

UP Core Road Network

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1. **Procurement for the project will be carried out in accordance with the World Bank’s Procurement Regulations for IPF Borrowers, July 2016, Revised November 2017 and August 2018 and applicable to Investment Project Financing (IPF).** The project will be subject to the World Bank’s Anticorruption Guidelines, dated October 15, 2006, as revised in January 2011 and July 2016.
2. **A Project Procurement Strategy for Development (PPSD) has been prepared for the project.** Extensive market analysis has been carried out for different packages of procurement. Decisions on packages and lots are made to ensure adequate participation of bidders. Consultancy contracts are framed based on market research and packaging decided in terms of scope of services and period. Based on the needs assessment, the project has decided to use Government e Marketplace [GeM] for procurement of Goods up to US\$ 100,000 and as mentioned under National Procurement Procedures at para 9 below. Based on risk and market analysis, the procurement plan has been prepared to set out the selection methods to be followed by the Borrower during project implementation in the procurement of works, goods, IT system procurement, non-consulting and consulting services financed by the World Bank.
3. **The table below describes various procurement methods to be used for activities financed by the loan.** The thresholds (Table 11) indicated in apply to the initial 18-months of implementation period and are based on the procurement performance of the project; these thresholds may be subsequently modified.

Table 1: Procurement Thresholds

Procurement Approaches and Methods	Thresholds (US\$ equivalent)
Open international (works – including turnkey, supply and installation of plant and equipment and PPP)	> 40 million
Open national (works – including turnkey, supply and installation of plant and equipment and PPP)	> 100,000 and up to 40 million
Open international (goods, IT system, and non-consulting services)	> 3 million
Open national (goods, IT system, and non-consulting services)	> 100,000 and up to 3 million
National request for quotation (goods and works)	Up to 100,000
Direct selection	No threshold; For works, goods, non-consulting services and IT system procurement: According to paragraphs 6.8–6.10 of the Regulations; For consultants: According to paragraphs 7.13–7.15 of the Regulations
Shortlist of national consultants	Up to 800,000

4. **Procurement prior-review thresholds.** The World Bank will prior review the following contracts:
 - (a) Works (including turnkey, supply and installation of plant and equipment and PPP): All contracts more than US\$ 10 million equivalent
 - (b) Goods and IT system: All contracts more than US\$2 million equivalent
 - (c) Non-consulting services: All contracts more than US\$2 million equivalent
 - (d) Consultants: All contracts >US\$1 million equivalent for firms and >US\$300,000 equivalent for individuals
5. **The above thresholds are for the initial 18-month implementation period; based on the procurement performance of the project, these thresholds may be subsequently modified.** Even for large-value post review cases, the inputs of the World Bank on technical specifications will be obtained by the project. Irrespective of the thresholds, ToRs shall be prior reviewed by Bank. The prior review thresholds will also be indicated in the Procurement Plan. The Procurement Plan will be subsequently updated annually (or at any other time if required) and will reflect any change in the prior review thresholds. The details of National Procurement Procedures are outlined in the Procurement Plan, herein below at para 9.
6. **Prior review contract.** In the case of contracts subject to prior review, the Implementing Agencies will seek the World Bank's no objection before granting/agreeing to: (a) an extension of the stipulated time for performance of a contract that either increases the contract price or has an impact on the planned completion of the project; (b) any substantial modification of the scope of works, goods, non-consulting services, or consulting services and other significant changes to the terms and conditions of the contract; (c) any variation order or amendment (except in cases of extreme urgency) that, singly or combined with all variation orders or amendments previously issued, increases the original contract amount by more than 15 percent; and (d) the proposed termination of the contract. Complaints received in all prior review cases shall be sent to Bank for review and the response to the complaint in such cases, shall be cleared with the Bank. Complaints with allegations of fraud and corruption, shall be shared with Bank, irrespective of the thresholds.
7. **Disclosure of procurement information.** The following documents shall be disclosed on the project/state websites: (a) Procurement Plan and its updates; (b) an invitation for bids for procurement of works, goods, IT system procurement and non-consulting services; (c) request for expression of interest for selection/hiring of consulting services; (d) contract awards of works, goods, IT system procurement and non-consulting services procured following international and national procedures; (e) a list of contracts/purchase orders placed following RFQ (Request for Quotation) procedures on a quarterly basis; (f) a list of contracts following direct contracting (DC) on a quarterly basis; (g) an annual financial and physical progress report of all contracts; and (h) an action taken report on the complaints received on a quarterly basis.
8. **The following details shall be sent to the World Bank for publishing on the United Nations Development Business and the World Bank external website:** (a) Specific Procurement Notice (i.e. invitation for bids) for procurement of works, goods , IT system procurement and non-consulting services using open international procedures; (b) Requests for Expression of Interests above USD 800,000; (c) contract award details of all procurement of works, goods, IT system procurement and non-consulting services using open international procedure; and(d) a list of contracts/purchase orders placed following DC procedures on a quarterly basis. Further, the implementing agency will also publish on their websites any information required under the provisions of 'suo moto' disclosure as specified by the Right to Information Act.

9. National Procurement Procedures :

National competition for the procurement of works, goods, IT system procurement and non-consulting services according to the established thresholds will be conducted in accordance with paragraphs 5.3–5.5 of Section V of the Regulations and the following provisions:

- (a) Only the model bidding documents for National Competitive Procurement (NCP) agreed with the GOI Task Force (and as amended for time to time), shall be used for bidding.
- (b) Invitations to bid shall be advertised on a widely used website or electronic portal with free open access at least 30 days prior to the deadline for the submission of bids, unless otherwise agreed in the approved procurement plan.
- (c) No special preference will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state-owned enterprises, small-scale enterprises or enterprises from any given State.
- (d) Except with the prior concurrence of the Bank, there shall be no negotiation of price with the bidders, even with the lowest evaluated bidder.
- (e) Government e-Marketplace (GeM) set-up by Ministry of Commerce, Government of India will be acceptable for procurement under Request for Quotations (RFQ) method.
- (f) At the Borrower's request, the Bank may agree to the Borrower's use, in whole or in part, of its electronic procurement system, provided that the Bank is satisfied with the adequacy of such system.
- (g) Procurement will be open to eligible firms from any country. This eligibility shall be as defined under Section III of the Procurement Regulations. Accordingly, no bidder or potential bidder shall be declared ineligible for contracts financed by the Bank for reasons other than those provided in Section III of the Procurement Regulations.
- (h) The request for bids/request for proposals document shall require that Bidders/Proposers submitting Bids/Proposals include a signed acceptance in the bid, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank's Anti-Corruption Guidelines, including without limitation the Bank's right to sanction and the Bank's inspection and audit rights.
- (i) The Borrower shall use an effective complaints mechanism for handling procurement related complaints in a timely manner.
- (j) Procurement Documents will include provisions, as agreed with the Bank, intended to adequately mitigate against environmental, social (including sexual exploitation and abuse and gender-based violence), health and safety ("ESHS") risks and impacts.

10. Domestic preference. The provision of domestic preference will be applied in the evaluation of bids in accordance with Annex VI of the Regulations.

Name of the Project: Uttar Pradesh Core Road Network Development Project (P147864)

Allocated / Sanctioned Amount: Project yet to be negotiated

Procurement of Works, Goods (Supply and Installation; and IT Equipment), Non-Consultancy Services and Consultancy Services – As per procurement plan approved in STEP.

PROCUREMENT PLAN India : Uttar Pradesh Core Road Network Development Project

General Information
Country: India **Bank's Approval Date of the Original Procurement Plan:** 2016-11-08
Project ID: P147864 **Revised Plan Date(s): (comma delineated, leave blank if none)** 2019-12-09
Project Name: Uttar Pradesh Core Road Network Development Project **GFN Date:**
Loan / Credit No: / , IBRD / S9400
Executing Agency(ies): Uttar Pradesh Public Works Department (PWD)

WORKS																																		
Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Procurement Process	Prequalification (Y/N)	Estimated Amount (US\$)	Actual Amount (US\$)	Process Status	Draft Pre-qualification Documents		Prequalification Evaluation Report		Draft Bidding Document / Justification		Specific Procurement Notice / Invitation		Bidding Documents as Issued		Proposal Submission / Opening / Minutes		Bid Evaluation Report and Recommendation for Award		Signed Contract		Contract Completion							
											Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
											IN-UPPWD-44106-CW-RFB / Rehabilitation Construction of SH-51 Badaun-Bilisi-Bijnaur Road (From Km 58.400 to Km 137.820)	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		54,431,568.00	0.00	Canceled													
IN-UPPWD-44105-CW-RFB / Construction of SH-93 Gola Shahjahanpur Road (from Km 1.280 to Km 58.580)	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		50,951,282.00	0.00	Canceled																								
IN-UPPWD-44020-CW-RFB / Construction of SH-42 Hamirpur-Rath Road (from Km 2.060 to Km 76.500)	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		48,391,695.00	0.00	Canceled																								
UPCRNDP/UPG/04/2016 / Construction of SH-51 Badaun-Bilisi-Bijnaur Road	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		54,431,568.00	0.00	Canceled																								
UPCRNDP/UPG/01/2016 / Construction of SH-42 Hamirpur-Rath Road	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		48,391,695.00	0.00	Canceled																								
UPCRNDP/UPG/03/2016 / Construction of SH-93 Gola-Shahjahanpur Road	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		50,951,282.00	0.00	Canceled																								
IN-UPPWD-48710-CW-RFB / Engineering Procurement and Construction Contract for Up-gradation and Maintenance of Badaun-Bilisi-Bijnaur section of SH-51, from Km 58.400 to Km 137.820-UPG 04	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		48,800,000.00	48,444,429.96	Signed																								
IN-UPPWD-48718-CW-RFB / Engineering Procurement and Construction Contract for Up-gradation and Maintenance of Gola-Shahjahanpur section of SH-93, from Km 1.280 to Km 58.580-UPG 03	/	Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		51,343,000.00	51,765,918.08	Signed																								

IN-UPPWD-124129-CS-CQS / Hiring of Accounting Firm in U.P. Core Road Network Development Project from World Bank loan.	IBRD / 89400	Network Improvement	Post	Consultant Qualification Selection	Open - National		72,000.00	0.00	Under Implementation	2019-07-24	2019-08-24	2019-10-23						2019-12-22	2020-01-21	2022-01-20
IN-UPPWD-124136-CS-CQS / Hiring services of firm for carrying out base line (first) Road user /Customer Satisfaction Survey on designated roads of U.P. Core Road Network Development Project from World Bank loan .	IBRD / 89400	Network Improvement	Post	Consultant Qualification Selection	Open - National		58,000.00	0.00	Under Implementation	2019-07-24	2019-08-24	2019-10-23						2019-12-22	2020-01-21	2022-01-20
IN-UPPWD-148146-CS-QCBS / Consultancy Services for Independent Quality Auditor for UP Core Road Network Development Project proposed from World Bank Loan.	IBRD / 89400	Network Improvement	Post	Quality And Cost-Based Selection	Open - National		62,000.00	0.00	Pending Implementation	2019-12-09	2020-01-10	2020-02-24			2020-04-04	2020-04-24		2020-05-30	2020-06-29	2022-06-29

INDIVIDUAL CONSULTANTS

Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Contract Type	Estimated Amount (US\$)	Actual Amount (US\$)	Process Status	Terms of Reference		Invitation to Identified/Selected Consultant		Draft Negotiated Contract		Signed Contract		Contract Completion	
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
IN-UPPWD-5827-CS-INDV / Qualified individual consultant with expertise in relevant environmental field, who will work as a member of Environmental and Social Development Cell (ESDC) of PMU to support the activities of ESDC.	/	Network Improvement	Post	Individual Consultant Selection	Open		58,600.00	0.00	Canceled	2017-03-21	2017-05-23	2017-06-13			2017-07-18			2020-07-17	
IN-UPPWD-5834-CS-INDV / Qualified individual consultant with expertise in relevant social field, who will work as a member of Environmental and Social Development Cell (ESDC) of PMU to support the activities of ESDC.	/	Network Improvement	Post	Individual Consultant Selection	Open		58,600.00	0.00	Canceled	2017-03-21	2017-05-23	2017-06-13			2017-07-18			2020-07-17	
IN-UPPWD-61318-CS-INDV / Individual Consultant (IC) for the Consultancy Services to support the Environmental component under Environment and Social Development Cell (ESDC).	/	Network Improvement	Post	Individual Consultant Selection	Open		80,000.00	0.00	Under Implementation	2018-05-15	2018-08-11	2018-09-01			2018-10-06			2021-10-05	
IN-UPPWD-5834-CS-INDV-2 / Individual Consultant (IC) for the Consultancy Services to support the Social component under Environment and Social Development Cell (ESDC).	/	Network Improvement	Post	Individual Consultant Selection	Open		80,000.00	0.00	Under Implementation	2018-05-15	2018-08-11	2018-09-01			2018-10-06			2021-10-05	