



ZAMBEZI RIVER AUTHORITY

Terms of Reference for a Consulting Firm

Environmental, Health, Safety, and Social Audit of the Kariba Dam Rehabilitation Project (KDRP)

1. Background

The Zambezi River Authority (“the Authority”), a corporation jointly and equally owned by the Governments of Zambia and Zimbabwe, is the Project Implementing Agent for the Kariba Dam Rehabilitation Project (KDRP). The Project is located in the Kariba Gorge of the Zambezi River basin between Siavonga and Kariba towns in Zambia and Zimbabwe respectively. The project development objective is to ensure long term safety and reliability of the Kairba Dam for continued contribution to the energy, security and economic prosperity in Contracting States and the region as a whole.

The Authority with the financial support from the African Development Bank (AFDB), European Union, Swedish Government and the World Bank is implementing the KDRP. The Project has three main components namely Plunge Pool reshaping, Spillway refurbishment and institutional strengthening.

Implementation of the Environmental and Social Management Plan (ESMP) is critical for safeguarding the quality of the environment and life of affected individuals and communities. The ESMP defines specific mitigation measures for addressing environmental and social impacts which are to be monitored and reported. In this regard, the KDRP Environmental and Social Impact Assessment (ESIA) and associated Environmental & Social Management Plans (ESMP) were prepared, and approved by Environmental Management Authorities of Zambia and Zimbabwe in 2016. The ESIA and associated ESMP were later updated in October 2020 to align with the prevailing circumstances at KDRP and changes to the project.

An independent Environmental, Health, Safety and Social (EHSS) audit is required to check the extent to which Environment, Health, Safety and Social requirements are implemented and to recommend improvement opportunities as necessary.

Key aspects that warrant an independent audit assessment include management of new and adverse environmental and social risk, such as water quality, aquatic biota and terrestrial fauna, COVID-19, Gender Based Violence (GBV), labour and working conditions, workers welfare, Occupational Health and Safety and Community Health and Safety among others.

2. Objective of the Assignment

The objective of the EHSS audit is:

- 1) To obtain an independent and objective review on the project's compliance to the ESMP of the project ESIA and the applicable safeguard policies of the World Bank, AfDB and regulations of the Governments of Zambia and Zimbabwe (described in the KDRP ESIA). The review of compliance shall also scope measures, procedures and agreements in place with contractors, and other agencies responsible for the KDRP.

3. Scope of Work

The Consultant will carry out an independent evaluation of the Environmental, Health, Safety and Social safeguards practices at the KDRP. The scope of the audit shall cover the activities of both the Plunge Pool and Spillway main Contractors (and subcontractors). The audit will look at all the project implementing entities' performance in implementing the ESMP and other applicable requirements, especially (but not limited to) the Contractors and Subcontractors.

Specific tasks

The Consultant will be expected to undertake the following key tasks:

- i. Review available relevant project reports
- ii. Develop an audit plan that will include audit objectives, scope, methodology, criteria and schedule, and prepare an audit protocol. The audit plan shall incorporate field visits to selected Project site locations as well as meetings involved and shall be shared with **the Authority** for review.
- iii. Conduct the audit as per the audit plan to analyse Project Environmental, Health, Safety and Social (EHSS) performance and compliance in relation to the ESIA/ESMP, regulations, as well any other plans defined with the Client, the Owner's Engineer and Contractors (Work Method Statements, internal audits reports, government audits).

- iv. Develop and submit an audit report and devise an Environmental, Health, Safety and Social (EHSS) Remedial Action Plan (RAP) with roles and responsibilities, implementation schedules and estimated budget.
- v. Prepare a report and present the findings to the Zambezi River Authority.

4. Methodology and/or Approach

In performing the EHSS audit, the consultant shall:

- ❖ Review available documentation including, Project ESIA and ESMP, Contract documents, Work Method Statements, Applicable legislations, Aide Memoires from Project Financiers, Reports from government/authorities, supervision reports, conduct at field visits to the Project Site to observe Health and Safety procedures, Environmental management practices, Social Safeguards.
- ❖ Conduct stakeholder engagement, and local surveys and interviews with workers, supervisors, the Authority team, contractors, selected community representatives, etc. These interviews will be done by the audit team. The Authority will help in the coordination as may be needed.

Audit Criteria

The audit criteria will be based on the following:

- The KDRP ESIA/ESMP with key focus on ESMP's sub-plans and areas highlighted under the background section of these terms of reference.
- The Plunge Pool and Spillway Environmental, Health and Social Contractual requirements as detailed the special conditions of the Contract.
- The World Bank and AfDB Environmental and Social Safeguards applicable to the Project.
- Relevant Zambian and Zimbabwean legislation in the sectors of water, ESIA, labor, waste management, hazardous waste, wildlife, biodiversity, mining, others as applicable.

- Other requirements pertaining to the activities of the Project as may be applicable for recommendations.

5. Reporting and Communication

All correspondences shall be addressed to the Chief Executive, Zambezi River Authority.

The Consultant will be required to submit reports, written in concise, clear and well-edited Standard English. Where need arises, the client may require the consultant to engage the services of an editor of which the costs shall be borne by the consultant.

The expected deliverables are as detailed in Tables below:

Deliverable	Duration
Inception report	Inception report within seven (7) calendar days after commencement and to be presented virtually, by day ten (10) after commencement. Final version to be completed, incorporating comments, three days.
Draft audit report	Seven (7) calendar days after presentation of the inception report.
Presentation of audit results to the Authority and KDRP Financiers and stakeholders. PowerPoint preparation	Two (2) calendar days after submission of the draft audit report.
Final audit report	Five (5) calendar days after presentation of audit results.

6. Obligations of the client

6.1. Data, Reports and Liaison

The client will **ASSIST** with the following data and reports **WHERE AVAILABLE**:

- i. Provide available copies of previous Feasibility Study reports, current feasibility study reports and other relevant documents.
- ii. The Client will provide liaison to ensure that the Consultant has access to all available information required for timely execution of the assignment.
- iii. Facilitate consultation with relevant stakeholders (Key stakeholders and communities).

6.2. Immigration and Residence Permits

The Client will provide the Consultant assistance required to obtain necessary immigration and residence work permits for the approved expatriate personnel where applicable. However, the responsibility remains with the Consultant.

7. Obligations of the Consultant

- i. The Consultant will mobilize a coherent, dynamic and organized professional team of experts with experience in similar assignments to undertake this assignment. The Consultant shall provide experts with the required qualifications and experience for the activities in the scope of services.

8. Consultant Qualifications and Required Expertise of Consultants' Key Personnel

The Consultant Firm should demonstrate capability in providing similar services

The Consulting Firm should demonstrate:

- i. Capability and evidence of having carried out similar audit work on at least 3 similar/related hydropower or other large infrastructure (roads, large bridges, mining) within the last five (5) years.
- ii. The consultant's key staff should comprise a team of experts with extensive experience from similar assignments, thus involving auditing of EHSS systems with hydropower or other major infrastructure/construction projects or related environments.
- iii. Ten (10) years of experience working in Africa and the countries of the project site.
- iv. Experience with World Bank, AfDB or other multilateral organizations standards through working at/with their funded projects is a distinct advantage.
- v. Consultant firm able to deploy all team members required in these Terms of Reference (ToRs) to travel and do fieldwork until assignment is completed.
- vi. Able to deliver high quality reports in English, presenting data collected in a comprehensive and professional format.

The key personnel should come from the following fields of expertise

5.1 Environmental Expert (Team leader)

- The environmental expert should have a minimum of master's degree in the field of Environmental Science/Studies, Environmental Engineering or related field.
- Minimum 10 years' post-grad experience working in major construction projects or similar/related assignments and settings.
- Experience with World Bank/AfDB or Multilateral Organizations' safeguards policies and standards; through working at/with their funded projects is a distinct advantage.
- Fluency in English required and excellent communication skills, both written and verbal.
- Environmental audit qualifications and experience with a reputable body/firm is required
- Experience in Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) implementation is key.

- Auditing experience with an accredited auditing/certification body is a distinct advantage

5.2 Occupational Health and Safety (OHS) Expert

- The Occupational Health and Safety expert should have a minimum of master's degree in the field of Environment, Health and Safety or related field.
- Minimum 10 years' post grad experience in OHS working in major construction Projects or similar/related assignments and settings.
- Experience with World Bank, AfDB or multilateral organizations' standards through working at/with their projects is a distinct advantage.
- Fluency in English required as well as excellent communication skills, both written and verbal.
- Occupational Health and Safety audit qualifications and experience with a reputable body/firm is required.
- Experience in Operational Risk Management is a distinct advantage.
- Auditing experience with an accredited auditing/certification body is a distinct advantage.

5.3 Social Expert

- The social expert should have a minimum of master's degree in the field of Humanities, Sociology, Social Work, Development Studies, Community Development or related field.
- Minimum 10 years' post-grad relevant experience with at least 5 years working in major construction projects or similar/related assignments and settings.
- Experience with World Bank/AfDB or multilateral organizations' standards through working at/with their projects is a distinct advantage.
- Fluency in English required and excellent communication skills, both written and verbal.
- Experience in Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) implementation.
- Auditing experience on similar or related assignments is a distinct advantage.

9. Duration of the assignment

The assignment shall be executed within one (i) calendar month from date of effectiveness of Contract.

The draft audit report will be jointly reviewed by the auditors and the Authority and shared with the KDRP Financiers before the final report is formally submitted. All reports shall be written and prepared in English and delivered in electronic and hard copies. The report must include photos of good quality, copies of records, maps and other records delivered to the Authority with the draft and final report.

10. Obligations of the client

11. Obligations of the consultant

- The Consultant shall conduct site visits within the audit agreed schedule (to be presented in the inception report).
- The consultant must follow the safety, health and security protocols in practice within the project area.
- Findings shall be discussed as per audit procedure prior to final audit report
- Transport will be provided only for Project site touring where necessary
- Travel to the site, printing, communication, internet, insurance for accidents, and other costs shall be considered in the financial proposal by the Consultant
- The Consultant shall have own accommodation arrangement, lunches, travel, and transport to/from site and considered these costs in the financial proposal
- Consultant must consider in its financial proposal cost of field work, consultations, meeting with the Authority, presentation of results, etc.
- The Authority shall provide working space and support to the audit team.
- The Contract signing date shall be the commencement date unless otherwise communicated in writing and attested by the Client.

The tools and stakeholder engagement arrangements for the audit purposes shall be reviewed and approved by Zambezi River Authority.

12. Ownership of Material

Documents developed and shared under this Consultancy shall be the property of the Zambezi River Authority.

13. Payment

The proposed payment schedule is as follows:

Deliverable	Description	Proposed payment
Inception report	This should be submitted after reviewing all the listed audit criteria documents and should explain methods, tools, proposed dates of field visits, meetings of organization, documentation review, proposed format of content report, etc.	10%
Draft audit report after onsite audit is conducted	Including findings of audit and in the format agreed and presentation of audit results to the Authority and KDRP Financiers and stakeholders. PowerPoint preparation	50%
Final audit report	Including findings of audit and in the format agreed, with photos, copies, records, etc.	40%

...THE END...