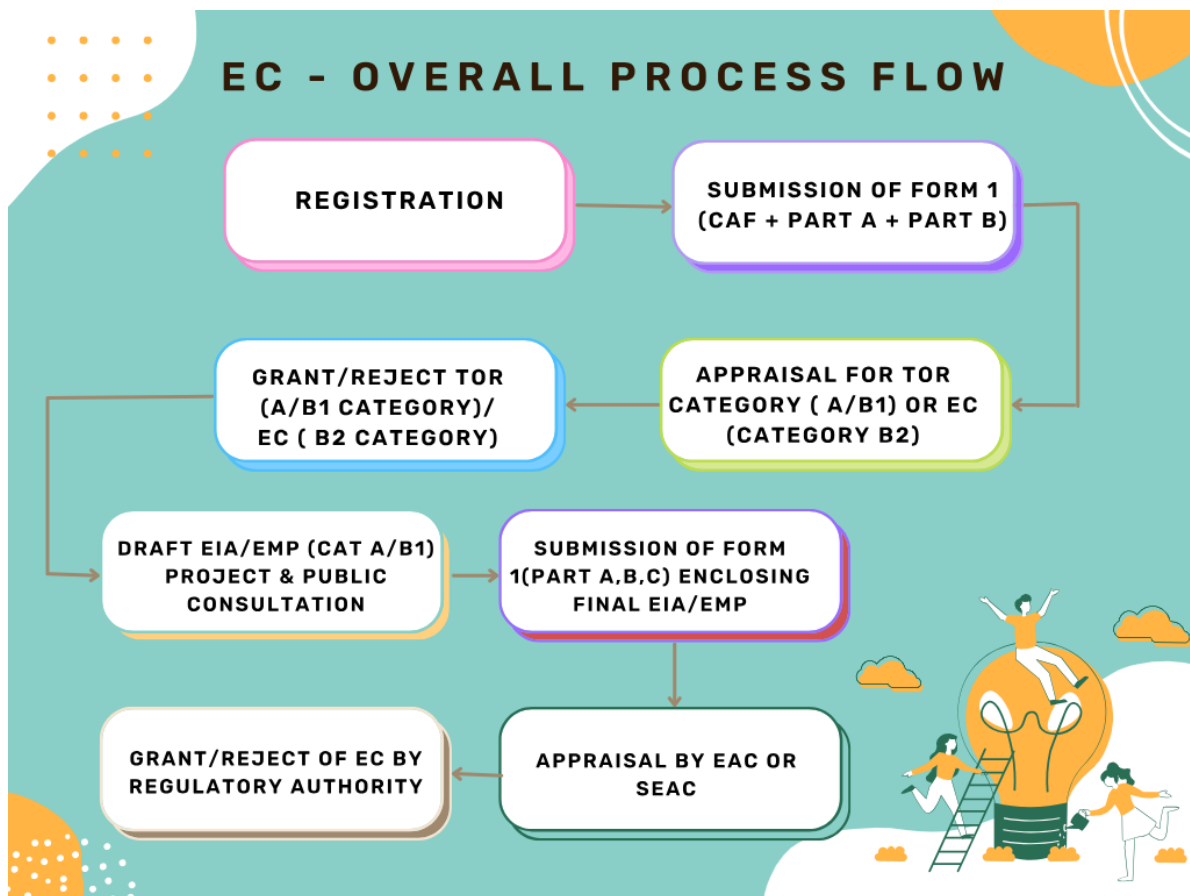
#### History of amendments:

The latest versions of the Documentation Format must be used at all times. This page needs to be updated whenever there is a change in the version number of the documents.

Sr. No.	Date of amendment	Version	Details of amendment
1	08.03.2025	01	Initial approval of the documentation format

## Annexure of SoP 3

### Annexure I: Environmental Clearance Flowchart<sup>20</sup>



<sup>20</sup> <https://parivesh.nic.in/#/ec-process-flow>



## Annexure II: Indicative Mitigation Measures for Efficient Usage of Resources and Pollution Measures

Components	Relevant laws	Mitigation measures
<b>Resource efficiency</b>		
Energy efficiency	<ul style="list-style-type: none"> <li>■ The Energy Conservation Act, 2001 with subsequent amendments</li> <li>■ GIIP</li> <li>■ Conditions of EC &amp; NGT orders</li> </ul>	<ul style="list-style-type: none"> <li>■ Use energy-efficient lighting systems in construction site offices, work areas, and temporary facilities.</li> <li>■ Replace traditional lighting fixtures with LED lights, which consume less energy, have longer lifespans, and provide better illumination.</li> <li>■ Assess the site’s potential for solar and wind energy and install portable solar panels or small-scale wind turbines to generate electricity for construction site needs, if feasible.</li> <li>■ Use construction vehicles, such as excavators, bulldozers, and cranes that are designed to operate more efficiently and consume less fuel per unit of work performed.</li> <li>■ Use energy efficient motors and pumps with VFDs to reduce energy consumption.</li> <li>■ Use Low emission generator sets for to reduce Greenhouse gases.</li> <li>■ Prioritize the use of newer, more efficient equipment models and technologies, such as hybrid or electric-powered machinery, to reduce fuel consumption and greenhouse gas emissions.</li> </ul> <p><b>Use of sustainable construction practises like -</b></p> <ul style="list-style-type: none"> <li>■ Design trunk road alignments, LPS, Flood mitigation alignments works structures to minimize earthwork, cut and fill operations, and the quantity of materials required (preconstruction phase).</li> <li>■ Choose construction materials with low embodied energy and high durability.</li> <li>■ Utilize locally sourced materials to minimize transportation emissions and support local economies.</li> <li>■ Opt. for recycled materials where feasible to reduce the energy required for extraction and production.</li> <li>■ Schedule construction activities to minimize idle time for equipment and workers.</li> </ul>

Components	Relevant laws	Mitigation measures
		<ul style="list-style-type: none"> <li>■ Implement traffic management strategies to minimize congestion and reduce vehicle idling time during construction activities. Efficient traffic management can help reduce fuel consumption and emissions from construction vehicles and improve overall project efficiency.</li> </ul>
Water conservation	<ul style="list-style-type: none"> <li>■ The Water (Prevention and Control of Pollution) Act, 1974 with subsequent amendments</li> <li>■ GIIP</li> <li>■ Conditions of EC &amp; NGT Orders</li> </ul>	<ul style="list-style-type: none"> <li>■ Implement erosion and sediment control measures to prevent soil erosion and minimize sedimentation of water bodies during construction activities.</li> <li>■ Rainwater harvesting systems - to capture and store rainwater for use in construction activities such as dust suppression, compaction, and tyre wash etc.</li> <li>■ Implement systems to recycle and reuse water on construction sites like constructing sedimentation tanks.</li> <li>■ Use water-efficient equipment and machinery during construction activities to minimize water consumption. Choose equipment with water-saving features such as low-flow nozzles for equipment washing, water-efficient toilets and sinks in construction site facilities, and water-recycling systems for equipment cooling.</li> <li>■ Use STP treated water for site purposes like – landscaping, dust suppression, tyre wash etc.</li> </ul>
Material selection and optimization	<ul style="list-style-type: none"> <li>■ GIIP</li> <li>■ Conditions of EC</li> </ul>	<ul style="list-style-type: none"> <li>■ Prioritize the use of sustainable materials that have lower environmental impacts and contribute to resource efficiency. Examples include recycled aggregates, reclaimed asphalt pavement (RAP), Fly ash, Ground granulated blast-furnace slag (GGBS), and recycled plastics.</li> <li>■ Use locally sourced materials to reduce transportation emissions and support local economies. Examples of locally sourced materials that can be utilized for Amaravati construction projects are stone aggregates, soil, timber, fly ash, gravel, and brick among others etc.</li> <li>■ Employ design and construction techniques that minimize material consumption and waste generation. This may include optimizing structural designs to reduce material usage, adopting prefabrication and</li> </ul>

Components	Relevant laws	Mitigation measures
		<p>modular construction methods to minimize on-site waste, and implementing lean construction principles to streamline processes and improve efficiency.</p> <ul style="list-style-type: none"> <li>■ Select materials that are durable and have a long service life to minimize the need for frequent maintenance and replacement by considering factors such as weather resistance, corrosion resistance, and resistance to wear and tear to ensure infrastructure longevity and reduce life cycle costs.</li> <li>■ Promote the recycling and reuse of construction materials to minimize waste generation and conserve resources.</li> </ul>
<b>Pollution prevention</b>		
Air pollution	<ul style="list-style-type: none"> <li>■ Air (Prevention &amp; Control of Pollution) Act, 1981 and subsequent amendments.</li> <li>■ Conditions of EC &amp; NGT Orders</li> </ul>	<ul style="list-style-type: none"> <li>■ Implement regular watering of unpaved roads and construction sites to suppress dust.</li> <li>■ Install barriers or enclosures around particularly dusty activities (for example, demolition, RMC plants, Crusher plants etc.) to contain dust.</li> <li>■ Install water sprinklers on stockpiles of soil, aggregates other materials with tarps or other coverings to prevent dust emissions.</li> <li>■ Ensure all construction vehicles and equipment having PUC certificate and are regularly maintained to reduce emissions and improve efficiency.</li> <li>■ Use equipment with advanced emission control technologies like Dust collectors, retro fixtures for generator sets etc.</li> <li>■ Conduct regular ambient air monitoring as per the environmental and social management plan (ESMP) i.e. is NAAQ standards.</li> </ul>
Construction waste management	<ul style="list-style-type: none"> <li>■ Construction and Demolition</li> </ul>	<ul style="list-style-type: none"> <li>■ Segregate construction and demolition waste and deposit at collection center or hand over it to the authorized processing facilities.</li> </ul>

Components	Relevant laws	Mitigation measures
	<p>Waste Management Rules 2016 and subsequent amendments.</p> <ul style="list-style-type: none"> <li>■ Conditions of EC</li> </ul>	<ul style="list-style-type: none"> <li>■ Ensure that there is no littering or deposition so as to prevent obstruction to the construction works, traffic or the public or drains.</li> <li>■ Ensure that other wastes (such as solid waste) does not get mixed with C&amp;D waste and is stored and disposed separately.</li> <li>■ Projects generating more than 20 tons or more in one day or 300 tons per project in a month (large generators) must submit a waste management plan and get appropriate approvals from the Andhra Pradesh Pollution Control Board, before starting construction or demolition or remodelling work. The application for obtaining authorization (Form I) is available on <a href="https://cpcb.nic.in/displaypdf.php?id=d2FzdGUvQyZEX3J1bGVzXzlwMTYucGRm">https://cpcb.nic.in/displaypdf.php?id=d2FzdGUvQyZEX3J1bGVzXzlwMTYucGRm</a>.</li> <li>■ Large generators to have environment management plan to address the likely environmental issues from construction, demolition, storage, transportation process, and disposal or reuse of construction and demolition (C&amp;D) waste.</li> <li>■ Large generators to segregate the waste into five streams such as concrete, soil, steel, wood and plastics, bricks, and mortar.</li> <li>■ Large generators to pay relevant charges for collection, transportation, processing, and disposal as notified by the concerned authorities.</li> </ul>
Hazardous waste management	<ul style="list-style-type: none"> <li>■ Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016</li> </ul>	<ul style="list-style-type: none"> <li>■ <b>Waste identification:</b> Determine the types of hazardous waste to be generated during construction activities, such as paints, solvents, chemicals, batteries, asbestos-containing materials, used lubricants, and contaminated soil.</li> <li>■ <b>Waste classification:</b> Classify and label the waste according to its properties and potential hazards.</li> <li>■ <b>Storage:</b> Establish a designated storage area for hazardous waste that is secure, well-ventilated, and equipped with containment measures to prevent leaks, spills, and unauthorized access. The storage area should be located away from sensitive environments, water sources, and public access areas.</li> </ul>

Components	Relevant laws	Mitigation measures
	<p>and subsequent amendments.</p> <ul style="list-style-type: none"> <li>■ Conditions of EC</li> </ul>	<ul style="list-style-type: none"> <li>■ Use appropriate containers, such as drums, bins, or tanks, to store hazardous waste safely. Ensure that containers are compatible with the waste they contain and are labelled with the appropriate hazard information.</li> <li>■ <b>Containment:</b> Implement secondary containment measures, such as berms, dikes, or spill trays, around storage areas and containers to contain spills or leaks and prevent hazardous substances from reaching the environment. Secondary containment should have sufficient capacity to contain the volume of the largest container plus additional runoff. Spill kits are to be placed to control spills.</li> <li>■ <b>Training:</b> Train construction workers in proper handling and transportation procedures for hazardous waste, including techniques for lifting and moving containers safely, using personal protective equipment (PPE), and minimizing the risk of spills or releases.</li> <li>■ Make an application in Form 1 to the APPCB, to obtain an authorization. Detailed process is available at <a href="https://pcb.ap.gov.in/PCBLive/PCB/WasteManagement">https://pcb.ap.gov.in/PCBLive/PCB/WasteManagement</a>. Send or sell the hazardous and other waste to an authorized actual user or recycler or dispose in an authorized disposal facility. A list of units registered with the APPCB (list is available with authority).</li> <li>■ Transport the hazardous and other wastes from the project establishment to an authorized actual user or to an authorized disposal or recycler facility in accordance with the provisions of these rules.</li> <li>■ Maintain a record of hazardous and other wastes managed in Form 3 and prepare and submit to the Pollution Control Board, Andhra Pradesh, an annual return containing the details specified in Form 4 on or before June 30 following the financial year to which that return relates.</li> </ul>
Solid waste management	<ul style="list-style-type: none"> <li>■ Solid Waste Management Rules, 2016 and</li> </ul>	<ul style="list-style-type: none"> <li>■ <b>Waste Identification:</b> Identify the types of solid waste generated during construction activities, such as concrete, wood, metal, plastics, cardboard, waste generated from labour camps, and packaging materials.</li> <li>■ <b>Segregation:</b> Segregate waste into separate categories to facilitate recycling, reuse, or proper disposal.</li> </ul>

Components	Relevant laws	Mitigation measures
	subsequent amendments. <ul style="list-style-type: none"> <li>■ Conditions of EC</li> </ul>	<ul style="list-style-type: none"> <li>■ <b>Designated waste storage areas:</b> Establish designated waste storage areas on the construction site that are easily accessible to workers and equipped with appropriate containers or bins for each waste stream. Ensure that storage areas are located away from sensitive environments and comply with local regulations.</li> <li>■ <b>Labelling:</b> Label containers clearly with the type of waste they contain to facilitate proper sorting and disposal.</li> <li>■ <b>Containment measures:</b> Implement measures to prevent windblown litter, spills, or contamination from solid waste storage areas. Use lids or covers on containers to prevent debris from escaping and install fencing or barriers around storage areas to prevent unauthorized access.</li> <li>■ <b>Regular waste collection and removal:</b> Establish a schedule for regular waste collection and removal from the construction site to prevent accumulation and maintain a clean and organized work environment.</li> </ul>
Plastic waste management	<ul style="list-style-type: none"> <li>■ Plastic Waste Management Rules, 2016; Plastic Waste Management (Amendment) Rules, 2022</li> </ul>	<ul style="list-style-type: none"> <li>■ <b>Minimize generation of plastic waste and segregate</b> plastic waste at the source in accordance with the Solid Waste Management Rules, 2000.</li> <li>■ <b>Do not litter:</b> Separate the plastic waste and ensure segregated storage of waste at source. Hand over segregated waste to urban local body, gram panchayat, agencies appointed by them, registered waste pickers, registered recyclers, or waste collection agencies.</li> </ul>
Chemicals and hazardous materials	<ul style="list-style-type: none"> <li>■ Manufacture, Storage, and Import of Hazardous Chemicals (MSIHC) Rules, 1989</li> </ul>	<ul style="list-style-type: none"> <li>■ Maintain an updated inventory of all chemicals and hazardous materials used on-site, including their quantities and locations.</li> <li>■ Conduct Environmental Aspect and Impact &amp; risk assessments to identify potential hazards associated with each chemical and material and assess their impact on health and the environment.</li> <li>■ Store chemicals and hazardous materials in designated, secure areas with appropriate containment measures to prevent spills and leaks.</li> </ul>

Components	Relevant laws	Mitigation measures
		<ul style="list-style-type: none"> <li>■ Ensure all containers are clearly labelled with the chemical name, hazard symbols, and safety information.</li> <li>■ Ensure material safety data sheets (MSDS) for all chemicals are readily available to all employees who may handle or be exposed to these substances.</li> <li>■ Equip the site with appropriate spill response kits and ensure they are readily accessible.</li> <li>■ Develop and implement spill response procedures, including containment, cleanup. Refer to SOP 4 for emergency response plan.</li> <li>■ Implement secondary containment systems (for example, bunds or spill pallets) to capture leaks and prevent contamination of soil and water.</li> </ul>
E-waste	<ul style="list-style-type: none"> <li>■ E-Waste (Management) Rules, 2022 (applies to stakeholders involved in the life cycle of electronic and electrical equipment, including producers, distributors and retailers, E-waste management</li> </ul>	<ul style="list-style-type: none"> <li>■ The following mitigation measures may be taken for handling E-waste:</li> <li>■ Set a goal to minimize E-waste by extending the life of office equipment and promoting recycling.</li> <li>■ Perform regular maintenance and software updates to ensure devices remain functional for as long as possible.</li> <li>■ Refurbish devices to extend their usable life, whenever possible.</li> <li>■ Set up clearly labelled E-waste collection bins or areas for the safe collection of electronics such as old cables, batteries, or nonfunctional devices.</li> <li>■ Engage with certified E-waste recycling companies to ensure safe and responsible disposal.</li> </ul>

Components	Relevant laws	Mitigation measures
	entities, and extended producer Responsibility holders)	



**Annexure III: Budget**

Budget Category	Description	Quantity	Unit costs (Rs)	Time or years	Total costs (Rs)	Remarks
Environmental monitoring	Expenses for carrying out environmental quality monitoring from MoEFCC and National Accreditation Board for Testing and Calibration Laboratories (NABL) accredited labs	As mentioned in the consent copy				
Water conservation	Expenses for implementing erosion and sediment control measures					
	Expenses for establishing rainwater harvesting systems (if feasible)					
	Expenses for implementing systems to recycle and reuse water on construction sites (wherever feasible)					
	Expenses for using water-efficient equipment and machinery during construction activities to minimize water consumption (wherever feasible)					
	Expenses for potable drinking water for on-site workers and labor camp requirements					
Waste management	Development and implementation of a waste management plan					

Budget Category	Description	Quantity	Unit costs (Rs)	Time or years	Total costs (Rs)	Remarks
(C&D, SWM, E waste, HW etc.)						
Documentation and reporting	Costs for documenting findings and preparing reports required by regulatory authorities					
Compliance and permitting	Expenses associated with obtaining permits and complying with resource efficiency and pollution prevention, including any period renewals as necessary					
Remediation and corrective actions	Expenses associated with remedial works and corrective actions as required					

## Annexure IV: Indicative Monitoring Plan

Attribute	Parameter	Special guidance	Standards	Duration	Frequency
Air quality	SO <sub>2</sub> , NO <sub>x</sub> , PM <sub>10</sub> , PM <sub>2.5</sub> , O <sub>3</sub> , Pb, CO, NH <sub>3</sub> , C <sub>6</sub> H <sub>6</sub> , BaP, As, and Ni (As desired by the project)	High volume sampler to be located 50m from the plant in the downwind direction. Use method specified by CPCB for analysis as per 18 <sup>th</sup> Nov 2009.	National Ambient Air Quality Standards, CPCB <sup>21</sup>	24-hour sampling (preparation and construction stage)	Ambient Air Quality Monitoring on monthly basis  Refer the Indicative C-ESMP items in the SoP I Annexure Template 2
Water quality	As desired by the project	Grab sample, composite sample and integrated sampling methods for collection of sample from source and analyzed as per Standard Methods for Examination of Water and Wastewater	Indian Standards for Inland Surface Waters (IS: 2296, 1982)  BIS Drinking Water standards (IS: 10500) <sup>22</sup>		Surface water quality on quarterly basis  Ground Water quality analysis, Potable water quality analysis on monthly basis  Refer the Indicative C-ESMP items in

<sup>21</sup> National Ambient Air Quality Standards available at: [https://cpcb.nic.in/upload/NAAQS\\_2019.pdf](https://cpcb.nic.in/upload/NAAQS_2019.pdf)

<sup>22</sup> Indian Standard Specifications for Drinking Water is 10,500,1983 available at: [https://cpcb.nic.in/wqm/BIS\\_Drinking\\_Water\\_Specification.pdf](https://cpcb.nic.in/wqm/BIS_Drinking_Water_Specification.pdf).

Attribute	Parameter	Special guidance	Standards	Duration	Frequency
					the SoP I Annexure Template 2
Ambient noise	Noise levels on dB(A) scale	Equivalent noise levels using an integrated noise level meter kept at a distance of 15m from edge of pavement.	The Noise Pollution (Regulation and Control) Rules, 2000 <sup>23</sup>	Leq in dB(A) of daytime and night time reading on every 1 hr of interval for 24 hrs. (preparation and construction stage)	Monthly basis  Refer the Indicative C-ESMP items in the SoP I Annexure Template 2
Soil quality	Monitoring of physical, chemical and Biological (as desired by the project)	Sample of soil collected to acidified and analyzed using absorption spectrophotometer	Threshold for each contaminant set by national standards.	Auger grab sampling (preparation and construction stage)	Quarterly basis  Refer the Indicative C-ESMP items in the SoP I Annexure Template 2
Waste management	Monitoring of waste generation, segregation, and disposal practices to ensure compliance with waste management plans and regulations, including e-waste	Visual inspection of waste handling areas and documentation of waste streams	Construction and Demolition Waste Management Rules, 2016; Hazardous and Other Wastes (Management and Transboundary Movement) Rules,	As per ESMP	Daily basis

<sup>23</sup> Ambient Air Quality Standards in Respect to Noise available at: [https://dteap.nic.in/oldnotifications/control%20of%20noise%20pollution%20in%20AP\\_0001\\_283..pdf](https://dteap.nic.in/oldnotifications/control%20of%20noise%20pollution%20in%20AP_0001_283..pdf)

Attribute	Parameter	Special guidance	Standards	Duration	Frequency
			2016; and Solid Waste Management Rules, 2016		

*Note:* Contractors to ensure using MoEFCC & NABL accredited labs for environmental monitoring. As = arsenic; BaP = benzo[a]pyrene; BIS = Bureau of Indian Standards; C<sub>6</sub>H<sub>6</sub> = benzene; CO = carbon monoxide; CPCB = Central Pollution Control Board; dB(A) = decibel A-weighted; ESMP = environmental and social management plan; Leq = equivalent continuous sound level; MoEFCC – Ministry of Environment, Forest and climate change NH<sub>3</sub> = ammonia; Ni = nitrogen; NO<sub>x</sub> = nitric oxide; O<sub>3</sub> = ozone; Pb = lead; PM<sub>10</sub> = Particulate matter 10; PM<sub>2.5</sub> = Particulate matter 2.5 ;SO<sub>2</sub> = sulfur dioxide;

## Annexure V: Indicative Reporting Formats

### 1 Air Quality

Air Quality Monitoring Report								
Project name:								
Monitoring period:								
Location:								
Date	Monitoring station	SO <sub>2</sub> µg/m <sup>3</sup>	NO <sub>2</sub> µg/m <sup>3</sup>	PM <sub>2.5</sub> µg/m <sup>3</sup>	PM <sub>10</sub> µg/m <sup>3</sup>	Lead µg/m <sup>3</sup>	NH <sub>3</sub> µg/m <sup>3</sup>	CO mg/m

*Note:* NO<sub>2</sub> = Nitrogen dioxide; SO<sub>2</sub> = Sulphur dioxide; PM<sub>10</sub> = particulate matter; PM<sub>2.5</sub> = Particulate matter 2.5, NH<sub>3</sub> = Ammonia, CO- Carbon monoxide.

### 2 Water Quality

Water Quality Monitoring Report						
Project name:						
Monitoring period:						
Location:						
Parameters	Location 1	Location 2	Location 3	Location 4	Location 5	Location 6
Color						
Odor						
Taste						
Turbidity						
pH						
CaCO <sub>3</sub>						
Ca						
Mg						
Cu						
Fe						
Mn						
SO <sub>4</sub>						
Cl						
NO <sub>3</sub>						
F						
C <sub>6</sub> H <sub>5</sub> OH						
Hg						
Cd						
Se						

Water Quality Monitoring Report						
Project name:						
Monitoring period:						
Location:						
Parameters	Location 1	Location 2	Location 3	Location 4	Location 5	Location 6
As						
Cn						
Pb						
Zn						
Anionic detergents (MBAS)						
Cr+6						
Mineral Oil						
Residual free chlorine						

### 3 Soil Quality

Soil Quality Monitoring Report						
Project name:						
Monitoring period:						
Location:						
Date	Location	Parameter 1	Parameter 2	Parameter 3	Parameter 4	Parameter 5

## Annexure of SoP 4

### Annexure I: GBV Service Providers

Departments	Government notified service providers		
	State level	District level	Subdistrict level
Society for Elimination Rural Poverty (SERP) & Mission for Elimination of Poverty in Municipal Areas (MEPMA)		State Mission Officer – MEPMA MPDO - SERP	<ul style="list-style-type: none"> <li>■ Gender Committee members – 5 per VO</li> <li>■ A total of 345 Gender Committee members.</li> </ul>
Women and Child Development	24/7 women’s helpline (181)	District social welfare officer (DSWO); district program officer (DPO-WCD); child care institution (CCI); child line; one stop centre (OSC-CA); antihuman trafficking units	CDPO, shelter home; sector supervisor; Anganwadi worker; police
Health		District programme manager (NHM)	Medical officer or Community Health Officer of Primary Health Centre, First Referral Unit, and Community Health Center; staff nurse; ASHA facilitator; ASHA worker
Legal	State Legal Services Authority	District Legal Services Authority	



### GBV Referral Pathway Mapping

(To be used at the time of screening of projects as per SOP 1 for identifying GBV referral system)

Sl. No.	Stakeholder	Aware of OSC GBV service flow chart (Yes/No)	Service provided by stakeholder	Referral Practice followed by him/her/ department	Referral Practice followed in Medico Legal case	Challenges faced in referral and linkages (Yes/No)
<b>Women and Child Development Key Stakeholders</b>						
1	Helpline (Women)					
2	District Project Officer, WCD/ District Social Welfare Officer					
3	One Stop Center – chief Authority					
4	Child Development Project officer					
5	Shelter hHome					
6	Child Care Institution (CCI)					
7	Child Line					
8	Sector Supervisor					
9	Anganwadi Worker					
10	Police					
<b>Health Key Stakeholders</b>						
1	District Programme Manager (NHM)					
2	Medical Officer/CHO of PHC, FRU,CHC					
3	Staff Nurse					
4	ASHA Facilitator					
5	ASHA					

## Annexure II: World Bank GBV Risk Assessment Tool

Item Numbers	Country name:	Comments, remarks, or additional notes	
	Project name		
	Geographic area or description (optional)		
	Name(s) of person(s) filling out form		
	Contact point for person filling out form		
	<b>Section A: Country Context</b>		
<b>A</b>	<b>Country-level violence background</b>		
1	Prevalence intimate partner violence (physical or sexual violence by a husband or partner)		
2	Prevalence of any form of sexual violence		
3	Prevalence of child marriage (defined as marriage before exact age 18 reported by women)		
4	State department trafficking in persons report		
5	Presence of peace-keeping mission		
<b>B</b>	<b>Legal context</b>		
1	Laws on domestic violence (Check the prevalence of domestic violence legislation)		
2	Laws on marital rape (Take notes on whether legislation explicitly criminalizes marital rape)		
3	Laws on sexual harassment (Check how legislation specifically addresses sexual exploitation and sexual harassment [SEA/SH])		
<b>C</b>	<b>Prevalent gender norms and beliefs</b>		
1	Justification of wife beating practices or any form of prevalent domestic violence		
2	Redressal mechanism followed to stop violence		
<b>D</b>	<b>National-level capacity to respond to gender-based violence (GBV)</b>		
1	National action plan on women, peace, and security		
2	GBV working group		
3	Existing national referral pathway protocol		
<b>Section B: Project context</b>			
1	Is project in a humanitarian area of the country? Add notes on any latest humanitarian and emergency situation.		
2	Level of infrastructure construction, upgrading, or rehabilitation entailed in the project		
3	According to the guidance from the labor influx note, rate your project as high, medium or low risk related to the level of labor influx. If there is no labor influx, choose the low-risk option. This determination is a self-judgement based on project parameters, using the labor influx note guidelines.		

4	Information on consultations undertaken with women's groups, groups that advocate for children and adolescent rights, and other stakeholders		
5	Information on (if any) military or paid security forces being contracted as part of the project		
6	Assess information on poverty in the project area		
7	Check if project in hard-to-supervise areas (for instance, very remote or geographically diffuse projects)		
8	Assess the project construction near school route or other pedestrian access that women and girls use for their daily activities		
9	Check if the project is equipped to monitor GBV and SEA risks across the full span of the work		
10	Check whether female workers are in close proximity to male workers with limited supervision		
Total risk assessment rating			

Key considerations:

- 1 To be updated every two years.
- 2 For global and regional estimates of violence against women see: <http://www.who.int/reproductivehealth/publications/violence/9789241564625/en/>.
- 3 Services needed by women and girls who have experienced GBV are: health; legal, justice, and police; psychosocial support; economic or livelihood support; and safety or shelter.

### **Annexure III: Key Considerations during Baseline Survey**

The following key considerations must be undertaken to appropriately engage with the communities during the environmental and social assessment (ESA) and stakeholder consultations:

- Sexual exploitation and abuse and sexual harassment (SEA/SH)–specific considerations for how to appropriately conduct consultations need to be embedded in the stakeholder engagement plan.
- Children’s viewpoints on risks and impacts of a project should be sought through adults representing organizations that work for and with children.
- Consultations with women leaders and those working with adolescent girls and boys and other at-risk groups should be prioritized to enable understanding of SEA/SH risks and trends in the community.
- Never directly ask respondents about individual experiences of gender-based violence (GBV). Rather, they should focus on gaining an understanding of the experiences of women and girls in affected communities, including well-being, health, and safety concerns.
- Ensure consultation activities provide opportunities to share information with stakeholders on project-related risks and the proposed reporting and response measures, with a particular focus on women, children, and other at-risk groups.
- Security risk assessment and use of security personnel, if applicable.

## Annexure IV: Emergency Response Plan Template

<p><b>Objectives</b></p>	<ul style="list-style-type: none"> <li>▪ To control and contain the incident/accident and if possible, eliminate it.</li> <li>▪ To minimize the effects of the incident on persons, property, and environment.</li> <li>▪ To avoid confusion, panic and to handle the emergency with clear-cut actions.</li> </ul>
<p><b>INFRASTRUCTURE FOR ON-SITE EMEREGCNY PLAN</b></p>	
<p>Emergency Control Center</p>	<ul style="list-style-type: none"> <li>▪ Emergency Control Center is to set up at the site. The Control Center is the focal point in case of an emergency to handle the emergency as directed and coordinated. Contractor needs assign an eligible employee to manage and lead this center.</li> </ul>
<p>Assembly point</p>	<ul style="list-style-type: none"> <li>▪ Assembly point is to set up farthest from the location of likely hazardous events, (near main gate) where persons from office area and visitors would assemble in case of emergency. Up-to-date list with log in time and date of all workers must be available at this point.</li> </ul>
<p>Communication System</p>	<ul style="list-style-type: none"> <li>▪ Since project site office setup is small, all such communication is done verbally or through cell phones.</li> </ul>
<p>Training and education</p>	<ul style="list-style-type: none"> <li>▪ Major emergency procedure should be laid down clearly and convincingly and conduct training and mock drill to everyone on-site, particularly Key Personnel and Essential workers.</li> </ul>
<p>Emergency Telephone Numbers display</p>	<p>The emergency telephone numbers shall be kept at the Emergency Control Center and display at an assembly point; such numbers include:</p> <ul style="list-style-type: none"> <li>▪ Fire service</li> <li>▪ Nearest hospital</li> <li>▪ Ambulance</li> <li>▪ Police station</li> <li>▪ Child line</li> <li>▪ Woman helpline</li> <li>▪ Name and contact number of responsible persons of Emergency Control Centre.</li> </ul>
<p><b>EMERGENCY FACILITIES</b></p>	
<p>Firefighting Equipment</p>	<ul style="list-style-type: none"> <li>▪ Ensure installation of the fire hydrant, sprinkler, and adequate water storage to control fire accident.</li> </ul>
<p>Emergency Lghting and Standby Power</p>	<ul style="list-style-type: none"> <li>▪ Ensure provision for emergency lighting and standby power supply at project site.</li> </ul>
<p>Emergency Equipment and Rescue Equipment</p>	<ul style="list-style-type: none"> <li>▪ Ensure at project site that first aid kit, torches, ladders, and ropes are always available.</li> </ul>

Safety Equipment	<ul style="list-style-type: none"> <li>▪ Safety helmets, boots, gloves, goggles and face shield, harness, and other appropriate PPE.</li> </ul>	
<b>PROBABLE EMERGENCY SITUATIONS AND CONTROL MEASURES</b>		
Hazard	Probable Cause of the Accident	Control Measure
Fire	Electrical short circuit, LPG burst, oil storage leakage, and any other cause	<ul style="list-style-type: none"> <li>▪ Fire extinguishers are useful for putting out small fires; in case of large fire:</li> <li>▪ Call fire services immediately.</li> </ul>
Earthquake	Natural calamities	<ul style="list-style-type: none"> <li>▪ Drop, cover, and hold on under a sturdy object during an earthquake</li> <li>▪ Follow instructions of the National Disaster Management Authority of India.</li> </ul>
Flood	Natural calamities	<ul style="list-style-type: none"> <li>▪ Staying informed about flood risks, having a plan, and following evacuation orders to stay safe.</li> <li>▪ Follow instructions of the National Disaster Management Authority of India.</li> </ul>
Thunder & Storm	Natural calamities	<ul style="list-style-type: none"> <li>▪ Take sturdy shelter indoors during thunderstorms and avoid open areas, water, and tall objects to minimize lightning risk.</li> <li>▪ Follow instructions of the National Disaster Management Authority of India.</li> </ul>
Structural Collapse	Technical failure	<ul style="list-style-type: none"> <li>▪ Evacuate immediately if suspect a collapse and prioritize safety by establishing a safe zone.</li> <li>▪ Do not reenter and call emergency services immediately.</li> </ul>
Chemical Spill	Human Error/Equipment Failure/Storage Issues/Emergency Situations/Transportation Accidents/ Process Failures	<ul style="list-style-type: none"> <li>▪ Immediately evacuate personnel from the affected area to a safe distance to avoid exposure.</li> <li>▪ Notify local emergency services about the spill.</li> <li>▪ Use appropriate containment measures, such as barriers, absorbent materials, and spill kits, to prevent the spread of the chemical.</li> <li>▪ If safe to do so, stop the source of the spill, such as shutting off valves or securing leaking containers.</li> <li>▪ Use suitable methods for cleaning up the spill, such as absorbents, vacuum systems, or specialized chemical neutralizers.</li> </ul>

		<ul style="list-style-type: none"><li>▪ Collect and properly dispose of contaminated materials and waste according to regulatory guidelines.</li><li>▪ Prepare a detailed report of the incident, including the nature of the chemical, the extent of the spill, and the response actions taken.</li><li>▪ Conduct a review to evaluate the response effectiveness and identify areas for improvement.</li></ul>
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## Annexure V: Key Safeguard Measures in Accordance with the National and State Laws and MDBs Standards for Labor Influx Management

Standards	Description	Labor Influx Management Practices
Engagement of local labor	Creating more opportunity for the locals rather than outsiders.	<ul style="list-style-type: none"> <li>Contractors should give preference to local labor; may be skilled, semi-skilled, and unskilled to minimize the labor influx.</li> </ul>
Medical health check-up prior to employment and periodical health check-up.	Migrant worker's medical health check-up needs to be conducted in order to find out their existing communicable and noncommunicable diseases, if any.	<ul style="list-style-type: none"> <li>Medical health check-up shall be conducted as per the national, state labor laws and MDB standards.</li> </ul>
Maintenance of register and records	Relevant registers and records related to employment of migrant workers need to be maintained.	<ul style="list-style-type: none"> <li>Ensure maintenance of relevant register and records of employment of migrant workers like employment record, payroll records, medical health record as per the national and state labor laws and MDB standards.</li> </ul>
Fairness and transparency	Migrant workers should be treated fairly and should have access to clear information about their rights and working conditions.	<ul style="list-style-type: none"> <li>Transparent engagement processes with clear contracts outlining wages, benefits, and working conditions.</li> <li>Access to grievance redress mechanisms to report about unfair treatment, if any.</li> <li>Sensitize migrant workers about their rights and available support services.</li> </ul>
Labor standards	Upholding core labor standards like non-discrimination, freedom of association, and minimum wage.	<ul style="list-style-type: none"> <li>Ensure migrant workers have the same labor rights and protections as domestic workers.</li> <li>Regular inspections to ensure compliance with labor standards.</li> </ul>
Social inclusion	Promoting social integration of migrant workers and their families.	<ul style="list-style-type: none"> <li>Facilitating access to education, housing, and other social services for migrant workers and their families.</li> <li>Encouraging cultural exchange and community engagement programs.</li> <li>Combating discrimination against migrant workers.</li> </ul>
Environmental sustainability	Minimizing environmental impact due to labor influx.	<ul style="list-style-type: none"> <li>Conducting regular environmental monitoring for large-scale projects with significant migrant worker populations.</li> </ul>



Standards	Description	Labor Influx Management Practices
		<ul style="list-style-type: none"> <li>■ Developing sustainable infrastructure and housing for migrant workers.</li> <li>■ Promoting waste management and resource utilization.</li> </ul>
Sensitization programs	On-site awareness programs	<ul style="list-style-type: none"> <li>■ Conduct sensitization programs on prevention of communicable diseases, SEA/SH, and sanitation and hygiene among others.</li> </ul>
Implement code of conduct	A set of principles, rules, and standards that define the conduct and practices that workers are expected to uphold in their daily work responsibilities.	<ul style="list-style-type: none"> <li>■ Develop a code of conduct for all the workers with a clear statement of the mission, values including procedures that cover issues such as worker’s behavior, harassment, discrimination, conflict of interest, and confidentiality.</li> </ul>

## Annexure VI: HIRA Format

(To be prepared by the contractor's safety Officer with coordination of line supervisors and to be reviewed in three months)

Hazard Description	Potential Consequences	Likelihood	Severity	Risk Level	Control Measures	Responsible Person	Action Required	Target Completion Date
Example: Slipping, Tripping	Slip, fall, injury	High	Moderate	High	<ul style="list-style-type: none"> <li>Place warning signs; clean spills promptly</li> <li>Install anti-slip mats</li> <li>Use safety boots</li> </ul>	Contractor/ Safety Officer	Implement control measures, conduct training	DD/MM/YYYY
Example: Electrical Hazard	Electric shock, fire	Moderate	High	High	<ul style="list-style-type: none"> <li>Regular maintenance of electrical systems</li> <li>Training on safe electrical practices</li> </ul>	Contractor/ Safety Officer	Conduct electrical safety audit, update safety protocols	DD/MM/YYYY

## Annexure VII: Labor Influx Study Tool

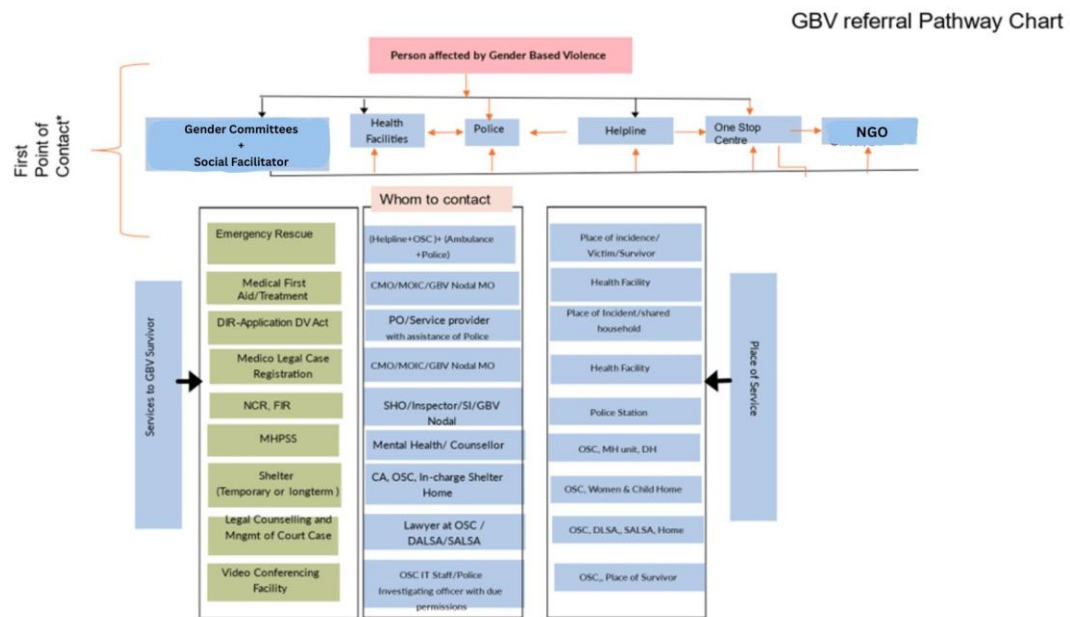
Sr. No.	Factor and Social Impact	Indicators & Methodology	Yes	No	Mixed
1.	Safety is compromised	<ul style="list-style-type: none"> <li>■ Locals complain of:</li> <li>■ Loitering</li> <li>■ Increase in petty crimes</li> <li>■ Interactions with members of the opposite sex</li> <li>■ Unruly behaviour of workers</li> <li>■ Attempts to visit local families</li> <li>■ Attempts to befriend children</li> <li>■ Bad influence on local youth</li> <li>■ Labor camp has insufficient facilities and workers are frequenting the neighbourhood to access these facilities</li> <li>■ Work is intermittent, and workers are frequenting the neighbourhood to pass time</li> <li>■ Arguments and conflicts taking place at water source and shops</li> <li>■ Migrants have been promising jobs in other places to local youth</li> </ul>			
2.	Health is compromised	<ul style="list-style-type: none"> <li>■ Workers reported to be frequently visiting local medical facilities</li> <li>■ Workers appear to be carrying contagious diseases</li> <li>■ Workers known to be from areas with high incidence of TB, HIV-AIDS, and other communicable diseases</li> <li>■ Workers known to be frequently traveling in troops from one place to another with the contractors</li> <li>■ Workers have unhygienic habits</li> <li>■ Labor camp in unsanitary and unhygienic conditions</li> <li>■ Labor camp has insufficient water</li> </ul>			

Sr. No.	Factor and Social Impact	Indicators & Methodology	Yes	No	Mixed
		<ul style="list-style-type: none"> <li>■ Labor camp has insufficient toilets and workers are using surrounding areas</li> <li>■ Labor camp has insufficient drainage and water is flowing into the surrounding area</li> <li>■ Locals are experiencing new ailments since the project started or labor came into the area</li> </ul>			
3.	Economy is compromised	<ul style="list-style-type: none"> <li>■ Locals have lost land or have been displaced</li> <li>■ Locals feel they could have got employment which outsiders have been given</li> <li>■ Locals feel their wages have gone down because of incoming labor force</li> <li>■ Some local jobs have been taken up by the speculative/secondary influx of “followers”</li> <li>■ Some small trading and businesses have been taken up by speculative/secondary influx of “followers”</li> </ul>			
4.	Social harmony is compromised	<ul style="list-style-type: none"> <li>■ Persons of different ethnicity, religion, culture toward which there is traditional hostility, are in the area</li> <li>■ Pre-existing socio-political tension/conflict in the region</li> </ul>			

**Annexure VIII: Template for SEA/SH Action Plan (To be included in the site-specific ESMP)**

<b>Sr. No.</b>	<b>Activity to address SEA/SH risk</b>	<b>Measures to be taken</b>	<b>Responsibility</b>	<b>Monitoring indicators</b>	<b>Estimated budget, if any</b>
1	Sensitize contractor on the importance of addressing SEA/SH on the project, and the mechanisms that will be implemented				
2	Conduct SEA and SH assessment at project sites				
3	Map out GBV prevention and response service providers able to provide care to SEA and SH survivors				
4	Strengthen institutional capacity for SEA and SH risk mitigation measure				
5	Integrate SEA and SH risk management in site-specific Environment and Social Management Plan (ESMP) and Contractors' ESMP				
6	Review the ADCL site offices and Contractor's capacity to prevent and respond to SEA/SH				
7	Inform project-affected communities about SEA/SH risks				
8	Ensure SEA/SH-sensitive channels for reporting in GRM				

# Annexure IX: Sample GBV Referral Pathway Chart (for reporting of any GBV-related cases from site)



## Annexure X: Monitoring Format for GBV Compliance

Indicator	Frequency	Agency Responsible
<b>A. Information about Workforce and Laborers</b>		
No. of workers (sex disintegrated data— male and female)	Concurrent monitoring Monthly reporting	PgMC & PMC
<b>B. Information Related to ICC/LCC/GRC</b>		
Recordings of establishment of ICC/LCC	Preconstruction stage and upon changes	PgMC & PMC
Details of ICC/LCC members	Preconstruction stage and if any changes occur	PgMC & PMC
Meetings or activities conducted by ICC/LCC members	Quarterly reporting	PgMC & PMC
<b>C. Dissemination of Information and Awareness Generation</b>		
No. of sensitization trainings and workshops	Quarterly reporting	PgMC & PMC
Availability of displayed IEC materials/posters/banners/handwritten SOPs on GBV at camp and construction sites	Quarterly reporting	PgMC & PMC
<b>D. Reporting</b>		
No. of SEA/SH complaints received	Concurrent monitoring	PgMC & PMC
No. of SEA/SH complaints disposed of	Monthly reporting	PgMC & PMC
No. of cases pending for more than 90 days	Monthly reporting	PgMC & PMC

## Annexure XI: Budget Tables

Budget category	Description	Quantity	Unit costs (Rs)	Time or rears	Total costs (Rs)	Remarks
Survey and Assessment costs	Expenses for assessment of Community Health and Safety Risks					
Stakeholder consultation	Budget for engaging with stakeholders and addressing concerns related to community health and safety, GBV					
Training and capacity building	Budget for training on GBV, code of conduct, STD/HIV, communicable, non-communicable diseases, safety trainings, mock drills					
Information dissemination	Budget for preparation and printing of statutory displays, signage's, posters, and so on.					



## Annexure of SoP 5

### Annexure I: Screening and Scoping

#### 1 Biodiversity Assessment and Critical Habitat Assessment (CHA)

The biodiversity assessment for critical habitat identification follows state and national regulations, as well as internationally recognized best practices endorsed by multilateral development banks (MDBs) and GIIs. Table 1 outlines the key habitats to be considered in critical habitat assessments.

**Table 1. A Suggested List of Critical Habitats Based on the Criteria for CHA**

Sr. No.	Habitat (includes natural or modified)	Competent authority
I.	<b>(a) Habitats protected by national and state legal regulations</b>	
	(i) Protected areas (PAs)—wildlife sanctuaries, national parks, conservation reserves or community reserves, tiger reserves and corridors, and eco-sensitive zones (As notified under the Wildlife Protection Act, 1972)	<ul style="list-style-type: none"> <li>Ministry of Environment, Forest &amp; Climate Change (MoEFFCC), Govt. of India</li> <li>Andhra Pradesh Forest Department &amp; National Board for Wildlife (NBWL)</li> </ul>
	(ii) Reserve forest (As notified under India Forest Act, 1927)	<ul style="list-style-type: none"> <li>Environment and Forest, PCCF, and HoFF, Govt. of India</li> <li>MoEFCC, Govt. of India</li> </ul>
	(iii) Biological Diversity Act, 2002	<ul style="list-style-type: none"> <li>Andhra Pradesh State Biodiversity Board (APSBB) &amp; National Biodiversity Authority (NBA)</li> </ul>
	(iv) Andhra Pradesh Forest Act, 1967	<ul style="list-style-type: none"> <li>Department of Environment, Forest, Science &amp; Technology</li> </ul>
(v) Andhra Pradesh Water, Land and Trees Act, 2002	<ul style="list-style-type: none"> <li>Andhra Pradesh Water, Land and Trees Authority (APWALTA)</li> </ul>	
II.	<b>(b) Habitat of significant importance to</b>	
	(i) Species listed under Schedule I of the Wildlife Protection Act, 1972	MoEFCC, Govt. of India
	(ii) Critically endangered or endangered species as listed by the International Union for Conservation of Nature (IUCN) Red List of threatened species	IUCN Red List of threatened species (No such species were identified in Amaravati Capital city as per EIA report mentioned in page 25).

Sr. No.	Habitat (includes natural or modified)	Competent authority
III.	(I) (a) Habitats of significant importance to endemic or restricted-range species – (Not applicable) (b) Habitats that support globally or nationally significant concentrations of migratory or congregator species – No such species were identified in Amaravati Capital City. (c) Highly threatened or unique ecosystems – Not identified in Amaravati Capital city.	
	(ii)(d) PAs notified by Govt. of India	MoEFFCC, Govt. of India
	(iii) Important bird and Key Biodiversity Area	Birdlife International and Bombay Natural History Society, India
	(iv) Natural habitats <ul style="list-style-type: none"> <li>To classify a natural habitat as critical, it must be an “area composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area’s primary ecological functions and species composition.”</li> </ul>	World Bank. 2017. “Biodiversity Conservation and Sustainable Management of Living Natural Resources: Guidance Note 6.”

## 2 Secondary data collection

- **Assessment tools:** Utilize comprehensive tools such as IBAT-Alliance and the WWF-Biodiversity Tool, EIA report of Amaravati Capital city.
- **Web-based sources:** Access and incorporate data from Global Forest Watch, The World Database on Protected Areas, Key Biodiversity Area site search, and Survey of India maps (table 2).
- **Ecosystem services assessment:** Apply the World Wide Fund for Nature (WWF) Biodiversity Filter Tool for the analysis.

**Table 2. Tools and Resources for Identifying Critical Habitats**

Indicators	Assessment tools and resources for Identification of Critical Habitat and Critical Species	References and resources	Competent authority
Natural habitat or modified habitat	Global Forest Watch Land Cover Layer	<a href="https://www.globalforestwatch.org/">https://www.globalforestwatch.org/</a>	World Resources Institute
Land use land cover	Survey of India (SOI) Toposheets No. E44-U6, U7, U10 and	<a href="https://onlinemaps.surveyofindia.gov.in/FreeMapSpecification.aspx">https://onlinemaps.surveyofindia.gov.in/FreeMapSpecification.aspx</a>	<ul style="list-style-type: none"> <li>• Survey of India</li> <li>• Digital Globe's WorldView-2</li> </ul>

Indicators	Assessment tools and resources for Identification of Critical Habitat and Critical Species	References and resources	Competent authority
	U11 of 1:50,000 scale; Digital Globe's WorldView-2 Satellite Image Ground truth validation for the FCC imageries		
<b>Habitats protected by national legal regulations</b>			
PAs, conservation reserve, community reserve, reserve forest, and eco-sensitive zone	Parivesh (Know Your Approval)	<a href="https://stgdev.parivesh.nic.in/kya-dev/#/">https://stgdev.parivesh.nic.in/kya-dev/#/</a>	MoEFCC, Govt. of India
	Protected Planet (IUCN-UNEP WCMC @UN Environment Programme World Conservation Monitoring Centre)	<a href="https://www.protectedplanet.net/en">https://www.protectedplanet.net/en</a>	UNEP-WCMC Data Publisher
	Bhuvan Indian Geo-Platform (Forestry, MoEFCC)	<a href="https://bhuvan.nrsc.gov.in/home/index.php">https://bhuvan.nrsc.gov.in/home/index.php</a>	National Remote Sensing Centre (NRSC), ISRO, Govt. of India
	Open Street Map	<a href="https://www.openstreetmap.org/#map">https://www.openstreetmap.org/#map</a>	OpenStreetMap Foundation, UK
<b>Globally Important Areas for Biodiversity Conservation notified by Govt. of India</b>			
Biosphere reserve (core area)	The World Database on Protected Areas/Download Dataset	<a href="https://www.protectedplanet.net/en">https://www.protectedplanet.net/en</a>	UNEP-WCMC Data Publisher
Key Biodiversity Area or	Key Biodiversity Area	<a href="https://www.keybiodiversityareas.org/sites/search">https://www.keybiodiversityareas.org/sites/search</a>	Birdlife International, UK

Indicators	Assessment tools and resources for Identification of Critical Habitat and Critical Species	References and resources	Competent authority
important bird area	BNHS-ENVIS (Important Bird and Biodiversity Areas In India)	<a href="http://www.bnhsenvis.nic.in/Database/Important-Bird-And-Biodiversity-Areas-In-India_18738.aspx">http://www.bnhsenvis.nic.in/Database/Important-Bird-And-Biodiversity-Areas-In-India_18738.aspx</a>	The Bombay Natural History Society (BNHS), India
	Global Forest Watch	<a href="https://www.globalforestwatch.org/">https://www.globalforestwatch.org/</a>	World Resources Institute, D.C., US
<b>Habitat of protected flora and fauna by national legal regulation (Habitats including natural, modified, protected or unclassified state forest, designated by Govt. of India)</b>			
Prepare checklist of flora and fauna	<ul style="list-style-type: none"> <li>• Published peer reviewed article, biodiversity assessment report, EIA report</li> <li>• World Bank Group: Documents and Reports</li> <li>• Asian Development Bank: Projects and Tender</li> <li>• JICA: Library Portal</li> </ul>	<ol style="list-style-type: none"> <li>1. <a href="https://scholar.google.com/">https://scholar.google.com/</a></li> <li>2. <a href="https://documents.worldbank.org/en/publication/documents-reports">https://documents.worldbank.org/en/publication/documents-reports</a></li> <li>3. <a href="https://www.adb.org/projects">https://www.adb.org/projects</a></li> <li>4. <a href="https://www.jica.go.jp/english/about/basic/structure/library/index.html">https://www.jica.go.jp/english/about/basic/structure/library/index.html</a></li> </ol>	World Bank Group, Asian Development Bank.
	Andhra Pradesh Biodiversity Portal	<a href="https://apsbb.e-pragati.in/">https://apsbb.e-pragati.in/</a>	Andhra Pradesh Biodiversity Board, Andhra Pradesh
	Bird of India	<a href="https://ebird.org/home">https://ebird.org/home</a>	Andhra Pradesh Biodiversity Board, Andhra Pradesh Cornell Lab, NY, USA
Schedule Species (I-IV), Wildlife (Protection) Act, 1972 (and	Fauna of India Checklist (Zoological Survey of India)	<a href="https://zsi.gov.in/checklist">https://zsi.gov.in/checklist</a>	Zoological Survey of India, Govt. of India

Indicators	Assessment tools and resources for Identification of Critical Habitat and Critical Species	References and resources	Competent authority
subsequent amended)			
IUCN conservation status of species	The IUCN Red List of Threatened Species	<a href="https://www.iucnredlist.org/">https://www.iucnredlist.org/</a>	IUCN, Switzerland

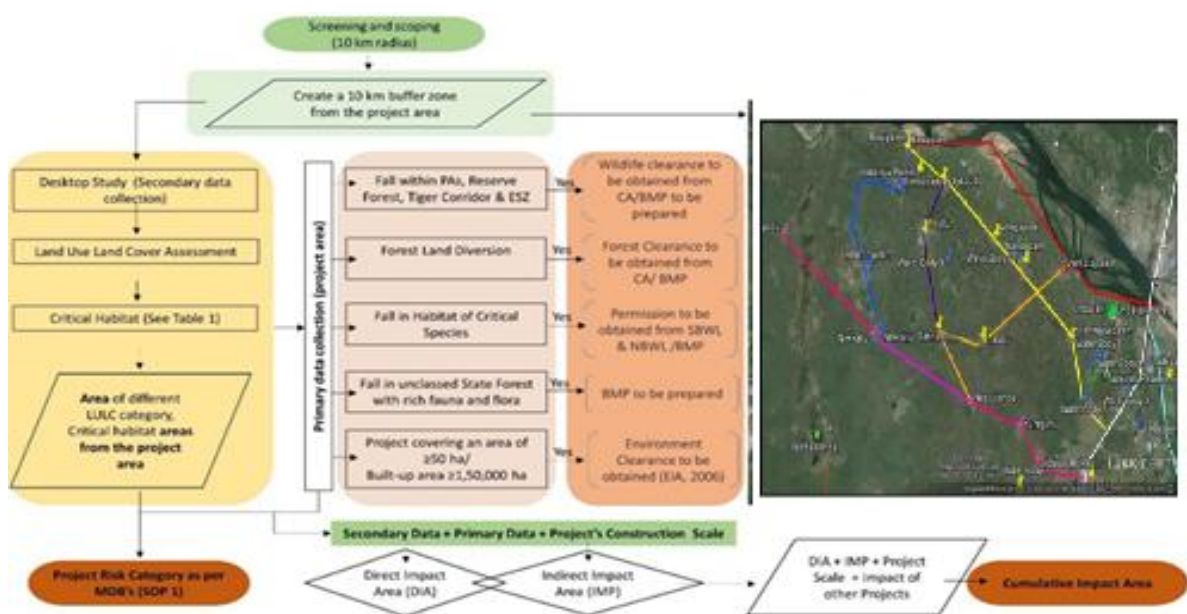


Figure 1. Flowchart illustrating the procedure for delineating project influence area for data collection, determining the project proximity with critical habitats (25 villages are covered under 3 mandals – Thulluru, Mangalagiri and Tadepalli).

Source: - EIA - Amaravathi Capital city

## **Annexure II: General Guideline for Preparation of Mitigation Measures for Biodiversity Conservation, and Biodiversity Management Plan**

Following the identification of potential impacts on biodiversity, the initial approach is to explore alternative solutions through avoidance. If no viable alternatives are available, mitigation measures should be applied to reduce or minimize the impacts. These measures must be adhered to during the implementation phase, encompassing the preconstruction, construction, and postconstruction phases, to minimize adverse impacts and any residual effects.

The biodiversity management plan must include the following, but not limited to:

- Comprehensive information on the species and habitats earmarked for protection
- Adherence to relevant local and National laws and regulations
- When appropriate, provision for animal-safe passage will be integrated into the biodiversity management plan (BMP)
- Necessary measures for safeguarding, monitoring processes, and improving biodiversity at different project stages, including planning, construction, and postconstruction phase.
- Roles and responsibilities and a budget for executing the designated actions
- Cost of any remedial works and corrective actions.

Indicative mitigation measures in preparation to minimize adverse impacts on the biodiversity within the direct and indirect impact area/Biodiversity Management Plan

**Table 3. Indicative mitigation measure for biodiversity conservation**

Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/ Supervision	Monitoring Cost
Minimize habitat disturbance and fragmentation	<ul style="list-style-type: none"> <li>• Prepare a strategic plan to avoid natural habitat.</li> <li>• Prepare a strategic plan for tree cutting to minimize no. of tree cutting. The following parameters can be included –               <ul style="list-style-type: none"> <li>(i) Adjust the layout of buildings, road alignment, and infrastructure to avoid high-value trees and minimize tree removal.</li> <li>(ii) Where possible, plan construction in areas with fewer trees or existing clearings to reduce the need for tree cutting.</li> <li>(iii) Incorporate existing trees into the landscape design of the project (for example, as part of green spaces or aesthetic features)</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>• Ensure the contractor followed the strategic plan to avoid natural habitat and tree cutting</li> </ul>	Project planning and preconstruction phase	APCRDA/ADC L/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	

Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/Supervision	Monitoring Cost
Habitat management	<ul style="list-style-type: none"> <li>(i) Establish buffer zones after the site clearance.</li> <li>(ii) Place a map layout within the construction site, and place signage listing Do's and Don'ts within the specified areas (conservation zone and buffer zones).</li> <li>(iii) Allow only approved activities</li> <li>(iv) Prohibit burning activities</li> <li>(v) Prohibit collection of nontimber forest products (NTFP) or firewood</li> <li>(vi) Prohibit hunting or fishing (within the project site, including both conservation and buffer zones)</li> </ul>		<ul style="list-style-type: none"> <li>• Ensure installation of map layout (or signage) within the project site</li> <li>• Ensure workers are informed about Do's and Don'ts in the specified location</li> </ul>	Preconstruction and construction phase	APCRDA/ADC L/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	
	<ul style="list-style-type: none"> <li>• Afforestation: Plant native tree species in cleared areas to restore habitat</li> </ul>		<ul style="list-style-type: none"> <li>• Ensure native plants are used in reforestation efforts</li> </ul>	Preconstruction and	APCRDA/ADC L/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	



Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/ Supervision	Monitoring Cost
			<ul style="list-style-type: none"> <li>Evaluate the survival rate of planted trees</li> </ul>	construction phase				
	<ul style="list-style-type: none"> <li>Soil Conservation: Conserve topsoil, maintain existing vegetation cover, and utilize conserved topsoil for landscaping</li> </ul>		<ul style="list-style-type: none"> <li>Ensure topsoil is conserved and used for landscaping purposes</li> </ul>	Preconstruction and construction phase	APCRDA/ADC L/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	
	<ul style="list-style-type: none"> <li>Establish Vegetation Buffers: Create buffer zones of vegetation along water bodies to filter sediment and control erosion (if applicable)</li> </ul>		<ul style="list-style-type: none"> <li>Verify establishment of vegetation buffer</li> <li>Ensure local species planted</li> </ul>	Preconstruction and construction phase	APCRDA/ADC L/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	
	<ul style="list-style-type: none"> <li>Develop a muck disposal management plan to prevent soil erosion, avoid disturbing natural habitats, and promote greenery in the disposal area</li> </ul>		<ul style="list-style-type: none"> <li>Ensure contractor comply with the muck management plan</li> </ul>	Project planning, preconstruction and construction phase	APCRDA/ ADCL/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	
	<ul style="list-style-type: none"> <li>Waste management plan will be developed as per the Solid Waste Management Rules, 2016, Govt. of India.</li> </ul>		<ul style="list-style-type: none"> <li>Ensure contractor follow waste</li> </ul>	Project planning, preconstruction	APCRDA/ ADCL/ PgMC/ PMC/	Contractor	PgMC/PMC	

Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/ Supervision	Monitoring Cost
	<ul style="list-style-type: none"> <li>Construction and demolition waste management plan will be developed as per the Construction and Demolition Waste Management Rules, 2016, Govt. of India.</li> </ul>		<ul style="list-style-type: none"> <li>management plan</li> <li>Ensure no-waste dump within natural habitats (including aquatic ecosystem) or conservation zone</li> <li>Ensure proper waste segregation, storage, and disposal to prevent wildlife access</li> </ul>	uction and construction phase	Contractors			
	<ul style="list-style-type: none"> <li>Control Nonnative Invasive Species population</li> <li>Identify Invasive Species: Create a checklist of nonnative invasive flora and fauna in the buffer zone</li> <li>Avoid Conservation Zones: Transport materials without disturbing biodiversity.</li> </ul>		<ul style="list-style-type: none"> <li>Ensure control of nonnative plant species</li> </ul>	Preconstruction and construction phase	APCRDA/ ADCL/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	

Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/ Supervision	Monitoring Cost
	<ul style="list-style-type: none"> <li>Prohibit Off-road Driving: Prevent habitat disturbance by restricting off-road driving</li> <li>Maintain data on nonnative invasive species across preconstruction, construction, and postconstruction phases</li> <li>Monitor invasive species richness or abundance and eradicate if necessary</li> </ul>							
	<ul style="list-style-type: none"> <li>Conduct water, soil, air, and ambient noise quality assessments as per the Condition of Contract, EIA and consent to establish and operate.</li> </ul>		<ul style="list-style-type: none"> <li>Ensure that quality levels meet CPCB and APPCB standards</li> </ul>	Preconstruction and construction phase	APCRDA/ ADCL/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	
	<ul style="list-style-type: none"> <li>Remove Barriers: Remove barriers for free of birds and animals movement after work completion</li> </ul>		<ul style="list-style-type: none"> <li>Ensure removal of barriers through frequent field visits</li> </ul>	Preconstruction and Construction phase	APCRDA/ ADCL/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	

Biodiversity Conservation Parameter	Action (suggestive mitigation measures)	Mitigation Cost	Measurements	Time Frame	Responsible Agency	Implementation	Monitoring/Supervision	Monitoring Cost
Training and awareness program	<p>Organize workshops/training programs for site engineers and workers to be aware of laws related to wildlife crime and protection, and to ensure they follow biodiversity management plan (BMP).</p> <p><b>Subject of interest</b></p> <ul style="list-style-type: none"> <li>• Awareness of laws related to Biodiversity.</li> <li>• Ensure proper implementation of mitigation measures for biodiversity conservation</li> <li>• Handling of Incidents on biodiversity.</li> <li>• Place informative signage around the construction site to create awareness.</li> </ul>		<ul style="list-style-type: none"> <li>• Schedule and conduct workshops at regular intervals to keep the workforce updated on laws and Biodiversity requirements</li> <li>• Maintain records of all training sessions, including attendance, topics covered, and feedback received</li> <li>• Ensure the presence of signages around the site.</li> </ul>	Preconstruction – construction phase	APCRDA/ ADCL/ PgMC/ PMC/ Contractors	Contractor	PgMC/PMC	

**Methods for Evaluating and Monitoring Biodiversity Indicators.**

**Table 4. Sampling framework for biodiversity monitoring, methodologies, and indicators for assessment of impact of project activities**

Sampling design for data collection and monitoring	<ul style="list-style-type: none"> <li>Establish permanent plots and transects for monitoring flora and fauna within direct impact areas.</li> <li>Conduct seasonal sampling during pre-monsoon, monsoon, post monsoon, and winter seasons, or whenever required by the competent authority.</li> <li>Compare indicators with each successive sampling.</li> <li>Submit the seasonal report (quarterly).</li> </ul>			
Biodiversity Parameter	Suggested methods	Data analysis/ Indicators	Responsibility	Monitoring/Supervision
<b>Seasonal monitoring</b>				
Plant Community Structure and Invasive Plant Species	<ul style="list-style-type: none"> <li>Conduct belt transect and nested quadrats sampling</li> </ul>	<ul style="list-style-type: none"> <li>Species richness and density/encounter rate</li> </ul>	APCRDA/ ADCL/ PgMC/ PMC/ Contractors (Expert)	PgMC/PMC
Avifauna	<ul style="list-style-type: none"> <li>Point count method (record residential and migratory birds if any)</li> </ul>			
Reptiles and amphibians	<ul style="list-style-type: none"> <li>Visual encounter (transect survey)</li> </ul>			
Butterfly	<ul style="list-style-type: none"> <li>Transect survey</li> </ul>			
Aquatic fauna	<ul style="list-style-type: none"> <li>Transect/netting survey</li> </ul>			
Freshwater Quality (macroinvertebrates)	<ul style="list-style-type: none"> <li>Benthic macroinvertebrate sampling using kick-net methods</li> </ul>			
Plantation (afforestation)	<ul style="list-style-type: none"> <li>Survival rate assessment</li> </ul>	<ul style="list-style-type: none"> <li>Very good (80%)</li> <li>Good (60 to &lt;80%)</li> <li>Average (40–60%)</li> <li>Poor (&lt;40%)</li> </ul>		

Sampling design for data collection and monitoring	<ul style="list-style-type: none"> <li>• Establish permanent plots and transects for monitoring flora and fauna within direct impact areas.</li> <li>• Conduct seasonal sampling during pre-monsoon, monsoon, post monsoon, and winter seasons, or whenever required by the competent authority.</li> <li>• Compare indicators with each successive sampling.</li> <li>• Submit the seasonal report (quarterly).</li> </ul>			
Biodiversity Parameter	Suggested methods	Data analysis/ Indicators	Responsibility	Monitoring/Supervision
<b>Monthly monitoring</b>				
Signage listing Do's and Don'ts	<ul style="list-style-type: none"> <li>• Record evidence</li> </ul>	<ul style="list-style-type: none"> <li>• Presence and absence</li> </ul>		
Light Pollution Impact on Nocturnal Species	<ul style="list-style-type: none"> <li>• Nighttime surveys and light intensity measurements</li> </ul>	<ul style="list-style-type: none"> <li>• Species behaviour changes</li> </ul>		
<b>Habitat quality assessment</b>				
Soil/Water/Air/Ambient Noise	As outlined in SOP 3		Contractor (Environment Expert)	PgMC/PMC

**Table:5 A framework for identifying biodiversity conservation zones within the direct impact areas of project activities to safeguard critical habitats.**

Location	Description	Size/Area (hectares)	Purpose/Objective
Conservation Zone I	Map natural habitat (critical habitat), biodiversity-rich area, and animal/bird movement corridor	Size	(i) Protect natural habitat and biodiversity-rich areas (ii) Minimize edge effects and human disturbance
Conservation Zone II	Map natural river/stream/canal	Size	(i) Preserve breeding grounds for any birds and aquatic species (ii) Maintain water quality and ecosystem connectivity (iii) Prevent erosion and sedimentation into water bodies
Project Activities Zone	Map construction activities site and other associated infrastructure development	Total Area	(i) Identify the potential impact of project activities and infrastructure development (ii) Identify native plant plantation in and around construction activity sites
Buffer Zone	(i) Buffer zone is a defined area of land surrounding a particular area or feature that serves to protect it from direct impacts or disturbances. (ii) The purpose of a buffer zone is to provide a transitional zone between the protected area	Larger buffer zone may be needed for more sensitive ecosystems or where there	(i) Biodiversity conservation and management (ii) Regular monitoring to ensure compliance with management practices

Location	Description	Size/Area (hectares)	Purpose/Objective
	<p>or feature or sensitive areas and potentially disruptive external activities.</p> <p>(iii) Regular monitoring of the buffer zone to ensure compliance with management practices and to assess its effectiveness in protecting the biodiversity/critical habitat area.</p>	<p>are significant external pressures.</p>	<p>(iii) Collect biodiversity data from permanent sampling sites</p>



## Annexure III: Monitoring and Reporting Process

### Roles and responsibilities:

Table 6. Outlines the roles, responsibilities, and relevant laws of Govt. of India related to biodiversity conservation

Sl. No.	Biodiversity Aspect	Description	Competent Authority	Responsible Agency	Implementation	Supervision Monitoring	Relevant Laws
1.	Biodiversity assessment	Impact assessment	APCRDA	APCRDA	APCRDA/ ADCL/ PgMC/ PMC/ Contractors (Expert)	PgMC/PMC	EIA Notification, 2006  (as subsequently amended)
<b>Project inside protected areas (Under the Govt. of India)—All requisite legal approvals mandated by the laws of the National/ State Government of India</b>							
2.	2.1 Environment clearance	Mandatory clearance is required for projects with potential environmental impacts (Category A & Category B)	Ministry of Environment, Forest & Climate Change (MoEFCC)/ the State Level Environment Impact Assessment Authority (SEIAA), Govt. Of Andhra Pradesh	APCRDA	Contractor	PgMC/PMC	EIA Notification, 2006 (as subsequently amended)
	2.2 Forest clearance	Required for projects involving forest land diversion	MoEFCC (Govt. of India)/ SEIAA (Govt. of Andhra Pradesh)	APCRDA	Contractor	PgMC/PMC	Forest (Conservation) Act, 1980 (as subsequently amended)

Sl. No.	Biodiversity Aspect	Description	Competent Authority	Responsible Agency	Implementation	Supervision Monitoring	Relevant Laws
	2.3 Eco-sensitive zone clearance	Necessary for projects located within eco-sensitive zones surrounding protected areas	MoEFCC (Govt. of India)/ State Forest Department, Govt. of Andhra Pradesh	APCRDA	Contractor	PgMC/PMC	Environment (Protection) Act, 1986 (as subsequently amended)
	2.4 Tree cutting	Permission is required for cutting trees for the project from the forest department	State Forest Department	APCRDA/ State Forest Department	Contractor /State Forest Department	PgMC/PMC	Forest (Conservation) Act, 1980; State Tree Preservation Acts
3.	Compensatory Afforestation Management Program	Requirement to undertake afforestation to compensate for the loss of forestland	State Forest Department	APCRDA/ State Forest Department	APCRDA	PgMC/PMC	Forest (Conservation) Act, 1980; Compensatory Afforestation Fund Act, 2016 (as subsequently amended)
4.	Solid Waste Management Plan	Required to prepare as per Solid Waste Management Rules, 2016	MoEFCC/SEIAA/APPCB	Contractor	Contractor	PgMC/PMC	Solid Waste Management Rules, 2016

Sl. No.	Biodiversity Aspect	Description	Competent Authority	Responsible Agency	Implementation	Supervision Monitoring	Relevant Laws
5.	Construction and demolition waste management plan	Required to prepare as per Construction and Demolition Waste Management Rules, 2016	MoEFCC/SEIAA/APPCB	Contractor	Contractor	PgMC/PMC	Required to prepare as per Construction and Demolition Waste Management Rules, 2016 (as subsequently amended)

## Institutional Framework

The Institutional Framework for monitoring and reporting is outlined in Table 7.

**Table 7. Institutional Framework for Monitoring and Reporting**

Level	Entity	Responsibilities
1.	APCRDA (ESMU unit)	<ul style="list-style-type: none"> <li>Supervise implementation of biodiversity, environmental and social management plans</li> </ul>
		<ul style="list-style-type: none"> <li>Ensure compliance with guidelines from MDBs, MoEFCC, and SEIAA, APPCB</li> </ul>
		<ul style="list-style-type: none"> <li>Review and approve monitoring plans, schedules, and reports from the PgMC/PMC</li> </ul>
2.	Project management consultant (PgMC)	<ul style="list-style-type: none"> <li>Coordinate monitoring and reporting activities with the PMC engineers and contractors.</li> </ul>
		<ul style="list-style-type: none"> <li>Compile and analyze data from site monitoring teams.</li> </ul>
		<ul style="list-style-type: none"> <li>Prepare comprehensive reports for APCRDA review.</li> </ul>
		<ul style="list-style-type: none"> <li>Arrange workshops and training sessions for contractors and workers focused on BMP implementation.</li> </ul>
3.	PMC	<ul style="list-style-type: none"> <li>Supervise contractor's environment or biodiversity experts monitoring tasks.</li> </ul>
		<ul style="list-style-type: none"> <li>Conduct regular site inspections to ensure compliance with environmental guidelines and the BMP.</li> </ul>
		<ul style="list-style-type: none"> <li>Liaise with APCRDA/PgMC for updates on site conditions and progress.</li> </ul>
4.	Contractor (environment or biodiversity expert)	<ul style="list-style-type: none"> <li>Conduct monitoring of environmental parameters as the guidelines given in the per SOP 3 guidelines.</li> </ul>
		<ul style="list-style-type: none"> <li>Ensure mitigation measures are implemented as outlined in BMP and ESMP.</li> </ul>
		<ul style="list-style-type: none"> <li>Collect and document data, providing updates to the PMU and divisional executive engineer.</li> </ul>

### Reporting Hierarchy and Workflow

The reporting hierarchy and workflow are outlined in Table 8.

**Table 8. Reporting Hierarchy and Workflow**

Stage	Process
1. Data Collection and Initial Reporting	<ul style="list-style-type: none"><li>• Contractor's environment or biodiversity expert collects data and submits reports to the PGMC/PMC and APCRDA.</li></ul>
2. On-site Supervision and Coordination	<ul style="list-style-type: none"><li>• PMC review data, ensure onsite compliances.</li></ul>
3. Data Compilation and Analysis	<ul style="list-style-type: none"><li>• PGMC compiles and analyzes data from various sites and prepares detailed reports for APCRDA review.</li></ul>
4. Review and Approval	<ul style="list-style-type: none"><li>• APCRDA reviews reports, ensures compliance with guidelines, and provides feedback and recommendations for corrective actions.</li></ul>
5. Compliance Monitoring and Audits	<ul style="list-style-type: none"><li>• APCRDA conducts periodic audits and compliance checks, identifies issues, and directs PgMC/PMC to implement corrective actions in sites.</li></ul>

**Monitoring and reporting format:** This monitoring report format provides a comprehensive framework for documenting biodiversity conservation.

**Table 9. Avoidance Measures Implemented (Preconstruction Phase)**

<b>Project Information</b>	<b>Project Name</b>			
	Location			
	Reporting Period			
	Prepared by	[Name, Position, Organization]		
	Date of Report	[Date]		
<b>Executive Summary</b>	Brief overview of report purpose and key findings regarding avoidance measures			
<b>Measures</b>	<b>Description</b>	<b>Implementation Status</b>	<b>Evidence</b>	<b>Comments/Adaptive Management</b>
Project Layout Adjustment	Avoidance of rich biodiversity areas.	[Details of actions taken]	[Maps, Geo-tag photographs, reports]	[Issues encountered, additional notes]
Timing of Activities	Scheduling to avoid critical periods (for example, breeding)	[Details of actions taken]	[Timetables, logs]	[Effectiveness, adjustments made]
Buffer Zone Creation (where ever applicable)	Establishing no-go zones/buffer areas.	[Details of actions taken]	[Maps, boundary markers]	[Enforcement, community awareness]

**Table 10. Mitigation Measures Implemented (construction phase)**

<b>Project Information</b>	<b>Project name</b>			
	Location			
	Reporting Period			
	Prepared by	[Name, Position, Organization]		
	Date of Report			
Executive Summary	Brief overview of report purpose and key findings regarding avoidance measures			
Mitigation measures	Description	Implementation Status	Evidence	Comments/Adaptive Management
Specific conditions from the SEIAA, MDB, MoEFCC, APPCB and other relevant authority (if applicable)		[Details of actions taken]	[Maps, geo-tag photographs, reports]	
Measures from BMP		[Details of actions taken]	[Timetables, logs]	
Annexure: Supporting Documents: [Attach relevant documents, such as permits, detailed maps, raw data, and so on.]				

## Annexure IV: Budget

**Table 11. Budget for Implementation of Mitigation Measures for Biodiversity Management and Conservation**

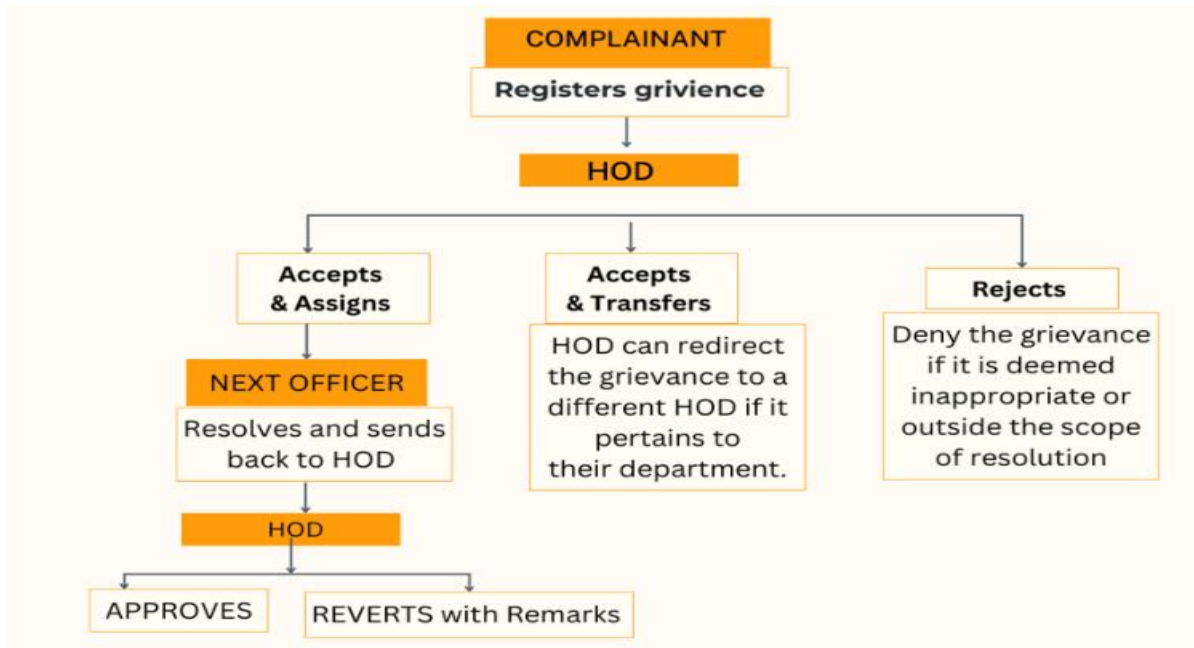
Item	Description	Quantity	Unit costs (Rs)	Time or years	Total costs (Rs)	Remarks
1. Screening and scoping, strategic planning						
Consultant fees	Hiring biodiversity experts for biodiversity assessment, strategic planning, and monitoring					
Field surveys	Conducting baseline surveys for flora and fauna.					
2. Conservation and mitigation						
Species conservation	Species-specific conservation plan.					
Afforestation	Planting native tree species in cleared areas.					
Soil conservation	Measures to conserve topsoil and maintain vegetation cover.					
Signage and map layouts	Creating and installing maps and signage for conservation zones and buffer areas.					
Waste management	Development and implementation of waste management plans.					
3. Monitoring and reporting						
Monitoring equipment	Equipment for monitoring biodiversity (for example, camera traps, GPS devices).					
Seasonal surveys	Conducting surveys during pre-monsoon and post monsoon season to monitor					



Item	Description	Quantity	Unit costs (Rs)	Time or years	Total costs (Rs)	Remarks
	biodiversity (preconstruction, during construction, and postconstruction phase).					
4. Training and awareness programs						
Workshops and training sessions	Organizing workshops for site engineers and workers on biodiversity conservation and management.					

## Annexure of SoP 6

### Annexure I: Workflow on Parishkram portal



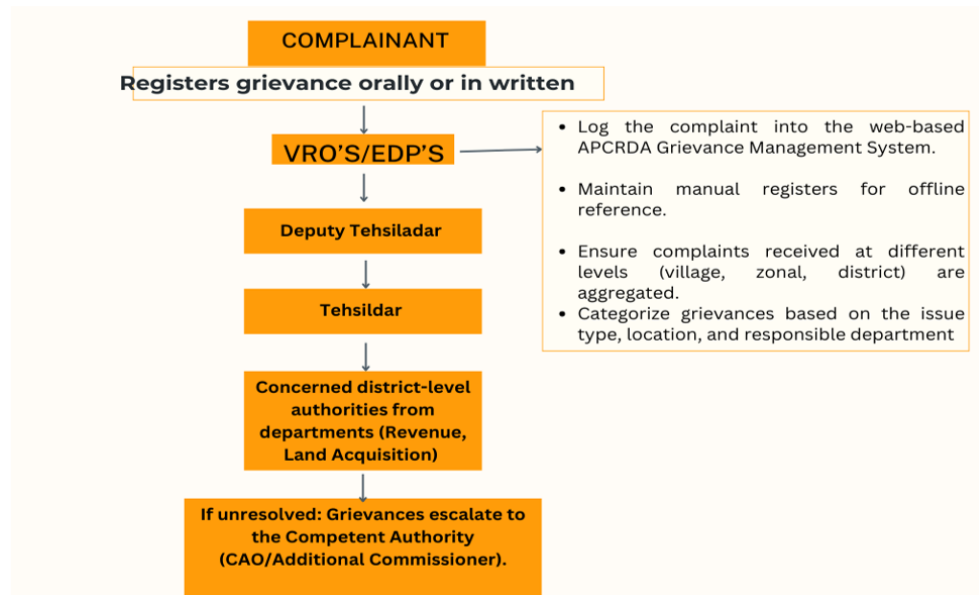
Annexure II: Escalation levels on Pariskaram portal:

**Parishkaram Portal - Escalation Levels**

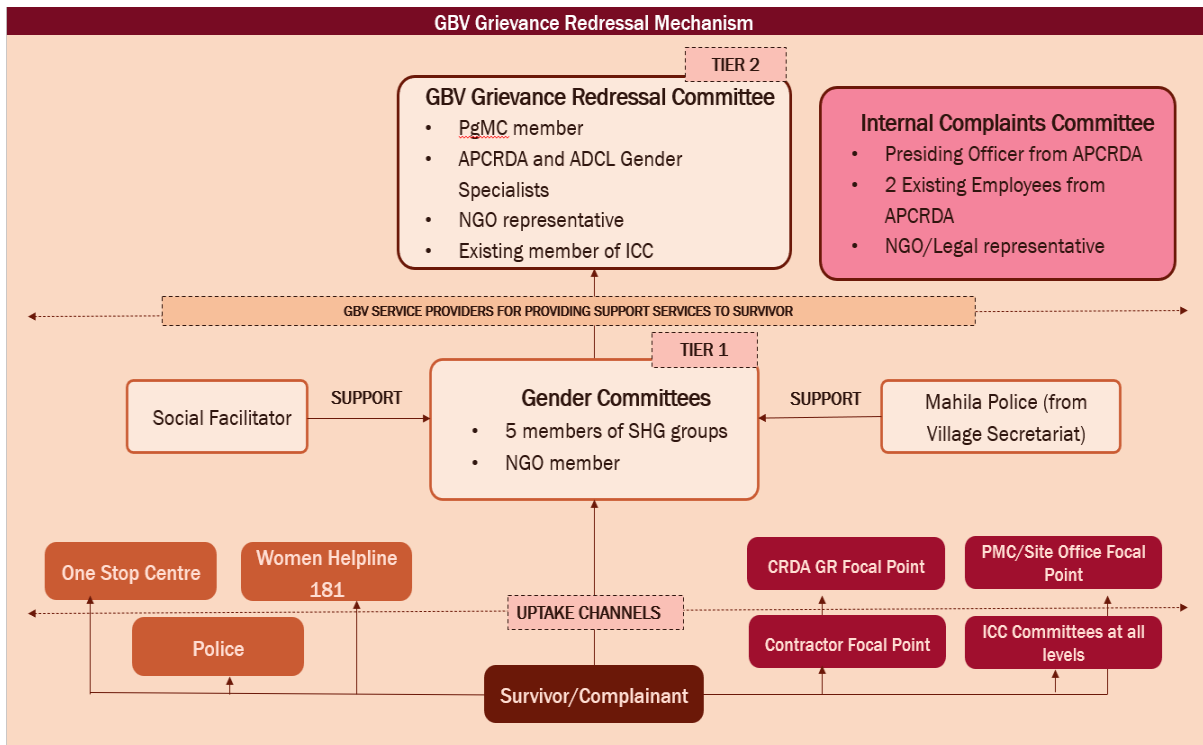
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<b>Escalation Level</b>	<b>Role</b>	<b>SLA</b>
<b>Level 1</b>	Citizen	Immediate
<b>Level 2</b>	Head of Department (HOD)	Within 3-5 days
<b>Level 3</b>	Assigned Officer	Within 7 days
<b>Level 4</b>	HOD Final Immediate	Within 3 days
<b>Level 5</b>	Citizen Notification	Immediate

### Annexure III: Workflow for Grievances received at APCRDA/Field units offices



## Annexure IV: Grievance Redressal Mechanism for addressing SEA/SH/GBV grievances



## Annexure V: Composition of tier-based mechanism for addressing GBV-related grievances

Tier-1	Tier-2	Internal Complaints Committees (ICC)
Gender Committee at project site	GBV GRM Committee at the APCRDA	Constitution as per Section 4 of POSH Act
6-member committee	5-member committee	
<p><i>Chaired by: Nominated</i></p> <p><i>Members:</i></p> <ul style="list-style-type: none"> <li>• 5 members of SHG groups</li> <li>• NGO Representative</li> </ul> <p><i>Supported by:</i></p> <ul style="list-style-type: none"> <li>• Social Facilitator</li> <li>• Mahila (Female) Police (Village Secretariat)</li> </ul>	<p><i>Chaired by: Nominated</i></p> <p><i>Members:</i></p> <ul style="list-style-type: none"> <li>• PgMC member</li> <li>• APCRDA Gender Specialist</li> <li>• ADCL Gender Specialist</li> <li>• NGO representative</li> <li>• ICC Representative</li> </ul>	<p>As mandated by POSH Act, ICC will be formed at all administrative levels (<i>APCRDA, PMC, PgMC, contractors with more than 10 employees</i>).</p>

## Annexure VI: Key players in addressing Grievances related to SEA/SH/GBV

Definition of Structures	
Internal Complaints Committee	Mandated by Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, every employer/establishment employing ten or more employees is required to constitute an Internal Complaints Committee (ICC) in order to provide a suitable redressal mechanism for cases concerning harassment at workplace
Gender Committee	Federation of Self Help Groups at the sub-village level formed under Society for Elimination Rural Poverty (SERP) and it exists at village level.
Social Facilitator	APCRDA Staff at the Village level
Mahila Police (Village Secretariat)	Female Police at the village secretariat level whose role is to help facilitate the survivor
One Stop Centre	A centrally-sponsored initiative to address gender-based violence by providing integrated support to women affected by violence through a range of services under one roof, police facilitation, medical aid, psychosocial counselling, legal support, and temporary shelter (5 days)
Women Helpline (181)	Provides emergency/non- emergency services or information regarding schemes/services to women or to anyone calling on her behalf.

**Annexure VII: Escalation mechanism based on the severity of GBV grievances.**

<b>Type of Grievance</b>	<b>Severity</b>	<b>Resolution Time</b>	<b>Investigating Team</b>
Eve Teasing	Low Risk	7 Days	Tier 1
Lewd Gesture	Low Risk	7 Days	Tier 1
Verbal Abuse	Medium Risk	4 Days	Tier 1
Physical Harassment	High Risk	2 Days	Tier 2
Sexual Abuse/Harassment	High Risk	2 Days	Tier 2
Rape	High Risk	2 Days	Tier 2
Sexual Harassment at workplace (as per POSH Act)	High Risk	2 Days	Concerned ICC

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