

Procurement Plan for UP Core Road Network Development Project

I. General

1. **Project information:**

Country : India
Borrower : Republic of India
Project Name : UP Core Road Network Development Project
Loan No. :
Project Implementing Agency : UP PWD, UP Police, UP Transport Department (PIA), etc.

2. **Bank's approval Date of the procurement Plan Original** :as per STEP

3. **Date of General Procurement Notice**: 21st August 2015

4. **Period covered by this procurement plan**: Retroactive Financing

II. Goods and Works and non-consulting services

1. **Prior Review Threshold**: Procurement Decisions subject to Prior Review by the Bank as stated in Appendix 1 to the Guidelines for Procurement.

World Bank review of procurement: The World Bank will prior review (thresholds are based on “**Substantial**” rating, will be modified if risk rating is changed after assessment by Bank during the project implementation) the following contracts:

- a) Works including turnkey Supply & Installation of Plant and Equipment and PPP: All contracts more than US\$ 10 million equivalent
- b) Goods, Information Technology and Non-consulting Services: All contracts more than US\$ 2 million equivalent

First contract issued by implementing agency [IA] will be subject to prior review irrespective of their value. In addition, the justifications for all contracts to be issued on the basis of LIB, single-source or direct contracting will be subject to prior review. The above thresholds are for the initial 18 months implementation period; based on the procurement performance of the project these thresholds may be subsequently modified by Bank. **In case of Post Review contracts, the inputs of Bank on Technical Specifications will be obtained by project.** The procurement plan will be subsequently updated annually (or at any other time if required) and will reflect any change in prior review thresholds. The World Bank will carry out an annual ex-post procurement review of the procurement falling below the prior review thresholds provided above. To avoid any doubts, the Bank may conduct at any time Independent Procurement Reviews (IPRs) of all the contracts financed under the loan. Domestic preference is allowed only for Procurement of Goods and Information Technology and not for procurement of Works.

Category	Method of Procurement	Method Threshold (US\$ Equivalent)
Works	International Competitive Bidding (ICB)	> 40,000,000
	National Competitive Bidding (NCB)	Up to 40,000,000 (with NCB conditions)
	Shopping	Up to 100,000
	Direct Contracting (DC)	As per paragraph 3.7 of Guidelines
	Public-Private Partnership (PPP) for Works	As per paragraph 3.14 of Guidelines
	Force Account	As per paragraph 3.9 of Guidelines
	Framework Agreement (FA)	As per paragraph 3.6 of Guidelines
Goods and non-consultant services (NCS)	International Competitive Bidding (ICB)	> 3,000,000
	Limited International Bidding (LIB)	wherever agreed by Bank
	National Competitive Bidding (NCB)	Up to 3,000,000 (with NCB conditions)
	Shopping	Up to 100,000
	Direct Contracting (DC)	As per paragraph 3.7 of Guidelines
	Public-Private Partnership (PPP) Services	As per paragraph 3.14 of Guidelines
	Force Account (only for NCS)	As per paragraph 3.9 of Guidelines
	Framework Agreement (FA) ¹	As per paragraph 3.6 of Guidelines
	Procurement from United Nations (UN) Agencies	As per paragraph 3.10 of Guidelines

2. **Prequalification.** Pre-qualification is not envisaged for any package under the Project.
3. **Proposed Procedures for CDD Components (as per paragraph. 3.17 of the Guidelines):** Not Applicable
4. **Reference to (if any) Project Implementation Plan:** Not Applicable
5. **Retroactive Financing :** As per LA
6. **NCB Condition:** National competition for the procurement of goods and works according to the established thresholds will be conducted in accordance with paragraphs 3.3 & 3.4 of Section III of the Guidelines and the following provisions:

^{1/} DGS&D rate contracts may be used as framework agreement (FA) subject to the conditions mentioned under NCB conditions

- a) Only the model bidding documents for NCB agreed with the GoI Task Force (and as amended from time to time), shall be used for bidding;
- b) Invitations to bid shall be advertised in at least one widely circulated national daily newspaper (or on a widely used website or electronic portal with free national and international access along with an abridged version of the said advertisement published in a widely circulated national daily inter-alia giving the website/electronic portal details from which the details of the invitation to bid can be downloaded), at least 30 days prior to the deadline for the submission of bids;
- 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) Extension of bid validity shall not be allowed with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank (i) for the first request for extension if it is longer than four weeks; and (ii) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by Bank only in cases of Force Majeure and circumstances beyond the control of the Purchaser/Employer);
- f) Re-bidding shall not be carried out with reference to contracts subject to Bank prior review without the prior concurrence of the Bank. The system of rejecting bids outside a pre-determined margin or "bracket" of prices shall not be used in the project;
- g) Rate contracts entered into by Directorate General of Supplies and Disposals (DGS&D) will not be acceptable as a substitute for NCB procedures unless agreed with the Bank on case to case basis. Such contracts will be acceptable however for any procurement under the Shopping procedures;
- h) Use of DGS&D rate contracts as Framework Agreement must be reflected in the procurement plan agreed by the Bank for particular goods. Before issuing the purchasing order, the Bank will have to advise the government on carrying out a price analysis on the specific good that is intended to be purchased. If after this due diligence the borrower concludes [and Bank agrees] that the DGS&D rate contract is not suitable, then the borrower will have to proceed using NCB or shopping depending on the value. To meet the Bank's requirements for right to audit and F&C, these clauses may be included in the Purchase Orders [in case the purchasers are directly placing the purchase orders to DGS&D rate contract holders]. On the other hand, if indent is placed through DGS&D, the Purchaser has the option to sign a separate undertaking with DGS&D rate contract holder, where Bank's right to audit and F&C clauses could be mentioned.
- i) Two or three envelope system will not be used (except when using e-procurement system assessed and agreed by the Bank).

7. Procurement Packages with Methods and Time Schedule as per approved plan in STEP

III. Selection of Consultants

1. **Prior Review Threshold:** Selection decisions subject to Prior Review by Bank as stated in Appendix 1 to the Guidelines Selection and Employment of Consultants:

a) Consultancy Services for selection of firms : All contracts more than US\$ 1.0 million equivalent;

b) Consultancy services for selection of individuals: All contracts above US\$ 0.3 million.

c) First contract issued by implementing agency [IA] will be subject to prior review irrespective of their value. In addition, the justifications for all contracts to be issued on the basis of single-source or direct contracting will be subject to prior review. 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 by Bank. **In case of Post Review contracts, the inputs of Bank on TORs will be obtained by project.** The procurement plan will be subsequently updated annually (or at any other time if required) and will reflect any change in prior review thresholds. The World Bank will carry out an annual ex-post procurement review of the procurement falling below the prior review thresholds provided above. To avoid any doubts, the Bank may conduct at any time Independent Procurement Reviews (IPRs) of all the contracts financed under the loan.

	Selection Method	Method Threshold (USD)
Consultants' Services	Selection Based on Consultants' Qualifications (CQS)/Least-Cost Selection (LCS)	Up to 300,000
	Single-Source Selection (SSS)	As per paragraphs 3.9-3.11 of Guidelines
	Individuals	As per Section V of Guidelines
	Particular Types of Consultants	As per paragraphs 3.15-3.21 of Guidelines
	Quality- and Cost-Based Selection (QCBS)/ Quality-Based Selection (QBS)/ Selection under a Fixed Budget (FBS)	for all other cases
	(i) International shortlist (ii) Shortlist may comprise national consultants only	> 800,000 Up to 800,000

2. **Short list comprising entirely of national consultants:** Short list of consultants for services, estimated to cost less than US \$ 800,000 equivalent per contract, may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

3. **Any Other Special Selection Arrangements:**

First consultancy selection shall be prior reviewed irrespective of threshold.
Refer to sl. No. 4 under Section-II of the procurement plan

4. **Consultancy Assignments with Selection Methods and Time Schedule as per approved plan in STEP**

Procurement Plan for Goods, Works and Non-Consultancy Services

1	2	3	4	5	6	7	8	9	10
Sl. No.	Description of Goods / Works / Non consulting Services	Method of procurement	Unit	Quantity to be procured (Nos.)	Estimated unit cost (Rs. In million) INR	Estimated total cost (Rs in million) INR	Estimated total cost (in US\$ million)	Review By Bank	NIT Date
Works - Phase -I							Review Information		
1	Upgradation & Maintenance of Hamirpur-Rath Section of SH-42 (2.065 km to 76.500 km) UPCRNDP/UPG/01	ICB				2701	45.02	Prior	24 th Dec 14
2	Upgradation & Maintenance of Garautha-Chirgaon Section of SH-42 (118.600 km to 167.540 km) UPCRNDP/UPG /02	NCB				1961	32.68	Prior	26 th Dec 14
3	Upgradation & Maintenance of Gola-Shahjahanpur Section of SH-93 (1.280 km to 59.380 km) UPCRNDP/UPG/03	ICB				2981	49.68	Prior	1 st Jan 15
4	Upgradation & Maintenance of Badaun-Bilsi-Bijnaour Section of SH-51(58.400 km to 137.525 km) UPCRNDP/UPG/04	ICB				3035	50.58	Prior	16 th Jan 15
Works - Phase -II									

5	Upgradation & Maintenance of Rath-Garautha Section of SH-42 (Missing Link) UPCRNDP/UPG/05	NCB				1837	30.61	Prior	1 st March 16
6	Construction of Sharda Bridge UPCRNDP/UPG/06	ICB				4494	74.90	Prior	8 th March 16
7	Upgradation & Maintenance of Balrampur-Utraula-Faizabad Section of SH-26 and SH-9 UPCRNDP/UPG/07	ICB				4271	71.18	Prior	15 th March 16
Goods									
8	Procurement of Servers to host PMIS	Shopping/ DGS&D				8.64	0.14	Post	2 nd April 15
9	OS & Software licensing cost	Shopping/ DGS&D				5.00	0.83	Post	10 th April 15
10	Procurement of Desktops	Shopping/ DGS&D				1.44	0.02	Post	1 st May 15
11	Procurement of Notebooks	Shopping / DGS&D				1.62	0.28	Post	1 st May 15
12	Procurement of Printers /scanners/ UPS & other IT accessories	Shopping / DGS&D				2.00	0.03	Post	1 st May 15
Non Consulting Services									

First 18 months Procurement Plan for UP Core Road Network Development Project (UPCRNDP)

Procurement Plan for Consultancy Services

1	2	3	4	5	6	7	8	9
Sl. No.	Description of Services	Methods of selection	No of Units	Unit Cost (Rs. in million)	Estimated cost (Rs. in million)	Estimated cost (in million US\$)	Review by Bank	Planned Date of REoI
14	STQC certification				1.50	0.03	Post	1 st May 15
1	Hiring of Project Management Consulting Services (excluding Service tax)	QCBS			593.80	9.90	Prior	8 th Aug 14
15	Internet connectivity in 10 divisional & 3 circle offices				6.24	0.10	Post	1 st June 15
2	Hiring of services of Supervision consultant for Phase II roads	QCBS			400.00	6.67	Prior	1 st Oct 15
16	Hiring of firm/institution for Capacity building of PWD in LA and R&R	CQS			12.00	0.20	Post	1 st May 15
3	Consultancy for Board Use Satisfaction Surveys (Initial)				3.00	0.05	Post	2 nd Apr 15
4	Independent Quality Audit	QCBS			48.00	0.80	Prior	1 st Oct 15
5	Consultancy for Independent Social and Environment Reviewer	LCS			6.90	0.11	Post	30 th Sept 14
6	NGOs for RAP Implementation	LCS			7.00	0.11	Post	2 nd Sept. 14
7	Independent Consultant to support the Environment component under Environment and Social Development Cell	IC			3.75	0.06	Post	15 th Apr 15

8	Independent Consultant to support the Social component under Environment and Social Development Cell	IC			3.75	0.06	Post	15 th Apr 15
9	Individual Consultant for Sensitive Ecological Studies	IC			4.40	0.07	Post	15 th Apr 15
10	Gender Assessment	QCBS			18.00	0.30	Post	15 th Jun 15
11	Consultancy for Financial Management support	FBS			5.00	0.08	Post	2 nd Apr 15
12	Consultancy for Internal Auditor (Financial)	FBS			9.28	0.15	Post	1 st June 15

PROCUREMENT PLAN India : UP CORE ROAD NETWORK DEVELOPMENT PROGRAM

General Information
Country: India **Bank / Approval Date of the Original Procurement Plan:** 2016-11-08
Project ID: P147864 **Revised Plan Date(s): (comma delineated, leave blank if none)** 2017-04-27
Project Name: UP CORE ROAD NETWORK DEVELOPMENT PROGRAM **GPN Date:**
Loan / Credit No.:
Executing Agency(ies): Uttar Pradesh Public Works Department (PWD)

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
UPCRND/UPG01/2016 / 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	Under Implementation					2016-11-08	2016-11-11	2016-11-08	2016-11-24			2016-12-24	2017-01-03	2017-02-22		2017-04-21		2019-04-21	
UPCRND/UPG03/2016 / 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	Under Review					2016-11-08	2016-11-11	2016-11-08					2016-12-24	2017-02-22		2017-04-21		2019-04-21	
UPCRND/UPG04/2016 / Construction of SH-91 Badayun-Bisau-Bijnour Road		Network Improvement	Prior	Request for Bids	Open - International	Single Stage - One Envelope		54,431,569.00	0.00	Under Implementation					2016-11-08	2016-11-11	2016-11-08					2016-12-24	2017-02-22		2017-04-21		2019-04-21	

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

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

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		Expression of Interest Notice		Short List and Draft Request for Proposals		Request for Proposals as Issued		Opening of Technical Proposals / Minutes		Evaluation of Technical Proposal		Combined Evaluation Report and Draft Negotiated Contract		Signed Contract		Contract Completion	
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
IN-UPPWD-3670-CS-OCBS / Consultancy Services for Hiring Services of Independent Quality Auditor for U.P. Core Road Network Development Project		Network Improvement	Post	Quality And Cost-Based Selection	Open - National		71,500.00	0.00	Under Implementation	2016-11-30	2016-12-19	2017-01-09		2017-02-22				2017-03-24		2017-04-23		2017-06-06		2017-07-04		2020-01-02	

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	Pending Implementation	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	Pending Implementation	2017-03-21		2017-05-23		2017-06-13		2017-07-18		2020-07-17	