Request for Proposals
Consultancy Services

RFP No: Package: No. PPP/WB/RSHDP/TAC

Consulting Services for: Technical Audit Consultant for Verification of Disbursement Linked Indicator under Rajasthan State Highway Development Program-II (RSHDP-II)

Client: Public Works Department, Government of Rajasthan.

Country: India

Issued on: January 01, 2020

January, 2020
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PART I

Section 1. Request for Proposal Letter
Request for Proposal Letter

**Name of Assignment:** Technical Audit Consultant for Verification of Disbursement Linked Indicator under Rajasthan State Highway Development Program-II (RSHDP-II)

**RFP Reference No.:** PPP/WB/RSHDP/TAC

**Loan No./Credit No./ Grant No.:** Rajasthan State Highways Development Program II (P157141)

**Country:** India

**Date:** January 01, 2020

1. Lochan & Co  
   B-1, Dharma Apartment, I.P. Extension Delhi - 110092

2. Ernest & Young LLP  
   3rd & 6th floor, World Mark-1, IGI Airport Hospitality District, Aerocity, New Delhi-110037

3. LEA Associates South Asia P. Ltd.  
   B-1/E-27, Mohan Cooperative Industrial Estate, Mathura Road, New Delhi- 110044

4. IMC Worldwide Ltd.  
   64-68 London Road; Redhill, Surrey, RH1 1LG, United Kingdom

**Dear Mr. /Ms.:**

1. The Government of Rajasthan through Government of India (hereinafter called “Borrower”) has applied for financing from the World Bank (the “Bank”) in the form of a “loan” (hereinafter called “loan”) toward the cost of Rajasthan State Highways Development Program II (P157141). Public Works Department, an implementing agency of the Client, intends to apply a portion of the proceeds of this loan to eligible payments under the contract for which this Request for Proposals is issued. Payments by the Bank will be made only at the request of the Government of India and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan agreement. The loan agreement prohibits a withdrawal from the loan account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by a decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations. No party other than the Government on India shall derive any rights from the loan agreement or have any claims to the proceeds of the loan. The Client now invites proposals to provide the following consulting services (hereinafter called “Services”): **Technical Audit Consultant (TAC)**

   More details on the Services are provided in the Terms of Reference (Section 7).
2. This Request for Proposals (RFP) has been addressed to the following shortlisted Consultants:

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Name of Shortlisted Consultants:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Lochan &amp; Co B-1, Dharma Apartment, I.P. Extension Delhi - 110092</td>
</tr>
<tr>
<td>2.</td>
<td>Ernest &amp; Young LLP 3rd &amp; 6th floor, World Mark-1, IGI Airport Hospitality District, Aerocity, New Delhi-110037</td>
</tr>
<tr>
<td>3.</td>
<td>LEA Associates South Asia Pvt. Ltd. B-1/E-27, Mohan Cooperative Industrial Estate, Mathura Road, New Delhi-110044</td>
</tr>
<tr>
<td>4.</td>
<td>IMC Worldwide Ltd. 64-68 London Road; Redhill, Surrey, RH1 1LG, United Kingdom</td>
</tr>
</tbody>
</table>

3. It is not permissible to transfer this RFP to any other firm.

4. A firm will be selected under Quality and Cost Based Selection procedures and in a Full Technical Proposal (FTP) format as described in this RFP, in accordance with the Bank’s “Procurement Regulations for IPF Borrowers” July 2016 Revised November 2017 (“Procurement Regulations”), which can be found at the following website: www.worldbank.org

The RFP includes the following documents:

- Section 1 – Request for Proposals Letter
- Section 2 - Instructions to Consultants and Data Sheet
- Section 3 - Technical Proposal - Standard Forms
- Section 4 - Financial Proposal - Standard Forms
- Section 5 – Eligible Countries
- Section 6 – Fraud and Corruption
- Section 7 - Terms of Reference
- Section 8 - Standard Forms of Contract (Time-Based)

Please inform us by 06.01.2020, in writing at Office of Additional Chief Engineer(PPP) Nirman Bhawan, Jacob Road, Civil Lines, Jaipur -302006, Rajasthan, India, by facsimile +91 141 2223547, or by E-mail aceppp.pwd@rajasthan.gov.in:

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

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

6. Details on the proposal’s submission date, time and address are provided in ITC 17.7 and ITC 17.9.

Yours sincerely,

Vinod K Singh
Additional Chief Engineer (PPP)
Nirman Bhawan, Jacob Road
Civil Lines, Jaipur -302006, Rajasthan, India
Tele: +91 141 2223547
Email: aceppp.pwd@rajasthan.gov.in
Section 2. Instructions to Consultants and Data Sheet

Instructions to Consultants

A. General Provisions

1. Definitions

(a) “Affiliate(s)” means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.

(b) “Applicable Law” means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the Data Sheet, as they may be issued and in force from time to time.

(c) “Bank” means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).

(d) “Borrower” means the Government, Government agency or other entity that signs the loan/financing/grant agreement with the Bank.

(e) “Client” means the implementing agency that signs the Contract for the Services with the selected Consultant.

(f) “Consultant” means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.

(g) “Contract” means a legally binding written agreement signed between the Client and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices).

(h) “Data Sheet” means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific country and assignment conditions to supplement, but not to over-write, the provisions of

1 [“loan agreement” term is used for IBRD loans; “financing agreement” is used for IDA credits; and “grant agreement” is used for Recipient-Executed Trust Funds administered by IBRD or IDA]
the ITC.

(i) “Day” means a calendar day, unless otherwise specified as “Business Day”. A Business Day is any day that is an official working day of the Borrower. It excludes the Borrower’s official public holidays.

(j) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).

(k) “Government” means the government of the Client’s country.

(l) “in writing” means communicated in written form (e.g. by mail, e-mail, fax, including, if specified in the Data Sheet, distributed or received through the electronic-procurement system used by the Client) with proof of receipt;

(m) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.

(n) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant’s proposal.

(o) “ITC” (this Section 2 of the RFP) means the Instructions to Consultants that provides the shortlisted Consultants with all information needed to prepare their Proposals.

(p) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.

(q) “Proposal” means the Technical Proposal and the
Financial Proposal of the Consultant.

(r) “RFP” means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SPD - RFP.

(s) “SPD - RFP” means the Standard Procurement Document - Request for Proposals, which must be used by the Client as the basis for the preparation of the RFP.

(t) “Services” means the work to be performed by the Consultant pursuant to the Contract.

(u) “Sub-consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while the Consultant remains responsible to the Client during the whole performance of the Contract.

(v) “Terms of Reference (TORs)” (this Section 7 of the RFP) means the Terms of Reference that explains the objectives, scope of work, activities, and tasks to be performed, respective responsibilities of the Client and the Consultant, and expected results and deliverables of the assignment.

(w) “ESHS” means environmental, social (including sexual exploitation and abuse (SEA) and gender based violence (GBV)), health and safety.

2. Introduction

2.1 The Client named in the Data Sheet intends to select a Consultant from those listed in the Request for Proposals (RFP), in accordance with the method of selection specified in the Data Sheet.

2.2 The shortlisted Consultants are invited to submit a Technical Proposal and a Financial Proposal, or a Technical Proposal only, as specified in the Data Sheet, for consulting services required for the assignment named in the Data Sheet. The Proposal will be the basis for negotiating and ultimately signing the Contract with the selected Consultant.

2.3 The Consultants should familiarize themselves with the local conditions and take them into account in preparing their Proposals, including attending a pre-proposal conference if one is specified in the Data Sheet. Attending any such pre-proposal conference is optional.
and is at the Consultants’ expense.

2.4 The Client will timely provide, at no cost to the Consultants, the inputs, relevant project data, and reports required for the preparation of the Consultant’s Proposal as specified in the Data Sheet.

3. Conflict of Interest

3.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client’s interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

3.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the Bank.

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

a. Conflicting Activities

(i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting Assignments

(ii) Conflict among consulting assignments: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

c. Conflicting Relationships

(iii) Relationship with the Client’s staff: a Consultant (including its Experts and Sub-consultants) that has a
close business or family relationship with a professional staff of the Borrower (or of the Client, or of implementing agency, or of a recipient of a part of the Bank’s financing) who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) the supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Bank throughout the selection process and the execution of the Contract.

4. Unfair Competitive Advantage

4.1 Fairness and transparency in the selection process require that the Consultants or their Affiliates competing for a specific assignment do not derive a competitive advantage from having provided consulting services related to the assignment in question. To that end, the Client shall indicate in the Data Sheet and make available to all shortlisted Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.

5. Fraud and Corruption

5.1 The Bank requires compliance with the Bank’s Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework, as set forth in Section 6.

5.2 In further pursuance of this policy, Consultants shall permit and shall cause their agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and their personnel, to permit the Bank to inspect all accounts, records and other documents relating to any shortlisting process, Proposal submission, and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.

6. Eligibility

6.1 The Bank permits consultants (individuals and firms, including Joint Ventures and their individual members) from all countries to offer consulting services for Bank-financed projects.

6.2 Furthermore, it is the Consultant’s responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility
requirements as established by the Bank in the applicable Procurement Regulations.

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

a. Sanctions 6.3.1 A Consultant that has been sanctioned by the Bank, pursuant to the Bank’s Anti-Corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework as described in Section VI, Fraud and Corruption, paragraph 2.2 d., shall be ineligible to be shortlisted for, submit proposals for, or be awarded a Bank-financed contract or benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall have determined. The list of debarred firms and individuals is available at the electronic address specified in the PDS.

b. Prohibitions 6.3.2 Firms and individuals of a country or goods manufactured in a country may be ineligible if so indicated in Section 5 (Eligible Countries) and:

(a) as a matter of law or official regulations, the Borrower’s country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or

(b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower’s Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

c. Restrictions for State-Owned Enterprises 6.3.3 State-owned enterprises or institutions in the Borrower’s country may be eligible to compete and be awarded a contract only if they can establish, in a manner acceptable to the Bank, that they: (i) are legally and financially autonomous, (ii) operate under commercial law, and (iii) are not under supervision of the Client.

d. Restrictions for Public Employees 6.3.4 Government officials and civil servants of the Borrower’s country are not eligible to be included as
Experts, individuals, or members of a team of Experts in the Consultant’s Proposal unless:

(i) the services of the government official or civil servant are of a unique and exceptional nature, or their participation is critical to project implementation; and

(ii) their hiring would not create a conflict of interest, including any conflict with employment or other laws, regulations, or policies of the Borrower.

e. Borrower Debarment

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

B. Preparation of Proposals

7. General Considerations

7.1 In preparing the Proposal, the Consultant is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.

8. Cost of Preparation of Proposal

8.1 The Consultant shall bear all costs associated with the preparation and submission of its Proposal, and the Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Consultant.

9. Language

9.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Consultant and the Client, shall be written in the language(s) specified in the Data Sheet.

10. Documents Comprising the Proposal

10.1 The Proposal shall comprise the documents and forms listed in the Data Sheet.

10.2 If specified in the Data Sheet, the Consultant shall include a statement of an undertaking of the Consultant to observe, in competing for and executing a contract, the
10.3 The Consultant shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).

11. Only One Proposal

11.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude a Sub-consultant, or the Consultant’s staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the Data Sheet.

12. Proposal Validity

12.1 The Data Sheet indicates the period during which the Consultant’s Proposal must remain valid after the Proposal submission deadline.

12.2 During this period, the Consultant shall maintain its original Proposal without any change, including the availability of the Key Experts, the proposed rates and the total price.

12.3 If it is established that any Key Expert nominated in the Consultant’s Proposal was not available at the time of Proposal submission or was included in the Proposal without his/her confirmation, such Proposal shall be disqualified and rejected for further evaluation, and may be subject to sanctions in accordance with ITC 5.

a. Extension of Validity Period

12.4 The Client will make its best effort to complete the negotiations and award the contract within the proposal’s validity period. However, should the need arise, the Client may request, in writing, all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals’ validity.

12.5 If the Consultant agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal and with the confirmation of the availability of the Key Experts, except as provided in ITC
12.7. The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.

b. Substitution of Key Experts at Validity Extension

12.7 If any of the Key Experts become unavailable for the extended validity period, the Consultant shall seek to substitute another Key Expert. The Consultant shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a substitute Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.

12.8 If the Consultant fails to provide a substitute Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Client, such Proposal will be rejected with the prior Bank’s no objection.

c. Sub-Contracting

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

13. Clarification and Amendment of RFP

13.1 The Consultant may request a clarification of any part of the RFP during the period indicated in the Data Sheet before the Proposals’ submission deadline. Any request for clarification must be sent in writing, or by standard electronic means, to the Client’s address indicated in the Data Sheet. The Client will respond in writing, or by standard electronic means, and will send written copies of the response (including an explanation of the query but without identifying its source) to all shortlisted Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:

13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment in writing or by standard electronic means. The amendment shall be sent to all shortlisted Consultants and will be binding on them. The shortlisted Consultants shall acknowledge receipt of all amendments in writing.

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

13.2 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.

14. Preparation of Proposals Specific Considerations

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

14.1.1 If a shortlisted Consultant considers that it may enhance its expertise for the assignment by associating with other consultants in the form of a Joint Venture or as Sub-consultants, it may do so with either (a) non-shortlisted Consultant(s), or (b) shortlisted Consultants if permitted in the Data Sheet. In all such cases a shortlisted Consultant must obtain the written approval of the Client prior to the submission of the Proposal. When associating with non-shortlisted firms in the form of a joint venture or a sub-consultancy, the shortlisted Consultant shall be a lead member. If shortlisted Consultants associate with each other, any of them can be a lead member.

14.1.2 The Client may indicate in the Data Sheet the estimated Key Experts’ time input (expressed in person-month) or the Client’s estimated total cost of the assignment, but not both. This estimate is indicative and the Proposal shall be based on the Consultant’s own estimates for the same.

14.1.3 If stated in the Data Sheet, the Consultant shall include in its Proposal at least the same time input (in the same unit as indicated in the Data Sheet) of Key Experts, failing which the Financial Proposal will be adjusted for the purpose of comparison of proposals and decision for award in accordance with the procedure in the Data Sheet.

14.1.4 For assignments under the Fixed-Budget selection method, the estimated Key Experts’ time input is not disclosed. Total available budget, with an indication whether it is inclusive or exclusive of
Section 2. Instructions to Consultants (ITC)

19. The financial information contained in the Project is given in the Data Sheet, and the Financial Proposal shall not exceed this budget.

15. Technical Proposal Format and Content

15.1 The Technical Proposal shall be prepared using the Standard Forms provided in Section 3 of the RFP and shall comprise the documents listed in the Data Sheet. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.

15.1.1 Consultant shall not propose alternative Key Experts. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal non-responsive.

15.2 Depending on the nature of the assignment, the Consultant is required to submit a Full Technical Proposal (FTP), or a Simplified Technical Proposal (STP) as indicated in the Data Sheet and using the Standard Forms provided in Section 3 of the RFP.

16. Financial Proposal

16.1 The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including (a) remuneration for Key Experts and Non-Key Experts, (b) reimbursable expenses indicated in the Data Sheet.

a. Price Adjustment

16.2 For assignments with a duration exceeding 18 months, a price adjustment provision for foreign and/or local inflation for remuneration rates applies if so stated in the Data Sheet.

b. Taxes

16.3 The Consultant and its Sub-consultants and Experts are responsible for meeting all tax liabilities arising out of the Contract unless stated otherwise in the Data Sheet. Information on taxes in the Client’s country is provided in the Data Sheet.

c. Currency of Proposal

16.4 The Consultant may express the price for its Services in the currency or currencies as stated in the Data Sheet. If indicated in the Data Sheet, the portion of the price representing local cost shall be stated in the national currency.

d. Currency of Payment

16.5 Payment under the Contract shall be made in the currency or currencies in which the payment is requested in the Proposal.
C. Submission, Opening and Evaluation

17. Submission, Sealing, and Marking of Proposals

17.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as “CONFIDENTIAL” information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission can be done by mail or by hand. If specified in the Data Sheet, the Consultant has the option of submitting its Proposals electronically.

17.2 An authorized representative of the Consultant shall sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal and shall initial all pages of both. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.

17.2.1 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member’s authorized representative.

17.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.

17.4 The signed Proposal shall be marked “ORIGINAL”, and its copies marked “COPY” as appropriate. The number of copies is indicated in the Data Sheet. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.

17.5 The original and all the copies of the Technical Proposal shall be placed inside a sealed envelope clearly marked “TECHNICAL PROPOSAL”, “[Name of the Assignment]“, [reference number], [name and address of the Consultant], and with a warning “DO NOT OPEN UNTIL [INSERT THE DATE AND THE TIME OF THE TECHNICAL PROPOSAL SUBMISSION DEADLINE].”

17.6 Similarly, the original Financial Proposal (if required for
Section 2. Instructions to Consultants (ITC)

17.7 The sealed envelopes containing the Technical and Financial Proposals shall be placed into one outer envelope and sealed. This outer envelope shall be addressed to the Client and bear the submission address, RFP reference number, the name of the assignment, the Consultant’s name and the address, and shall be clearly marked “Do Not Open Before [insert the time and date of the submission deadline indicated in the Data Sheet]”.

17.8 If the envelopes and packages with the Proposal are not sealed and marked as required, the Client will assume no responsibility for the misplacement, loss, or premature opening of the Proposal.

17.9 The Proposal or its modifications must be sent to the address indicated in the Data Sheet and received by the Client no later than the deadline indicated in the Data Sheet, or any extension to this deadline. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.

18. Confidentiality

18.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultant should not contact the Client on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Consultants who submitted the Proposals or to any other party not officially concerned with the process, until the Notification of Intention to Award the Contract. Exceptions to this ITC are where the Client notifies Consultants of the results of the evaluation of the Technical Proposals.

18.2 Any attempt by shortlisted Consultants or anyone on behalf of the Consultant to influence improperly the Client in the evaluation of the Proposals or Contract award decisions may result in the rejection of its Proposal, and may be subject to the application of prevailing Bank’s sanctions procedures.
18.3 Notwithstanding the above provisions, from the time of the Proposals’ opening to the time of Contract award publication, if a Consultant wishes to contact the Client or the Bank on any matter related to the selection process, it shall do so only in writing.

19. Opening of Technical Proposals

19.1 The Client’s evaluation committee shall conduct the opening of the Technical Proposals in the presence of the shortlisted Consultants’ authorized representatives who choose to attend (in person, or online if this option is offered in the Data Sheet). The opening date, time and the address are stated in the Data Sheet. The envelopes with the Financial Proposal shall remain sealed and shall be securely stored with a reputable public auditor or independent authority until they are opened in accordance with ITC 23.

19.2 At the opening of the Technical Proposals the following shall be read out: (i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members; (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; (iii) any modifications to the Proposal submitted prior to proposal submission deadline; and (iv) any other information deemed appropriate or as indicated in the Data Sheet.

20. Proposals Evaluation

20.1 Subject to provision of ITC 15.1, the evaluators of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded and the Bank issues its “no objection”, if applicable.

20.2 The Consultant is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under ITC 12.7. While evaluating the Proposals, the Client will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.

21. Evaluation of Technical Proposals

21.1 The Client’s evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in the Data Sheet. Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated
22. Financial Proposals for QBS

22.1 Following the ranking of the Technical Proposals, when the selection is based on quality only (QBS), the top-ranked Consultant is invited to negotiate the Contract.

22.2 If Financial Proposals were invited together with the Technical Proposals, only the Financial Proposal of the technically top-ranked Consultant is opened by the Client’s evaluation committee. All other Financial Proposals are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed.

23. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods)

23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following:

(i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score;

(ii) provide information relating to the Consultant’s overall technical score, as well as scores obtained for each criterion and sub-criterion;

(iii) their Financial Proposals will be returned unopened after completing the selection process and Contract signing; and

(iv) notify them of the date, time and location of the public opening of the Financial Proposals and invite them to attend.

23.2 The Client shall simultaneously notify in writing those Consultants whose Proposals were considered responsive to the RFP and TOR, and that have achieved the minimum qualifying technical score, advising them the following:

(i) their Proposal was responsive to the RFP and TOR and met the minimum qualifying technical score;

(ii) provide information relating to the Consultant’s overall technical score, as well as scores obtained
for each criterion and sub-criterion;

(iii) their Financial Proposal will be opened at the public opening of Financial Proposals; and

(iv) notify them of the date, time and location of the public opening and invite them for the opening of the Financial Proposals.

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

23.4 The Consultant’s attendance at the opening of the Financial Proposals (in person, or online if such option is indicated in the Data Sheet) is optional and is at the Consultant’s choice.

23.5 The Financial Proposals shall be opened publicly by the Client’s evaluation committee in the presence of the representatives of the Consultants and anyone else who chooses to attend. Any interested party who wishes to attend this public opening should contact the client as indicated in the Data Sheet. Alternatively, a notice of the public opening of Financial Proposals may be published on the Client’s website, if available. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud. The Financial Proposals will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded. Copies of the record shall be sent to all Consultants who submitted Proposals and to the Bank.

24. Correction of Errors

24.1 Activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, and no corrections are made to the Financial Proposal.

a. Time-Based Contracts

24.1.1 If a Time-Based contract form is included in the RFP, the Client’s evaluation committee will (a) correct any computational or arithmetical errors, and (b) adjust the prices if they fail to reflect all inputs included for the respective activities or items included in the Technical Proposal. In case
of discrepancy between (i) a partial amount (sub-
total) and the total amount, or (ii) between the
amount derived by multiplication of unit price
with quantity and the total price, or (iii) between
words and figures, the former will prevail. In case
of discrepancy between the Technical and
Financial Proposals in indicating quantities of
input, the Technical Proposal prevails and the
Client’s evaluation committee shall correct the
quantification indicated in the Financial Proposal
so as to make it consistent with that indicated in
the Technical Proposal, apply the relevant unit
price included in the Financial Proposal to the
corrected quantity, and correct the total Proposal
cost.

b. Lump-Sum
Contracts

24.1.2 If a Lump-Sum contract form is included in the RFP,
the Consultant is deemed to have included all prices
in the Financial Proposal, so neither arithmetical
corrections nor price adjustments shall be made. The
total price, net of taxes understood as per ITC 25,
specified in the Financial Proposal (Form FIN-1)
shall be considered as the offered price. Where there
is a discrepancy between the amount in words and
the amount figures, the amount in words shall
prevail.

25. Taxes

25.1 The Client’s evaluation of the Consultant’s Financial
Proposal shall exclude taxes and duties in the Client’s
country in accordance with the instructions in the Data
Sheet.

26. Conversion to
Single Currency

26.1 For the evaluation purposes, prices shall be converted to
a single currency using the selling rates of exchange,
source and date indicated in the Data Sheet.

27. Combined
Quality and Cost
Evaluation

a. Quality and
Cost-Based
Selection (QCBS)

27.1 In the case of QCBS, the total score is calculated by
weighting the technical and financial scores and adding
them as per the formula and instructions in the Data
Sheet. The Consultant with the Most Advantageous
Proposal, which is the Proposal that achieves the highest
combined technical and financial scores, will be invited
for negotiations.
b. Fixed-Budget Selection (FBS)  
27.2 In the case of FBS, those Proposals that exceed the budget indicated in ITC 14.1.4 of the Data Sheet shall be rejected.

27.3 The Client will select the Consultant with the Most Advantageous Proposal, which is the highest-ranked Technical Proposal that does not exceed the budget indicated in the RFP, and invite such Consultant to negotiate the Contract.

c. Least-Cost Selection  
27.4 In the case of Least-Cost Selection (LCS), the Client will select the Consultant with the Most Advantageous Proposal, which is the Proposal with the lowest evaluated total price among those Proposals that achieved the minimum qualifying technical score, and invite such a Consultant to negotiate the Contract.

D. Negotiations and Award

28. Negotiations  
28.1 The negotiations will be held at the date and address indicated in the Data Sheet with the Consultant’s representative(s) who must have written power of attorney to negotiate and sign a Contract on behalf of the Consultant.

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

a. Availability of Key Experts  
28.3 The invited Consultant shall confirm the availability of all Key Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with ITC 12. Failure to confirm the Key Experts’ availability may result in the rejection of the Consultant’s Proposal and the Client proceeding to negotiate the Contract with the next-ranked Consultant.

28.4 Notwithstanding the above, the substitution of Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall offer a substitute Key Expert within the period of time specified in the letter of invitation to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.

b. Technical  
28.5 The negotiations include discussions of the Terms of
Negotiations

Reference (TORs), the proposed methodology, the Client’s inputs, the special conditions of the Contract, and finalizing the “Description of Services” part of the Contract. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.

c. Financial Negotiations

28.6 The negotiations include the clarification of the Consultant’s tax liability in the Client’s country and how it should be reflected in the Contract.

28.7 If the selection method included cost as a factor in the evaluation, the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.

28.8 In the case of a Time-Based contract, unit rates negotiations shall not take place, except when the offered Key Experts and Non-Key Experts’ remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Client may ask for clarifications and, if the fees are very high, ask to change the rates after consultation with the Bank. The format for (i) providing information on remuneration rates in the case of Quality Based Selection; and (ii) clarifying remuneration rates’ structure under this Clause, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.

29. Conclusion of Negotiations

29.1 The negotiations are concluded with a review of the finalized draft Contract, which then shall be initialed by the Client and the Consultant’s authorized representative.

29.2 If the negotiations fail, the Client shall inform the Consultant in writing of all pending issues and disagreements and provide a final opportunity to the Consultant to respond. If disagreement persists, the Client shall terminate the negotiations informing the Consultant of the reasons for doing so. After having obtained the Bank’s no objection, the Client will invite the next-ranked Consultant to negotiate a Contract. Once the Client commences negotiations with the next-ranked Consultant, the Client shall not reopen the earlier negotiations.

30. Standstill Period

30.1 The Contract shall not be awarded earlier than the expiry of the Standstill Period. The Standstill Period shall be ten (10) Business Days unless extended in accordance with ITC 33. The Standstill Period commences the day after the date the
Client has transmitted to each Consultant (that has not already been notified that it has been unsuccessful) the Notification of Intention to Award the Contract. Where only one Proposal is submitted, or if this contract is in response to an emergency situation recognized by the Bank, the Standstill Period shall not apply.

31. Notification of Intention to Award

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

(a) the name and address of the Consultant with whom the client successfully negotiated a contract;

(b) the contract price of the successful Proposal;

(c) the names of all Consultants included in the short list, indicating those that submitted Proposals;

(d) where the selection method requires, the price offered by each Consultant as read out and as evaluated;

(e) the overall technical scores and scores assigned for each criterion and sub-criterion to each Consultant;

(f) the final combined scores and the final ranking of the Consultants;

(g) a statement of the reason(s) why the recipient’s Proposal was unsuccessful, unless the combined score in (f) above already reveals the reason;

(h) the expiry date of the Standstill Period; and

(i) instructions on how to request a debriefing and/or submit a complaint during the Standstill Period.

32. Notification of Award

32.1 Upon expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period, the Client shall, send a notification of award to the successful Consultant, confirming the Client’s intention to award the Contract to the successful Consultant and requesting the successful Consultant to sign and return the draft negotiated Contract within eight (8) Business Days from the date of receipt of such notification. If specified in the Data Sheet, the client shall simultaneously request the successful Consultant to submit, within eight (8)
Business Days, the Beneficial Ownership Disclosure Form.

**Contract Award Notice**

Within ten (10) Business Days from the date of notification of award such request, the Client shall publish the Contract Award Notice which shall contain, at a minimum, the following information:

(a) name and address of the Client;

(b) name and reference number of the contract being awarded, and the selection method used;

(c) names of the consultants that submitted proposals, and their proposal prices as read out at financial proposal opening, and as evaluated;

(d) names of all Consultants whose Proposals were rejected or were not evaluated, with the reasons therefor;

(e) the name of the successful consultant, the final total contract price, the contract duration and a summary of its scope; and.

(f) successful Consultant’s Beneficial Ownership Disclosure Form, if specified in Data Sheet ITC 32.1.

32.2 The Contract Award Notice shall be published on the Client’s website with free access if available, or in at least one newspaper of national circulation in the Client’s Country, or in the official gazette. The Client shall also publish the contract award notice in UNDB online.

33. **Debriefing by the Client**

33.1 On receipt of the Client’s Notification of Intention to Award referred to in ITC 31.1, an unsuccessful Consultant has three (3) Business Days to make a written request to the Client for a debriefing. The Client shall provide a debriefing to all unsuccessful Consultants whose request is received within this deadline.

33.2 Where a request for debriefing is received within the deadline, the Client shall provide a debriefing within five (5) Business Days, unless the Client decides, for justifiable reasons, to provide the debriefing outside this timeframe. In that case, the standstill period shall automatically be extended until five (5) Business Days after such debriefing is provided. If more than one debriefing is so delayed, the standstill period shall not end earlier than five (5) Business Days after the last debriefing takes place. The Client shall
promptly inform, by the quickest means available, all Consultants of the extended standstill period.

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

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

34. Signing of Contract

34.1 The Contract shall be signed prior to the expiration of the Proposal Validity Period and promptly after expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period.

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

35. Procurement Related Complaint

35.1 The procedures for making a Procurement-related Complaint are as specified in the Data Sheet.
## Section 2. Instructions to Consultants

### E. Data Sheet

<table>
<thead>
<tr>
<th>ITC Reference</th>
<th>A. General</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (b)</td>
<td>The Contract shall be construed in accordance with the law of India.</td>
</tr>
</tbody>
</table>
| 1 (l)          | **Electronic –Procurement System**  
The Client shall use the following electronic-procurement system to manage this Request for Proposals (RFP) process:  
http://eproc.rajasthan.gov.in  
The electronic-procurement system shall be used to manage the following part of the RFP process:  
Issuing RFP, submissions of Proposals, opening of Proposals etc. and insert such additional information in this Data Sheet as is required to describe these processes |

| 2.1            | **Name of the Client:** Public Works Department, Government of Rajasthan.  
**Method of selection:** Quality and Cost based Selection method (80:20) as per the Procurement Regulations (available on www.worldbank.org) |
| 2.2            | **Financial Proposal to be submitted together with Technical Proposal:**  
Yes (Financial Proposal to be submitted online only)  
**The name of the assignment is:** Technical Audit Consultant for Verification of Disbursement Linked Indicator under Rajasthan State Highway Development Program-II (RSHDP-II) {Package: No. PPP/WB/RSHDP/TAC} |
| 2.3            | **A pre-proposal conference will be held:** No  
If any query, the same can be submitted as per following details  
Last date of submission of Query : January 08, 2020  
Time: 11:30 AM  
Address: Office of Additional Chief Engineer (PPP)  
Nirman Bhawan, Jacob Road |
Civil Lines, Jaipur -302006, Rajasthan, India
Telephone/ Facsimile: +91 141 2223547
E-mail: aceppp.pwd@rajasthan.gov.in
Contact person/conference coordinator: Mr. Vinod K Singh, Additional Chief Engineer (PPP).

### 2.4 The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals:
Any information related to Project, if required by the Consultant up to pre-proposal conference.

### 4.1 Not Applicable

### 6.3.1 A list of debarred firms and individuals is available at the Bank’s external website: [www.worldbank.org/debarr](http://www.worldbank.org/debarr)

## B. Preparation of Proposals

### 9.1 This RFP has been issued in the English language. Proposals shall be submitted in English language.
All correspondence exchange shall be in English language.

### 10.1 The Proposal shall comprise the following:
1st Inner Envelope with the Technical Proposal (online only):

1. Power of Attorney to sign the Proposal
2. TECH-1
3. TECH-2
4. TECH-3
5. TECH-4
6. TECH-5
7. TECH-6
8. TECH-7 Code of Conduct (ESHS) [The Consultant shall submit the Code of Conduct that will apply to the Consultant’s Key Experts and Non-Key Experts, to ensure compliance with good Environmental, Social, Health and Safety (ESHS) practice. In
addition, the Consultant shall submit an outline of how this Code of Conduct will be implemented. The successful Consultant shall be required to implement the agreed Code of Conduct upon contract award.]

AND

2nd Inner Envelope with the Financial Proposal: (Online Only)

(1) FIN-1
(2) FIN-2
(3) FIN-3
(4) FIN-4
(5) Statement of Undertaking (if required under Data Sheet 10.2 below)

<table>
<thead>
<tr>
<th>10.2</th>
<th>Statement of Undertaking is required</th>
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<tbody>
<tr>
<td></td>
<td>Yes</td>
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</table>

<table>
<thead>
<tr>
<th>11.1</th>
<th>Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Yes</td>
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</tbody>
</table>

| 12.1 | Proposals must remain valid for 180 days after the proposal submission deadline. |

<table>
<thead>
<tr>
<th>13.1</th>
<th>Clarifications may be requested no later than 7 days prior to the submission deadline.</th>
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<tbody>
<tr>
<td></td>
<td>The contact information for requesting clarifications is:</td>
</tr>
<tr>
<td></td>
<td>Additional Chief Engineer(PPP)</td>
</tr>
<tr>
<td></td>
<td>Nirman Bhawan,</td>
</tr>
<tr>
<td></td>
<td>Jacob Road, Civil Lines,</td>
</tr>
<tr>
<td></td>
<td>Jaipur -302006, Rajasthan, India</td>
</tr>
<tr>
<td></td>
<td>Facsimile: +91 141 2223547.</td>
</tr>
<tr>
<td></td>
<td>E-mail: <a href="mailto:aceppp.pwd@rajasthan.gov.in">aceppp.pwd@rajasthan.gov.in</a></td>
</tr>
</tbody>
</table>

| 14.1.1 | Shortlisted Consultants may associate with (a) non-shortlisted consultant(s): No  |
|        | (b) other shortlisted Consultants: No                                           |
| **14.1.2**  
(Do not use for Fixed Budget method) | **The estimated Key Experts’ time-input of 2100 (5 x 420) person-days.** |
|---|---|
| **14.1.3**  
for time-based contracts only | **Not Applicable** |
| **14.1.4 and 27.2**  
use for Fixed Budget method | **Not Applicable** |
| **15.2** | **The format of the Technical Proposal to be submitted is:**  
*FTP*  
Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements. |
| **16.1** | **Reimbursable**  
(1) A per diem allowance, including hotel, for experts for every day of absence from the home office for the purposes of the Services; (RTDC Hotel or equivalent)  
(2) Cost of travel by the most appropriate means of transport and the most direct practicable route; from Site to PWD HQ for Key Experts (by Train 2AC/Deluxe-AC Bus)  
(3) Cost of office accommodation, including overheads and back-stop support; Office space during verification period for report writing, Data Collection & interaction with the Authority, will be provided by the client at his office at Jaipur.  
(4) Cost of reports production (including printing) and delivering to the Client; |
| **16.2** | **A price adjustment provision applies to remuneration rates:**  
Yes  
It applies to local inflation. |
### Section 2. Instructions to Consultants - Data Sheet

| 16.3 | The Client will reimburse GST (Goods and Services Tax) only. All other applicable taxes shall be borne by the Consultant.

“The [Consultant’s tax obligations in the Client’s country can be found](https://www.moffice.gov.in) on the official website of Ministry of Finance Government of India, and Finance Department, Government of Rajasthan.” |

| 16.4 | The Financial Proposal shall be stated in the following currencies: Consultant may express the price for their Services in fully convertible currency, singly or in combination of up to following three foreign currencies.

1. United State Dollars
2. Euro
3. GBP

The Financial Proposal should state local costs in the Client’s country currency (local currency): Yes |

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### C. Submission, Opening and Evaluation

| 17.1 | The Consultants shall submit their Proposals electronically.

The step wise procedure of requesting Bidding documents through e-procurement portal of the Employer is detailed below:

Online submission of bids through Government of Rajasthan e-portal http://eproc.rajasthan.gov.in, can be made by the interested bidders after enrolling with the above-mentioned web site using the option “Click here to Enrol”. This enrolment is free at this point of time. Possession of a Valid Class II/III Digital Signature Certificate (DSC) in the form of smart card/e-token in the Company's name is a prerequisite for registration and participating in the bid submission activities through this web site. Digital Signature Certificates can be obtained from the authorized certifying agencies, details of which are available in the web site http://eproc.rajasthan.gov.in under the link “Information about DSC”. The web site also has user manuals with detailed guidelines on enrollment and participation in the online bidding process. The user manuals can be downloaded for ready reference. |

| 17.4 | The Consultant must submit:

(a) **Technical Proposal:** To be submitted online only.

(b) **Financial Proposal:** To be submitted online only. |
### 17.7 and 17.9

The Technical Proposals must be submitted no later than:

**Date:** January 15, 2020  
**Time:** 11:45 IST

**The Proposal submission address is:**

Office of Additional Chief Engineer (PPP)  
Nirman Bhawan, Jacob Road  
Civil Lines, Jaipur - 302006,  
Rajasthan, India

### 19.1

**An online option of the opening of the Technical Proposals is offered:** Yes

*The online opening procedure shall be:*

The Employer shall open the Technical Bid online and this could be viewed by the bidders also online. The electronic summary of the opening will be generated and kept online. The Employer will also prepare minutes of the Technical Bid opening, including the information disclosed and upload the same for viewing online. Any complaint shall be dealt with in accordance with complaint handling protocol of the Employer.

**The opening shall take place at:**

Office of Additional Chief Engineer (PPP)  
Nirman Bhawan, Jacob Road  
Civil Lines, Jaipur - 302006,  
Rajasthan, India

**Date:** same as the submission deadline indicated in 17.7.  
**Time:** 12:15 IST

### 19.2

**In addition, the following information will be read aloud at the opening of the Technical Proposals** - N/A

### 21.1 (for FTP)

Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals:

<table>
<thead>
<tr>
<th>Points</th>
<th>Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points</td>
<td>(i) Specific experience of the Consultant (as a firm) relevant to the Assignment: [10]</td>
</tr>
<tr>
<td></td>
<td>ii) Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs): [20]</td>
</tr>
</tbody>
</table>

*Notes to Consultant:* the Client will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and
implementable; overall team composition is balanced and has an appropriate skills mix; and the work plan has right input of Experts]

(iii) Key Experts’ qualifications and competence for the Assignment:

(Notes to Consultant: Each position number corresponds to the same for the Key Experts in Form TECH-6 to be prepared by the Consultant)

a) Position K-1: [Team Leader/Planning and Budget Specialist] [14 points]
b) Position K-2: [Engineer / Contract Specialist] (2 x 10) [20 points]
c) Position K-3: [Safeguard Specialist] (2 x 8) [16 points]
d) Position K-4: [Data Analyst] (2 x 5 points) [10 points]

Total points for criterion (iii): [60]

The number of points to be assigned to each of the above positions shall be determined considering the following three sub-criteria and relevant percentage weights:

1) General qualifications (general education, training, and experience): [20]
2) Adequacy for the Assignment (relevant education, training, experience in the sector/similar assignments): [75]
3) Relevant experience in the region (working level fluency in local language(s)/knowledge of local culture or administrative system, government organization, etc.): [5]

Total weight: 100%

(iv) Transfer of knowledge (training) program (relevance of approach and methodology):

Total points for criterion (iv): [5]

(v) Participation by nationals among proposed Key Experts [5]

Total points for the five criteria: 100

The minimum technical score (St) required to pass is: 75

<table>
<thead>
<tr>
<th>21.1</th>
<th>Not Applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>[for STP]</td>
<td></td>
</tr>
<tr>
<td>Section</td>
<td>Text</td>
</tr>
<tr>
<td>---------</td>
<td>------</td>
</tr>
<tr>
<td>23.4</td>
<td><strong>Financial Proposal shall be opened online only.</strong>&lt;br&gt;The <strong>online opening procedure shall be:</strong>&lt;br&gt;The Employer shall open the Financial Proposal online. The electronic summary of the opening will be generated and kept online. The Employer will also prepare minutes of the Financial Proposal opening, including the information disclosed and upload the same for viewing online. Any complaint shall be dealt with in accordance with complaint handling protocol of the Employer.</td>
</tr>
<tr>
<td>23.5</td>
<td>Following the completion of the evaluation of the Technical Proposals, the Client will notify all Consultants of the location, date and time of the public opening of Financial Proposals.&lt;br&gt;Any interested party who wishes to attend this public opening should contact [Mr. Vinod K Singh, Additional Chief Engineer (PPP), Tele: +91 141 2223547] and request to be notified of the location, date and time of the public opening of Financial Proposals. The request should be made before the deadline for submission of Proposals, stated above.&lt;br&gt;Alternatively, a notice of the public opening of Financial Proposals may be published on the Client’s website, if available.</td>
</tr>
<tr>
<td>25.1</td>
<td>For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, or similar taxes levied on the contract’s invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in the Client’s country. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant.</td>
</tr>
<tr>
<td>26.1</td>
<td><strong>The single currency for the conversion of all prices expressed in various currencies into a single one is:</strong> Indian Rupees(INR)&lt;br&gt;<strong>The official source of the selling (exchange) rate is:</strong> Reserve Bank of India.&lt;br&gt;<strong>The date of the exchange rate is:</strong> 28 days before the deadline date of submission of bids.</td>
</tr>
</tbody>
</table>
27.1 (QCBS only)  

The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.

The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:

\[ Sf = 100 \times \frac{Fm}{F}, \]

in which “Sf” is the financial score, “Fm” is the lowest price, and “F” the price of the proposal under consideration.

5.  
The weights given to the Technical (T) and Financial (P) Proposals are:

\[ T = [80], \] and \[ P = [20] \]

Proposals are ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: \[ S = St \times T\% + Sf \times P\%. \]

6.  

D. Negotiations and Award

28.1  

Expected date and address for contract negotiations:

Date: January 31, 2020  
Address: PPP Division, Public Works Department, Jacob Road Civil lines, Rajasthan  
City: Jaipur ZIP code: 302006

32.1  

The successful Consultant shall submit the Beneficial Ownership Disclosure Form as indicated in the procurement Plan.

34.2  

Expected date for the commencement of the Services:

Date: February, 2020 at: Jaipur

35.1  

The procedures for making a Procurement-related Complaint are detailed in the “Procurement Regulations for IPF Borrowers (Annex III).” If a Consultant wishes to make a Procurement-related Complaint, the Consultant shall submit its complaint following these procedures, In Writing (by the quickest means available, such as by email or fax), to:

For the attention: Mr. Vinod K Singh  
Title/position: Additional Chief Engineer(PPP)  
Client: Public Works Department, Government of Rajasthan.
### Email address
aceppp.pwd@rajasthan.gov.in

### Fax number
0141-2223547

In summary, a Procurement-related Complaint may challenge any of the following:

1. the terms of this Request for Proposal;
2. the Client’s decision to exclude a Consultant from the procurement process prior to the award of contract; and
3. the Client’s decision to award the contract.
### Section 3. Technical Proposal – Standard Forms

*Notes to Consultant* shown in brackets {  } throughout Section 3 provide guidance to the Consultant to prepare the Technical Proposal; they should not appear on the Proposals to be submitted.

**CHECKLIST OF REQUIRED FORMS**

<table>
<thead>
<tr>
<th>Required for FTP</th>
<th>FORM</th>
<th>DESCRIPTION</th>
<th>Page Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓</td>
<td>FTP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-1</td>
<td>Technical Proposal Submission Form.</td>
<td></td>
</tr>
<tr>
<td>✓ If applicable</td>
<td>TECH-1 Attachment</td>
<td>If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement.</td>
<td></td>
</tr>
<tr>
<td>✓ If applicable</td>
<td>Power of Attorney</td>
<td>No pre-set format/form. In the case of a Joint Venture, several are required: a power of attorney for the authorized representative of each JV member, and a power of attorney for the representative of the lead member to represent all JV members</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-2</td>
<td>Consultant’s Organization and Experience.</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-2A</td>
<td>A. Consultant’s Organization</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-2B</td>
<td>B. Consultant’s Experience</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-3</td>
<td>Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Client.</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-3A</td>
<td>A. On the Terms of Reference</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-3B</td>
<td>B. On the Counterpart Staff and Facilities</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-4</td>
<td>Description of the Approach, Methodology, and Work Plan for Performing the Assignment</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-5</td>
<td>Work Schedule and Planning for Deliverables</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-6</td>
<td>Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>TECH-7</td>
<td>Code of Conduct (ESHS)</td>
<td></td>
</tr>
</tbody>
</table>
All pages of the original Technical and Financial Proposal shall be initialed by the same authorized representative of the Consultant who signs the Proposal.
Form TECH-1
TECHNICAL PROPOSAL SUBMISSION FORM

{Location, Date}

To: [Name and address of Client]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposals (RFP) dated [Insert Date] and our Proposal. [Select appropriate wording depending on the selection method stated in the RFP: “We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope” or, if only a Technical Proposal is invited “We hereby are submitting our Proposal, which includes this Technical Proposal only in a sealed envelope.”].

[If the Consultant is a joint venture, insert the following: We are submitting our Proposal a joint venture with: [Insert a list with full name and the legal address of each member, and indicate the lead member]. We have attached a copy {insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

[OR]

If the Consultant’s Proposal includes Sub-consultants, insert the following: We are submitting our Proposal with the following firms as Sub-consultants: {Insert a list with full name and address of each Sub-consultant.}

We hereby declare that:

(a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by the Bank.

(b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, ITC 12.1.

(c) We have no conflict of interest in accordance with ITC 3.

(d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Bank’s policy in regard to Fraud and Corruption as per ITC 5.
(e) We, along with any of our sub-consultants, subcontractors, suppliers, or service providers for any part of the contract, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Client’s country laws or official regulations or pursuant to a decision of the United Nations Security Council;

(f) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in the country of the Client.

(g) Except as stated in the Data Sheet, ITC 12.7, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITC 12 and ITC 28.4 may lead to the termination of Contract negotiations.

(h) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in ITC 34.2 of the Data Sheet.

We understand that the Client is not bound to accept any Proposal that the Client receives.

We remain,

Yours sincerely,

_________________________________________________________________

Signature (of Consultant’s authorized representative) {In full and initials}:
Full name: {insert full name of authorized representative}
Title: {insert title/position of authorized representative}
Name of Consultant (company’s name or JV’s name):
Capacity: {insert the person’s capacity to sign for the Consultant}
Address: {insert the authorized representative’s address}
Phone/fax: {insert the authorized representative’s phone and fax number, if applicable}
Email: {insert the authorized representative’s email address}__________

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}
**FORM TECH-2**

**CONSULTANT’S ORGANIZATION AND EXPERIENCE**

Form TECH-2: a brief description of the Consultant’s organization and an outline of the recent experience of the Consultant that is most relevant to the assignment. In the case of a joint venture, information on similar assignments shall be provided for each partner. For each assignment, the outline should indicate the names of the Consultant’s Key Experts and Sub-consultants who participated, the duration of the assignment, the contract amount (total and, if it was done in a form of a joint venture or a sub-consultancy, the amount paid to the Consultant), and the Consultant’s role/involvement.

**A - Consultant’s Organization**

1. Provide here a brief description of the background and organization of your company, and – in case of a joint venture – of each member for this assignment.

2. Include organizational chart, a list of Board of Directors, and beneficial ownership. The successful Consultant shall provide additional information on beneficial ownership, using the Beneficial Ownership Disclosure Form.

**B - Consultant’s Experience**

1. List only previous similar assignments successfully completed in the last 7(seven) years.

2. List only those assignments for which the Consultant was legally contracted by the Client as a company or was one of the joint venture members. Assignments completed by the Consultant’s individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Consultant, or that of the Consultant’s partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Consultant should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by the Client.

<table>
<thead>
<tr>
<th>Duration</th>
<th>Assignment name/&amp; brief description of main deliverables/outputs</th>
<th>Name of Client &amp; Country of Assignment</th>
<th>Approx. Contract value (in US$ equivalent)/ Amount paid to your firm</th>
<th>Role on the Assignment</th>
</tr>
</thead>
</table>

---

**Table:** This table will be filled in with specific data for each assignment mentioned in the experience section.
<table>
<thead>
<tr>
<th>Duration</th>
<th>Assignment name/ &amp; brief description of main deliverables/outputs</th>
<th>Name of Client &amp; Country of Assignment</th>
<th>Approx. Contract value (in US$ equivalent)/ Amount paid to your firm</th>
<th>Role on the Assignment</th>
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</table>
FORM TECH-3

COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE, COUNTERPART STAFF, AND FACILITIES TO BE PROVIDED BY THE CLIENT

Form TECH-3: comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Client, including: administrative support, office space, local transportation, equipment, data, etc.

A - On the Terms of Reference

{Improvements to the Terms of Reference, if any}

B - On Counterpart Staff and Facilities

{Comments on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc., if any}
Form TECH-4

DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE TERMS OF REFERENCE

Form TECH-4: a description of the approach, methodology and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal (in FTP format):

a) Technical Approach and Methodology
b) Work Plan
c) Organization and Staffing}

a) **Technical Approach and Methodology.** {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks including the Environmental, Social (including sexual exploitation and abuse (SEA) and gender based violence (GBV), Health and Safety (ESHIS) aspects to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.}

b) **Work Plan.** {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}

c) **Organization and Staffing.** {Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff.}
## FORM TECH-5

### WORK SCHEDULE AND PLANNING FOR DELIVERABLES

<table>
<thead>
<tr>
<th>N°</th>
<th>Deliverables ¹ (D-..)</th>
<th>Months</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9 ..... n TOTAL</td>
</tr>
<tr>
<td>D-1</td>
<td>{e.g., Deliverable #1: Report A}</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1) data collection</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2) drafting</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3) inception report</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4) incorporating comments</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5) delivery of final report to Client</td>
<td></td>
</tr>
<tr>
<td>D-2</td>
<td>{e.g., Deliverable #2:..................}</td>
<td></td>
</tr>
</tbody>
</table>

1. List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Client’s approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
2. Duration of activities shall be indicated in a form of a bar chart.
3. Include a legend, if necessary, to help read the chart.
**Form TECH-6**

**Team Composition, Assignment, and Key Experts’ Inputs**

<table>
<thead>
<tr>
<th>N°</th>
<th>Name</th>
<th>Expert’s input (in person/month) per each Deliverable (listed in TECH-5)</th>
<th>Total time-input (in Months)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Position</td>
<td>D-1</td>
</tr>
</tbody>
</table>

**Key Experts**

| K-1 | (e.g., Mr. Abbbb) | [Team Leader] | [Home] | [0.5 m] | [2 month] | [1.0] | [1.0] |   |   |   |

| K-2 |                  | [Field]     |   | [2.5] | [0] |   |   |   |   |   |

| N-1 |                  | [Home] |   |   |   |   |   |   |   |   |

|     |                  | [Field] |   |   |   |   |   |   |   |   |

Subtotal

**Non-Key Experts**

<p>| N-1 |                  |   |   |   |   |   |   |   |   |   |</p>
<table>
<thead>
<tr>
<th>N-2</th>
<th></th>
<th></th>
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</table>

Subtotal
Total

1. For Key Experts, the input should be indicated individually for the same positions as required under the Data Sheet ITC21.1.
2. Months are counted from the start of the assignment/mobilization. One (1) month equals twenty two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
3. “Home” means work in the office in the expert’s country of residence. “Field” work means work carried out in the Client’s country or any other country outside the expert’s country of residence.

- Full time input
- Part time input
CURRICULUM VITAE (CV)

<table>
<thead>
<tr>
<th>Position Title and No.</th>
<th>{e.g., K-1, TEAM LEADER}</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Expert:</td>
<td>{Insert full name}</td>
</tr>
<tr>
<td>Date of Birth:</td>
<td>{day/month/year}</td>
</tr>
<tr>
<td>Country of Citizenship/Residence</td>
<td></td>
</tr>
</tbody>
</table>

**Education:** {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

**Employment record relevant to the assignment:** {Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}

<table>
<thead>
<tr>
<th>Period</th>
<th>Employing organization and your title/position. Contact information for references</th>
<th>Country</th>
<th>Summary of activities performed relevant to the Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>[e.g., May 2005-present]</td>
<td>[e.g., Ministry of ……, advisor/consultant to… For references: Tel…………/e-mail……; Mr. Hbbbb, deputy minister]</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**Membership in Professional Associations and Publications:**

**Language Skills (indicate only languages in which you can work):** ____________
Adequacy for the Assignment:

<table>
<thead>
<tr>
<th>Detailed Tasks Assigned on Consultant’s Team of Experts:</th>
<th>Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks</th>
</tr>
</thead>
<tbody>
<tr>
<td>(List all deliverables/tasks as in TECH-5 in which the Expert will be involved)</td>
<td></td>
</tr>
</tbody>
</table>

**Expert’s contact information:** (e-mail …………………., phone……………)

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

{day/month/year}  
Name of Expert  
Signature  
Date

{day/month/year}  
Name of authorized Representative of the Consultant  
Signature  
Date

(name who signs the Proposal)
Form TECH-7

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

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

The Consultant shall submit an outline of how the Code of Conduct will be implemented.
Section 4. Financial Proposal - Standard Forms

\textit{Notes to Consultant} shown in brackets \{ \} provide guidance to the Consultant to prepare the Financial Proposals; they should not appear on the Financial Proposals to be submitted.

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided in Section 2.

FIN-1 Financial Proposal Submission Form
FIN-2 Summary of Costs
FIN-3 Breakdown of Remuneration, including Appendix A “Financial Negotiations - Breakdown of Remuneration Rates” in the case of QBS method
FIN-4 Reimbursable expenses
FORM FIN-1
FINANCIAL PROPOSAL SUBMISSION FORM

{Location, Date}

To: [Name and address of Client]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of {Indicate the corresponding to the amount currency} {Insert amount in words and figures}, excluding of all indirect local taxes in accordance with ITC 25.1 in the Data Sheet. The estimated amount of local indirect taxes is {Insert currency}{Insert amount in words and figures} which shall be confirmed or adjusted, if needed, during negotiations. {Please note that all amounts shall be the same as in Form FIN-2}.

Our Financial Proposal shall be valid and remain binding upon us, subject to the modifications resulting from Contract negotiations, for the period of time specified in the Data Sheet, ITC 12.1.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

<table>
<thead>
<tr>
<th>Name and Address of Agents</th>
<th>Amount and Currency</th>
<th>Purpose of Commission or Gratuity</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

{If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution.”}

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Signature (of Consultant’s authorized representative) {In full and initials}:
Full name: {insert full name of authorized representative}
Title: {insert title/position of authorized representative}
Name of Consultant (company’s name or JV’s name):
Capacity: {insert the person’s capacity to sign for the Consultant}
Address: {insert the authorized representative’s address}
Phone/fax: {insert the authorized representative’s phone and fax number, if applicable}
Email: {insert the authorized representative’s email address}

{For a joint venture, either all members shall sign or only the lead member/consultant, in which case the power of attorney to sign on behalf of all members shall be attached}
### FORM FIN-2 SUMMARY OF COSTS

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>(Consultant must state the proposed Costs in accordance with ITC 16.4 of the Data Sheet; delete columns which are not used)</td>
</tr>
<tr>
<td></td>
<td>Insert Foreign Currency # 1</td>
</tr>
</tbody>
</table>

**Cost of the Financial Proposal**

Including:

1. (1) Remuneration
2. (2) Reimbursable

**Total Cost of the Financial Proposal:**

{Should match the amount in Form FIN-1}

**Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded**

1. (i) Insert type of tax e.g., GST
2. (ii) e.g., income tax on non-resident experts
3. (iii) Insert type of tax

**Total Estimate for Indirect Local Tax:**

Footnote: Payments will be made in the currency(ies) expressed above (Reference to ITC 16.4).
FORM FIN-3 BREAKDOWN OF REMUNERATION

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract’s ceiling amount; to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts.

<table>
<thead>
<tr>
<th>No.</th>
<th>Name</th>
<th>Position (as in TECH-6)</th>
<th>Person-Day Remuneration Rate</th>
<th>Time Input in Person-Days (from TECH-6)</th>
<th>(Currency #1 - as in FIN-2)</th>
<th>(Currency #2 - as in FIN-2)</th>
<th>(Currency #3 - as in FIN-2)</th>
<th>{Local Currency - as in FIN-2}</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Key Experts</td>
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<td>K-2</td>
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<td></td>
<td>Non-Key Experts</td>
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<td>N-1</td>
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</table>

Total Costs
Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

1. **Review of Remuneration Rates**

1.1. The remuneration rates are made up of salary or a base fee, social costs, overheads, profit, and any premium or allowance that may be paid for assignments away from headquarters or a home office. An attached Sample Form can be used to provide a breakdown of rates.

1.2. If the RFP requests submission of a technical proposal only, the Sample Form is used by the selected Consultant to prepare for the negotiations of the Contract. If the RFP requests submission of the financial proposal, the Sample Form shall be completed and attached to the Financial Form-3. Agreed (at the negotiations) breakdown sheets shall form part of the negotiated Contract and included in its Appendix D or C.

1.3. At the negotiations the firm shall be prepared to disclose its audited financial statements for the last three years, to substantiate its rates, and accept that its proposed rates and other financial matters are subject to scrutiny. The Client is charged with the custody of government funds and is expected to exercise prudence in the expenditure of these funds.

1.4. Rate details are discussed below:

(i) **Salary** is the gross regular cash salary or fee paid to the individual in the firm’s home office. It shall not contain any premium for work away from headquarters or bonus (except where these are included by law or government regulations).

(ii) **Bonuses** are normally paid out of profits. To avoid double counting, any bonuses shall not normally be included in the “Salary” and should be shown separately. Where the Consultant’s accounting system is such that the percentages of social costs and overheads are based on total revenue, including bonuses, those percentages shall be adjusted downward accordingly. Where national policy requires that 13 months’ pay be given for 12 months’ work, the profit element need not be adjusted downward. Any discussions on bonuses shall be supported by audited documentation, which shall be treated as confidential.

(iii) **Social Charges** are the costs of non-monetary benefits and may include, inter alia, social security (including pension, medical, and life insurance costs) and the cost of a paid sick and/or annual leave. In this regard, a paid leave during public holidays or an annual leave taken during an assignment if no Expert’s replacement has been provided is not considered social charges.

(iv) **Cost of Leave.** The principles of calculating the cost of total days leave per annum as a percentage of basic salary is normally calculated as follows:
Leave cost as percentage of salary = \[
\frac{\text{total days leave} \times 100}{[365 - \text{w} - \text{ph} - \text{v} - \text{s}]}\]
Where \(w\) = weekends, \(ph\) = public holidays, \(v\) = vacation, and \(s\) = sick leave.

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

(v) **Overheads** are the Consultant’s business costs that are not directly related to the execution of the assignment and shall not be reimbursed as separate items under the Contract. Typical items are home office costs (non-billable time, time of senior Consultant’s staff monitoring the project, rent of headquarters’ office, support staff, research, staff training, marketing, etc.), the cost of Consultant’s personnel not currently employed on revenue-earning projects, taxes on business activities, and business promotion costs. During negotiations, audited financial statements, certified as correct by an independent auditor and supporting the last three years’ overheads, shall be available for discussion, together with detailed lists of items making up the overheads and the percentage by which each relates to basic salary. The Client does not accept an add-on margin for social charges, overhead expenses, etc. for Experts who are not permanent employees of the Consultant. In such case, the Consultant shall be entitled only to administrative costs and a fee on the monthly payments charged for sub-contracted Experts.

(vi) **Profit** is normally based on the sum of the Salary, Social costs, and Overheads. If any bonuses paid on a regular basis are listed, a corresponding reduction shall be made in the profit amount. Profit shall not be allowed on travel or any other reimbursable expenses.

(vii) **Away from Home Office Allowance or Premium or Subsistence Allowances.** Some Consultants pay allowances to Experts working away from headquarters or outside of the home office. Such allowances are calculated as a percentage of salary (or a fee) and shall not draw overheads or profit. Sometimes, by law, such allowances may draw social costs. In this case, the amount of this social cost shall still be shown under social costs, with the net allowance shown separately.

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

Consultant: 
Assignment: 
Country: 
Date: 

Consultant’s Representations Regarding Costs and Charges

We hereby confirm that:

(a) the basic fees indicated in the attached table are taken from the firm’s payroll records and reflect the current rates of the Experts listed which have not been raised other than within the normal annual pay increase policy as applied to all the Consultant’s Experts;

(b) attached are true copies of the latest pay slips of the Experts listed;

(c) the away-from-home office allowances indicated below are those that the Consultant has agreed to pay for this assignment to the Experts listed;

(d) the factors listed in the attached table for social charges and overhead are based on the firm’s average cost experiences for the latest three years as represented by the firm’s financial statements; and

(e) said factors for overhead and social charges do not include any bonuses or other means of profit-sharing.

[Name of Consultant]

Signature of Authorized Representative 
Date

Name: 
Title: 
Consultant’s Representations Regarding Costs and Charges  
(Model Form I)

(Expressed in \{insert name of currency\})

<table>
<thead>
<tr>
<th>Personnel</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
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</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
<td>Social Charges(^1)</td>
<td>Overhead</td>
<td>1</td>
<td>Subtotal</td>
<td>Profit(^2)</td>
<td>Away from Home Office Allowance</td>
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<tr>
<td>Position</td>
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<td></td>
<td>Basic Remuneration Rate per Working Month/Day/Year</td>
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<td></td>
<td></td>
<td>Proposed Fixed Rate per Working Month/Day/Hour(^3)</td>
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<td>Home Office</td>
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<td>Client’s Country</td>
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\(^1\) If more than one currency is used, use additional table(s), one for each currency

1. Expressed as percentage of 1
2. Expressed as percentage of 4
**FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES**

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts.

<table>
<thead>
<tr>
<th>N°</th>
<th>Type of Reimbursable Expenses</th>
<th>Unit</th>
<th>Unit Cost</th>
<th>Quantity</th>
<th>{Currency # 1-as in FIN-2}</th>
<th>{Currency # 2-as in FIN-2}</th>
<th>{Currency # 3-as in FIN-2}</th>
<th>{Local Currency-as in FIN-2}</th>
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<tbody>
<tr>
<td></td>
<td>{e.g., Per diem allowances**}</td>
<td>(Day)</td>
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<td></td>
<td>{e.g., International flights}</td>
<td>(Ticket)</td>
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<td>{e.g., In/out airport transportation}</td>
<td>(Trip)</td>
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<td>{e.g., Communication costs between Insert place and Insert place}</td>
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<td>{e.g., reproduction of reports}</td>
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<td>{e.g., Office rent}</td>
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<td>Training of the Client’s personnel – if required in TOR</td>
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Legend: “Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Client can set up a ceiling.
Section 5. Eligible Countries

In reference to ITC 6.3.2, for the information of shortlisted Consultants, at the present time firms, goods and services from the following countries are excluded from this selection:

Under the ITC 6.3.2 (a): None

Under the ITC 6.3.2 (b): None
Section 6. Fraud and Corruption

(This Section 6, Fraud and Corruption shall not be modified)

1. Purpose

1.1 The Bank’s Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.

2. Requirements

2.1 The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

2.2 To this end, the Bank:

a. Defines, for the purposes of this provision, the terms set forth below as follows:
   i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
   ii. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
   iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
   iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
   v. “obstructive practice” is:
      (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
Section 6. Fraud and Corruption

(b) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.

b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, subcontractors, service providers, suppliers and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

d. Pursuant to the Bank’s Anti-Corruption Guidelines and in accordance with the Bank’s prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;\(^1\) (ii) to be a nominated\(^2\) sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;

e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect\(^3\) all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

---

1. For the avoidance of doubt, a sanctioned party’s ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated subcontractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

2. A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

3. Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm’s or individual’s financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.
Section 7. Terms of Reference

1. BACKGROUND

Rajasthan State Highways Development Program- II Project (RSHDP - II) has established a well-thought-out investment strategy including the following elements:

a) The state government launched RSHDP to develop and upgrade of State Highways (SH) using latest technology to cater for the ever-increasing traffic and overloading over the years. Till now, proposals for development of SHs & MDRs (132 highways with a total length 8,910km) have been identified and finalized.

b) The aim is to develop an efficient transport system, which is a pre-requisite for sustained economic development of the state and contribute to the national economic growth. The transport system so improved will facilitate movement of people and freight, boost trade and commerce, links industry and agriculture with markets and increase the access and mobility to under developed regions of the state.

c) The Government of India has applied for financing from World Bank for improving priority state road network in Rajasthan state. Public Works Department (PWD), Government of Rajasthan “(the Client)” has initiated Rajasthan State Highway Development Program (RSHDP) which aims to improve about 20000 Kilometer of State Highways(SH) and Major District Roads (MDR) to 2-lane or intermediate lane standard

d) As part of RSHDP, about 765 Kilometer of SHs have been included under WB financial assistance Tranche-I, as Rajasthan State Highways Development Program-II (RSHDP-II) to improve the efficiency and safety of road transport in the state of Rajasthan.

e) RSHDP II focuses on (i) operationalizing the Rajasthan State Highways Authority notified through the Rajasthan State Highways Act 2014 (Act No. 22 of 2015), with modern network management system and enhanced financing sources (ii) Rehabilitation/Development of 11 State Highways with an estimated total length of 765 km, and (iii) Improvement of Road safety management capacity in the state, through evidence based engineering and enforcement interventions; RSHDP shall be implemented through PPP Division of PWD, Government of Rajasthan which will act as the client. To assist PWD, and GoR in implementing the project, it will engage Project Management Consultant (PMC) and other consulting firms as needed, using the proceeds of the WB financing.
f) The project roads are to be constructed under two modalities i.e. under Hybrid Annuity mode and under Engineering Procurement Construction mode.

The Program disbursements will depend on the achievement of results as measured by a framework of Disbursement Linked Indicators (DLIs). Description of DLIs is provided in Annex-1 to this ToR. The Project management Unit, PPP, PWD, Rajasthan (PMU) (hereinafter called the ‘verification entity’) is responsible for leading verification process of DLIs under the Program. The PMU is intending to appoint a consultant for verification of DLIs, reporting and feedback. The role of consultant (hereinafter called the ‘Technical Audit Consultant or TAC’), will be to conduct verification process on behalf of the PMU for carrying out following key tasks:

(i) Checking completeness of data provided in each Dossier of the specific DLIs;
(ii) Examining the accuracy of data as per verification protocols described under each DLI and adjust the reported results accordingly; and
(iii) Providing a convenient summary of actual results achieved that the Bank may use to disburse funds.

The TAC will also be required to support the PMU in technical audits for other implementation aspects of the project.

2. Objective of the Services

The main objective of the Technical Audit Consultant(s) services is to support PMU in performing an annual integrated technical performance audit covering: (i) verification of the achievement of DLIs by examining completeness of data, results verification of specific DLIs as per verification protocols and preparing reports on actual results achieved and providing constructive feedbacks to the PMU; and (ii) Strategic assessment of the engineering designs, management of social and environmental issues, procurement, quality assurance, contract management, compliance with loan and contract conditions, and works supervision.

3. Scope of the Services

3.1 Task Descriptions

On the DLIs, the achievement of results gets confirmed through two steps according to verification protocols of the Program as set out in the Project Appraisal Document. Firstly, by checking their completeness /compliance of the gross data against the requirements given in Dossier/Report for particular DLI. Secondly, by conducting field verification of the results achieved through an agreed method of verification between PMU and consultant. The first step is generally a Desk Review, where sampling will be 100%. The second step is field verification, where sampling will be as per mandated in the verification protocols and adjust the reported results accordingly. The final step is preparing reports on actual results achieved and providing constructive feedbacks to the PMU. The scope of works under the terms of reference will be, but not limited to, the followings:

3.1.1 General

(i) During inception, review and familiar with the ‘DLI verification process and disbursement guideline’;
(ii) Develop understanding (if required, may take general briefings, clarification on the Program in detail from PMU roles and responsibilities of each concerned stakeholders on the Program including roles and responsibilities of the consultant as an appointed Technical Audit Consultant to conduct verification process in the designated districts under the Program;
(iii) Familiar with relevant documents of the Program such as, Government’s approved PPP, Project Appraisal Document (PAD), Financing Agreement (FA), Project Agreement (PA), RSHA operationalization indicative roadmap, RSH Act 2015, contract documents with contractors and consultants, etc.;
(iv) Develop clear understanding on the assessing list of completed Road projects under different types of intervention and to check completeness of data provided by PMU &/or PIU; examining accuracy of data, and methodology for conducting specific DLI verification protocol achievements; and results reporting and feedback as described and appended to this ToR;

3.1.2 Gross Results Measurement

Assessing completeness of data for Highway Improvement (DLIs#1 and 2)

For verification of DLIs#1
A comprehensive review will be carried out by the TAC on a randomly selected 10% road sections. The review covers engineering designs prepared by the contractor and approved by the AE. The review also includes quality assurance, contract management including settlement of contractor’s claims, compliance with and implementation of ESIMP, implementation of traffic safety measures, compliance with labor laws especially on child labor and management of migrant labor. Besides the random selection of road stretches, the TAC will also include review of sensitive stretches on environment, social and traffic safety. The TAC is expected to start work in June and December of every year and to certify that the DLIs have been fully or partially achieved or exceeded and on call basis also if ever needed in case of exceptional achievement.

For verification of DLIs#2
A comprehensive review will be carried out by the TAC on a randomly selected 10% road sections. The review covers engineering designs prepared by the contractor and approved by the IE. The review also includes quality assurance, contract management including settlement of contractor’s claims, compliance with and implementation of ESIMP, implementation of traffic safety measures, compliance with labor laws especially on child labor and management of migrant labor. Besides the random selection of road stretches, the TAC will also include review of sensitive stretches on environment, social and traffic safety. The TAC is expected to start work in June and December of every year and to certify that the DLIs have been fully or partially achieved or exceeded, and on call basis also if ever needed in case of exceptional achievement.

Assessing completeness of data for Operationalization of RSHA (DLI#3 to 17)

For verification of DLIs#3
The TAC reviews the government notification/ office order issued to the chairperson and members of the RSHA.

For verification of DLIs#4
The TAC reviews the Cabinet’s minutes of session and confirms the Cabinet’s approval of the rules and regulations.

For verification of DLIs#5
The TAC reviews the budget published by the Finance Department of GoR and verifies that RSHA’s operating budget for Year 1 is allocated under a separate budget head or as a budget line in the PWD’s budget.

For verification of DLIs#6
The TAC reviews the gazette notification issued by GoR to adopt the rules and regulation approved by Rajasthan State Legislature.

For verification of DLIs#7
The TAC reviews the minutes of the Board meeting of RSHA and verifies that the organizational structure and staffing plan has been approved by the Board. The TAC will also review whether the organizational structure and staffing
plan have been based on the business model of RSHA and benchmarking relevant good practices elsewhere.

For verification of DLIs#8 The TAC reviews government document demonstrating that the staff is hired/appointed as per the staffing plan of RSHA.

For verification of DLIs#9 The TAC reviews the Business Model to confirm that it includes Authority’s corporate business model, KPIs, strategy to deliver a better service to users, financing, and accountability mechanisms to the public/GoR as per the rules and regulations of the Rajasthan State Highway Act, 2015.

For verification of DLIs#10 The TAC reviews the Cabinet’s minutes of session, and confirm the cabinet’s approval of the FM rules.

For verification of DLIs#11 The TAC reviews SRF’s board meeting minutes to verify that 50% of the SRF’s annual revenues have been allocated to the state highways development and maintenance, with no conditions attached. Furthermore, the TAC reviews SRF’s annual financial statements to verify that allocation has been made.

For verification of DLIs#12 The TAC reviews RAMS consultant’s technical reports, views the different modules of the system online, produces sample inputs and output reports representing the various modules of the system, and verifies that the state highways data are fully automated.

For verification of DLIs#13 The TAC reviews the Investment Plan approved by the RSHA Board which should at least consist of prioritized road network for maintenance, rehabilitation, upgradation, and budget estimates and resource planning.

For verification of DLIs#14 The TAC reviews the minutes of session by GoR for approving the transition strategy for operationalization of RSHA covering transfer of management of state highways, human resources and other assets according to the RSH Act and its implementation plan.

For verification of DLIs#15 The TAC verifies that all the actions/activities of the approved transition strategy are implemented by RSHA and PWD.

For verification of DLIs#16 The TAC reviews the government order/notification stating RSHA as employer of existing contracts and/or new contracts signed by RSHA as employer as per the Transition Strategy approved by the GoR.

For verification of DLIs#17 The TAC reviews the two Service Level Agreements (SLAs) which should at least lay out the key performance indicators and related monitoring mechanism, benchmarking it with good practices of relevant corporate entities. The TAC also reviews the minutes of RSHA’s management meetings to verify the endorsement of the SLA by the RSHA Board.

Assessing completeness of data for Road Safety Improvements (DLI#18to 19)
For verification of DLIs#18The TAC will review the consultant’s technical report and progress report, witnessing live demonstration of Road Accident Data Management System (RADMS) on test data.

For verification of DLIs#19The TAC will review the consultant’s technical report and progress report, witnessing live demonstration of RADMS with test data in all districts including provisions of mobile devices and staff trained as specified in the contract of RADMS consultant.

3.1.4 Results Reporting and Feedback

Results reporting will form the basis for loan disbursements from IBRD/WB to the Government of India. In addition, DLI reports should provide useful insights for the cause of any superior or lagging performance related to DLI targets. The scope of results reports will include, but not limited to, the followings:

(a) Brief summary of verification activities undertaken to check the accuracy of gross results data;
(b) Convenient summary of verified results for all DLIs along with recommended disbursement levels for each DLI;
(c) Summary of major discrepancies (if any) between gross and verified results including a short explanation for such discrepancies;
(d) Insights for any superior or lagging performance relative to DLI targets;
(e) Recommendations for possible areas of improvements, and corrections on the verified results for each DLI; and
(f) Recommendations and constructive critical analysis for any specific DLI underachieving or overachieving the given targets.

3.2 Other Technical Audits.

The TAC will be required to carry out annual assessment of the engineering designs, management of social and environmental issues, procurement, quality assurance, contract management, compliance with loan and contract conditions, and works supervision. These audits will be strategic in nature i.e. to provide timely advice on issues requiring attention including the need for in-depth audits. The TAC will be required to include this activity in the work program for review and acceptance by the PWD.

4. Deliverables

For the DLIs, there will be two phases of deliverables. The first phase of deliverable will comprise inception report on procedures and/or process described in verification methodology Table, and as per mandated in the specific DLI verification protocol achievements Table. The second phase of deliverable will comprise compliance results reports compiling results achieved on desk-study and field verification. Other deliverables will require a separate set of reporting. Details of deliverables are summarized below but not limited to the followings:

4.1 Inception Report

The Technical Audit Consultant is expected to elaborate the methodology for completing each of the tasks in their inception report. Among others, the inception report should contain detailed at least:

- Proposed template for collecting data and information required to verify DLIs and performance parameters for other technical auditing exercise;
- Proposed template for reporting and providing constructive feedback to concerned authorities;
- Detailed methodology for accomplishing each task discussed above;
- Proposed timeline required for completing each task including submission of reports to PMU for proposed volume of works;
- Confirmation of resource availability for TAC to accomplish the assignment;
- Within two weeks of mobilization the Technical Audit Consultant will share the draft inception report with PMU and also present the inception report to PMU and WB for their review and
comments/recommendations. Final inception report to be submitted incorporating all comments/recommendations no later than seven days after presentation.

- The inception report will also include the implementation proposals, resource requirements and milestones for the other technical audits.

### 4.2 Results Reports

The Technical Audit Consultant team will provide services under this assignment every Four (4) months for results verification. Therefore, such services three times in a year for five consecutive years. Total annual activities under the services will span approximately 60 to 70 calendar days each year. However, PMU mandates to receive one of these services comprising cumulative information of the whole fiscal year and further update quarterly in line with IFUR filling between 2020 and 2025, which will be called Annual Results Reports, whereas other reports shall be called Intermittent Results Reports. The Annual Results Reports/Intermittent Results Reports should be strictly followed the template as proposed in Inception report and agreed with the PMU.

The Technical Audit Consultant may also be required to attend Program briefings or other meetings throughout year in order to stay up-to-date on implementation progress or unforeseen challenges. Additional services may be required and agreed upon as needed.

The Technical Audit Consultant’s output from this assignment will involve the following reports:

- Draft Intermittent Results Report comprising preliminary findings from gross results measurements and results verification, which is to be finalized while incorporating PMU comments of and other Program stakeholders regarding the accuracy or completeness of the reports within two weeks of submission of the draft report;
- Draft Annual Results Reports comprising cumulative summary of previous reports and any update on preliminary findings from gross results measurements and results verification will be submitted at the end of each year. No later than seven days the Draft Annual Results Reports to be finalized incorporating all comments of PMU and other Program stakeholders regarding the accuracy or completeness of the reports by one month after submission of Draft report annually;
- All due dates for reports will be adjusted to the next working day if the agreed dates fall on a non-working day (Government of Rajasthan’s official holiday schedule);
- However, reporting of results verification is to be programmed in such a way that it could be flexible subject to submission of reports of the completed works under the Program by PMU for results verification purposes.

A separate combined results report for the other technical audits is required

### 4.3 Timelines for Deliverables

The Technical Audit Consultant shall prepare and submit 5 (five) copies for each of the following reports to PMU:

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Timelines (from mobilization)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft Inception Report</td>
<td>One week</td>
</tr>
<tr>
<td>Final Inception Report</td>
<td>Two weeks</td>
</tr>
<tr>
<td>Intermittent Results Reports (DLIs)</td>
<td>Five weeks, 6, 10, 14, 18, 22, 26, 30, 34, 38, 42, 46, 50, 54, 60 months</td>
</tr>
<tr>
<td>Additional Result Reports (Other Tech. Audits)</td>
<td>12, 24, 36, 48, 60 months</td>
</tr>
<tr>
<td>Final or Annual Results Report</td>
<td>12, 24, 36, 48, 60 months</td>
</tr>
</tbody>
</table>

### 5. Time schedule for the assignment and duration of the Contract

It is expected that Technical Audit Consultant services expected to commence around February 2020, and has been planned to be completed in February 2025. The overall period of contract will be approximately 60 to 70 calendar days per year for consecutive 5 years (from February 2020 to February 2025).
6. Contract, payment arrangements and annual work plans

The Technical Audit Consultant’s contract and payment arrangements will be with PMU. All activities will reflect close coordination with the PMU and the World Bank. Each year the Technical Audit Consultant will propose a detailed annual work planning consultation with PMU, who in turn will consider for approval. Actual invoicing will occur only against approved annual work plans.

**Indicative Payment Structure**

The Technical Audit Consultant will be paid for undertaking the assignment according to the submission and Client’s approval of deliverables as per following:

<table>
<thead>
<tr>
<th>No.</th>
<th>Benchmark</th>
<th>Payment cumulative for Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Submission of Final Inception Report</td>
<td>10% x1</td>
</tr>
<tr>
<td>2</td>
<td>Submission of Deliverable - Intermittent Results Reports</td>
<td>3% x 15</td>
</tr>
<tr>
<td>3</td>
<td>Submission of other Technical Audit reports</td>
<td>3% x 5</td>
</tr>
<tr>
<td>4</td>
<td>Submission of Deliverable – Annual Results Report (Including Additional result report if any)</td>
<td>5% x 4</td>
</tr>
<tr>
<td>5</td>
<td>Submission of Deliverable – Final Results Report</td>
<td>10% x 1</td>
</tr>
</tbody>
</table>

7. Technical Audit Consultant Team

Considering workload and geographical distribution of the Roads, Technical Audit Consultant team has been envisaged and resources required are estimated accordingly. The Technical Audit Consultant’s team will comprise of engineer/contract specialist, safeguard specialist lead by a Team Leader and supported by a data analyst. All the team members are national input. They will be deputed as and when required by the Program. The indicative annual inputs for the team members are summarized in the table below:

Technical Audit Consultant’s Team and Indicative Inputs

<table>
<thead>
<tr>
<th>SL.#</th>
<th>TEAM MEMBER POSITION (NO.)</th>
<th>EXPERIENCE</th>
<th>ANNUAL INPUTS (PERSON DAYS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Team Leader / Planning and Budget Specialist (1)</td>
<td>Senior</td>
<td>60</td>
</tr>
<tr>
<td>2</td>
<td>Engineer / Contract Specialist (2)(2 x 60)</td>
<td>Senior</td>
<td>120</td>
</tr>
<tr>
<td>3</td>
<td>Safeguard Specialist(2)(2 x 60)</td>
<td>Senior</td>
<td>120</td>
</tr>
<tr>
<td>4</td>
<td>Data Analyst(2)(2 x 60)</td>
<td>Junior /Mid-level</td>
<td>120</td>
</tr>
</tbody>
</table>

Indicative Total Inputs days per Year: 420

Qualifications and experience of core team member

The required qualification and experience of the core team member in the team are detailed as follows. However, it is anticipated that the intending Technical Audit Consultant should propose detailed job description, duties and responsibilities against each position in their methodology in order to accomplish the tasks described in the scope of services:

**Team Leader cum Planning & Budget Specialist (1)**-She/he should have minimum graduate degree in civil engineering. Master degree in Management Science preferable Finance as major subject will be an added advantage. Minimum 15 years work experience of which at least ten years involved in the road infrastructure (at least 2 different assignments). Should have project management skills demonstrated by holding Team Leader position, leadership qualities, good communication skills (fluent in English), and experienced in report preparation skills. The Team Leader will have overall responsibility for the Technical Audit Consultant’s services, be familiar with all aspects of the tasks listed above and will closely coordinate with the PMU and all other Program stakeholders to conduct the DLIs verification process.
Civil Engineer cum Contract Specialist (1)-She/he should have minimum graduate degree in civil engineering. Master degree in civil engineering will be an added advantage. Minimum 12 years work experience of which at least five years involved in the Highway or transportation engineering or construction supervision of infrastructure works or contract management or quality control. Experience in road and bridge works, procurement and, knowledge of engineering standards practiced in India will be a plus.

Safeguard Specialist - She/he should have minimum graduate degree in environmental engineering or environmental science or civil engineering. Master degree in environmental engineering or environmental science or civil engineering will be an added advantage. Minimum 12 years work experience of which at least five years involved in the compliance monitoring of social and environmental consideration including occupational health and safety (OHS) and labour welfare compliance in civil works comprising roads and bridges. She/he should have working experience in contract documents preparation related to social and environmental considerations. Experience in working with infrastructure development project will be a plus.

Position: Data Analyst (1) - She/he should have minimum graduate degree in Science/Statistics or any technical discipline. Minimum 5 years professional work experience of which at least two years involved in the data analysis, sampling and processing.

8. Roles, Responsibilities and Reporting

Roles, Responsibilities and reporting requirements are identified for each activity for PMU, PIU, TAC & World bank as per following:

<table>
<thead>
<tr>
<th>Activity</th>
<th>PMU</th>
<th>PIU</th>
<th>Tech. Agent</th>
<th>World Bank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall professional responsibility including technical and financial considerations to complete of the works eligible for the Program</td>
<td>√</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Initiating DLI verification process</td>
<td>√</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lead DLI verification process in field</td>
<td></td>
<td>√</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conduct DLI verification following desk review, field verification as per verification protocols of the Program and preparation of draft report of results achieved and constructive feedback</td>
<td></td>
<td></td>
<td>√</td>
<td></td>
</tr>
<tr>
<td>Final report preparation comprising achieved results and constructive feedback</td>
<td></td>
<td></td>
<td></td>
<td>√</td>
</tr>
<tr>
<td>Results achieved notification and initiating disbursement request</td>
<td></td>
<td>√</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disbursement as per DLR achieved</td>
<td></td>
<td></td>
<td></td>
<td>√</td>
</tr>
</tbody>
</table>

Reporting

- Technical Audit Consultant shall report to PMU;
- PMU recommends and send result reports to WB;
- PMU submits disbursement request to WB;

Assistance to be provided by GoR through the PMU

Information. It is expected that the PPP, PWD, both at HQ and at field levels, will provide all ready and available information as requested by the consultant. These entities may elect to charge reasonable costs for reproduction of data, which the consultant shall bear. The consultant will be responsible for any translation of documents and for processing of all data.
ANNEX-1

**Description of Disbursement Linked Indicators (DLIs) under RSHDP-II**

The RSHDP-II Program has Nineteen (19) DLIs. The disbursements will be made based on the extent of the targets they achieve. The DLI targets are specified as per requirements stipulated in each DLI verification protocol achievements table.

*The Program will disburse against the achievement of DLI targets anytime within the Program period. This means, if the Program fails to achieve a DLI target in any year, the related disbursement amount will be rolled over to the next year. If the Program consistently overachieves its targets, the credit/loans could be fully disbursed before the formal end of the operation.*

### Disbursement Linked Indicators Matrix

<table>
<thead>
<tr>
<th>DLI 1</th>
<th>Four hundred seventy-two (472) kilometers (km) of roads executed through EPC contracts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of DLI</td>
<td>Scalability</td>
</tr>
<tr>
<td>Output</td>
<td>Yes</td>
</tr>
<tr>
<td>Period</td>
<td>Value</td>
</tr>
<tr>
<td>Baseline</td>
<td>0.00</td>
</tr>
<tr>
<td>Year 1</td>
<td>30.00</td>
</tr>
<tr>
<td>Year 2</td>
<td>130.00</td>
</tr>
<tr>
<td>Year 3</td>
<td>277.00</td>
</tr>
<tr>
<td>Year 4</td>
<td>377.00</td>
</tr>
<tr>
<td>Year 5</td>
<td>472.00</td>
</tr>
</tbody>
</table>
### DLI 2

Two Hundred ninety-three (293) kilometers (km) of roads executed through PPP/HAM contracts

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output</td>
<td>Yes</td>
<td>Kilometers</td>
<td>60,000,000.00</td>
<td>14.25</td>
</tr>
</tbody>
</table>

#### Period

<table>
<thead>
<tr>
<th>Value</th>
<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td>0.00</td>
<td></td>
</tr>
<tr>
<td>Year 3</td>
<td>50.00</td>
<td>10,000,000.00</td>
</tr>
<tr>
<td>Year 4</td>
<td>193.00</td>
<td>25,000,000.00</td>
</tr>
<tr>
<td>Year 5</td>
<td>293.00</td>
<td>25,000,000.00 cumulative</td>
</tr>
</tbody>
</table>

### DLI 3

The RSHA Chairperson and Board Members have been appointed

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcome</td>
<td>No</td>
<td>Yes/No</td>
<td>7,000,000.00</td>
<td>1.66</td>
</tr>
</tbody>
</table>

#### Period

<table>
<thead>
<tr>
<th>Value</th>
<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Yes</td>
<td>7,000,000.00</td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>
### DLI 4

The Cabinet has approved the Rules and Regulations for the RSHA

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcome</td>
<td>No</td>
<td>Yes/No</td>
<td>6,000,000.00</td>
<td>1.43</td>
</tr>
</tbody>
</table>

**Period**

<table>
<thead>
<tr>
<th>Value</th>
<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Yes</td>
<td>6,000,000.00</td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Year 4</td>
<td></td>
<td>0.00</td>
</tr>
<tr>
<td>Year 5</td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>

### DLI 5

Rajasthan has allocated budget for the initial operation of RSHA

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcome</td>
<td>No</td>
<td>Yes/No</td>
<td>5,000,000.00</td>
<td>1.19</td>
</tr>
</tbody>
</table>

**Period**

<table>
<thead>
<tr>
<th>Value</th>
<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Yes</td>
<td>5,000,000.00</td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>
## Section 7. Terms of Reference

### Rajasthan has notified the Rules and Regulations for RSHA

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcome</td>
<td>No</td>
<td>Yes/No</td>
<td>5,000,000.00</td>
<td>1.19</td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td><strong>Value</strong></td>
<td><strong>Allocated Amount (USD)</strong></td>
<td><strong>Formula</strong></td>
<td></td>
</tr>
<tr>
<td>Baseline</td>
<td>No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Yes</td>
<td>5,000,000.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 4</td>
<td></td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 5</td>
<td></td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### RSHA Board has approved RSHA organizational structure and staffing plan

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcome</td>
<td>No</td>
<td>Yes/No</td>
<td>5,000,000.00</td>
<td>1.19</td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td><strong>Value</strong></td>
<td><strong>Allocated Amount (USD)</strong></td>
<td><strong>Formula</strong></td>
<td></td>
</tr>
<tr>
<td>Baseline</td>
<td>No</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Section 7. Terms of Reference

DLI 8
RSHA has appointed: (i) its management cadre (other than the RSHA Chairperson and RSHA Board members); and (ii) technical staff

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
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### DLI 9

The RSHA Board has approved the RSHA Business Model

<table>
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### DLI 10

The Cabinet has approved Financial Management Rules for the RSHA

<table>
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</tr>
</thead>
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<tr>
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<tr>
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</table>
### DLI 11
Rajasthan has earmarked at least 50% of annual resources of the State Road Development Fund for development and maintenance of State Highways

<table>
<thead>
<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
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<td>Intermediate Outcome</td>
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<td>Yes/No</td>
<td>5,000,000.00</td>
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<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
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<tr>
<td>Year 1</td>
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<td>Year 2</td>
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<td>Year 3</td>
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### DLI 12
RSHA has adopted the RAMS

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<th>Formula</th>
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</thead>
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<tr>
<td>Year 2</td>
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<td>Year 3</td>
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**DLI 13**  
RSHA Board has approved the Investment Plan

<table>
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<tr>
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**Period**  
Value  
Allocated Amount (USD)  
Formula

<table>
<thead>
<tr>
<th>Value</th>
<th>Baseline</th>
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<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
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<td>5,000,000.00</td>
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**DLI 14**  
Rajasthan has approved the PWD-RSHA Transition Strategy and Plan prepared by the RSHA Cell

<table>
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<tr>
<th>Type of DLI</th>
<th>Scalability</th>
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**Period**  
Value  
Allocated Amount (USD)  
Formula

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### Year-wise Allocation

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### DLI 15

RSHA and PWD have implemented the PWD-RSHA Transition Strategy and Plan

<table>
<thead>
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<th>Unit of Measure</th>
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<th>As % of Total Financing Amount</th>
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</thead>
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**Period**

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<td>Year 2</td>
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<td>Year 3</td>
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### DLI 16

RSHA has signed contracts for upgrading/ rehabilitating and/or maintaining 10,000 km of State Highways

<table>
<thead>
<tr>
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<td>10,000,000.00</td>
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### DLI 17

RSHA has drafted and the RSHA Board has approved the first Service Level Agreements between (i) RSHA and Rajasthan’s government; and (ii) RSHA and its cadre of executive managers

<table>
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<tr>
<th>Type of DLI</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
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### DLI 18

PWD has fully developed the RADMS

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<th>As % of Total Financing Amount</th>
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<td>Yes/No</td>
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<tr>
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<td>5,000,000.00</td>
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<tr>
<td>Year 3</td>
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<tr>
<td>Year 5</td>
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### DLI 19

The Rajasthan Police has rolled out the RADMS to all thirty-four (34) Police Districts Offices

<table>
<thead>
<tr>
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<th>Scalability</th>
<th>Unit of Measure</th>
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<th>As % of Total Financing Amount</th>
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<tbody>
<tr>
<td>Intermediate Outcome</td>
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<td>Yes/No</td>
<td>5,000,000.00</td>
<td>1.19</td>
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<td>Year 5</td>
<td>Yes</td>
<td>5,000,000.00</td>
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</table>
### Annex-1: Disbursement Linked Indicators and Verification Protocols

#### Verification Agency – Technical Audit Consultant

<table>
<thead>
<tr>
<th>S.No.</th>
<th>DLI</th>
<th>Total Financing Allocated to DLI (US $ million) ( % of total financing)</th>
<th>Target Achievement Timelines (Indicative)</th>
<th>Data/ Information Definition and Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 5</td>
<td>Project Progress Reports and data prepared by the Authority Engineer (AE) for PPP Division, reports by the Technical Audit Consultant (TAC)</td>
<td></td>
<td></td>
<td><strong>Definition</strong>: This DLI will be met when a predefined number of km of state highways under EPC contracts are upgraded as per the designs approved by the Authority Engineer (AE). The upgraded works should also include compliance with the relevant social and environmental safeguards instruments adopted by the project and climate resilient measures. This DLI is scalable to provide flexibility in disbursement. <strong>Scalability</strong>: USD 10 Million upon execution of 30km, plus USD 4 Million for every additional 20 km thereafter, up to a maximum amount of USD 103 Million. <strong>Procedure</strong>: A comprehensive review will be carried out by the TAC on a randomly selected 10% road sections. The review covers engineering designs prepared by the contractor and approved by the AE. The review also includes quality assurance, contract management including settlement of contractor’s claims, compliance with and implementation of ESIMP, implementation of traffic safety measures, compliance with labor laws especially</td>
</tr>
<tr>
<td>S.No.</td>
<td>DLI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------</td>
<td>-----</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>Total Financing Allocated to DLI (US $ million) (% of total financing)</td>
<td>Target Achievement Timelines (Indicative)</td>
<td>Data/Information</td>
<td>Verification Protocol Definition and Procedure</td>
</tr>
<tr>
<td>2.</td>
<td>Two Hundred ninety-three (293) kilometers (km) of roads executed through PPP/HAM contracts</td>
<td>60.0 (24%)</td>
<td>Year 5</td>
<td>Project Progress Reports and data prepared by the Independent Engineer (IE) for PPP Division, reports by the Technical Audit Consultant (TAC)</td>
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Section 7. Terms of Reference

<table>
<thead>
<tr>
<th>S.No.</th>
<th>DLI</th>
<th>Total Financing Allocated to DLI (US $ million) (%) of total financing</th>
<th>Target Achievement Timelines (Indicative)</th>
<th>Data/Information</th>
<th>Verification Protocol Definition and Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>The RSHA Chairperson and Board Members have been appointed</td>
<td>7.0 (2.8%)</td>
<td>Year 1</td>
<td>Government Notification/Office Order of appointment</td>
<td>Operationalization of RSHA: US$ 90 Million (36%)</td>
</tr>
<tr>
<td></td>
<td>The Cabinet has approved the Rules and Regulations for the RSHA</td>
<td>6.0 (2.4%)</td>
<td>Year 1</td>
<td>Cabinet minutes of session, copy of the approved rules and regulations</td>
<td>Definition: This DLI will be met when the Chairperson of the RSHA and all the four full-time and three part-time members are appointed. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable.</td>
</tr>
</tbody>
</table>

4. The Cabinet has approved the Rules and Regulations for the RSHA

of traffic safety measures, compliance with labor laws especially on child labor and management of migrant labor. Besides the random selection of road stretches, the TAC will also include review of sensitive stretches on environment, social and traffic safety. The TAC is expected to start work in June and December of every year and to certify that the DLIs have been fully or partially achieved or exceeded and on call basis also if ever needed in case of exceptional achievement.
<table>
<thead>
<tr>
<th>S.No.</th>
<th>DLI</th>
<th>Total Financing Allocated to DLI (US $ million) (% of total financing)</th>
<th>Target Achievement Timelines (Indicative)</th>
<th>Data/Information</th>
<th>Verification Protocol Definition and Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>Rajasthan has allocated budget for the initial operation of RSHA</td>
<td>5.0 (2.0%)</td>
<td>Year 1</td>
<td>Published budget by Department of Finance</td>
<td>scalable. Procedure: The TAC reviews the Cabinet’s minutes of session and confirms the Cabinet’s approval of the rules and regulations. <strong>Definition:</strong> This DLI will be met when RSHA’s operating budget is approved and allocated by the GoR. The DLI is not scalable. <strong>Procedure:</strong> The TAC reviews the budget published by the Finance Department of GoR and verifies that RSHA’s operating budget for Year 1 is allocated under a separate budget head or as a budget line in the PWD’s budget.</td>
</tr>
<tr>
<td>6.</td>
<td>Rajasthan has notified the Rules and Regulations for RSHA</td>
<td>5.0 (2.0%)</td>
<td>Year 1</td>
<td>GoR’s gazette notification</td>
<td><strong>Definition:</strong> This DLI will be met when the approved rules and regulations (as approved by the Cabinet under DLI 4) as per the provisions of the Sections 102 and 103, 106 and other related provisions of the Rajasthan State Highway Act, 2015 governing the duties, responsibilities and authorities of RSHA for efficient discharge of its functions are notified for adoption.</td>
</tr>
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<td>7.</td>
<td>RSHA Board has approved RSHA organizational</td>
<td>5.0 (2.0%)</td>
<td>Year 2</td>
<td>RSHA Board Minutes of the Meeting and Report</td>
<td><strong>Definition:</strong> This DLI will be met when the RSHA organizational structure and staffing plan is approved by the RSHA Board. The organization structure and staffing plan should at least consist of</td>
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- **structure and staffing plan**

- **organogram showing linkages between functional units, roles and responsibilities, skill mapping, staffing estimates, staff acquisition strategy, training plan, succession strategy, benefit packages based on the business model of RSHA. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable.**

**Procedure:** The TAC reviews the minutes of the Board meeting of RSHA and verifies that the organizational structure and staffing plan has been approved by the Board. The TAC will also review whether the organizational structure and staffing plan have been based on the business model of RSHA and benchmarking relevant good practices elsewhere.
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</table>
| 8.    | RSHA has appointed: (i) its management cadre (other than the RSHA Chairperson and RSHA Board members); and (ii) technical staff | 8.0 (3.2%)                                                            | Year 2                                    | Government Orders/ notification/ appointment letters | **Definition:** This DLI will be met when 100% of RSHA management staff, other than defined in DLI 3, and 100% of technical staff are appointed. The DLI is scalable.  
**Scalability:**  
(i) USD 2 million upon the appointment of at least 60% of managerial cadre; plus USD 2 million upon appointment of 100% of managerial cadre; and  
(ii) USD 2 million upon the appointment of at least 60% of the technical staff; plus USD 2 million upon appointment of 100% of the technical staff  
**Procedure:** The TAC reviews government document demonstrating that the staff is hired/ appointed as per the staffing plan of RSHA. |
| 9.    | The RSHA Board has approved the RSHA Business Model                 | 7.0 (2.8%)                                                            | Year 1                                    | RSHA’s business model report, board’s minutes of approval of the business plan | **Definition:** This DLI will be met when RSHA’s business model is approved by the RSHA Board. The business model defines the Authority’s corporate business model, KPIs, strategy to deliver a better service to users, financing, and accountability mechanisms to the public/GoR as per the rules and regulations of the Rajasthan State Highway Act, 2015.  
**Procedure:** The TAC reviews the Business Model to confirm that it includes Authority’s corporate business model, KPIs, strategy to deliver a better service to users, financing, and accountability mechanisms to the public/GoR as per the rules and regulations. |
Section 7. Terms of Reference

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<td>regulations of the Rajasthan State Highway Act, 2015.</td>
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<tr>
<td>10.</td>
<td>The Cabinet has approved Financial Management Rules for the RSHA</td>
<td>5.0 (2.0%)</td>
<td>Year 1</td>
<td>Cabinet minutes of session and copy of approved FM Rules</td>
<td><strong>Definition:</strong> This DLI will be met when the rules and regulations governing the budgeting, fund flow, accounting, and reporting of RSHA financial resources approved by the Cabinet. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable.</td>
</tr>
<tr>
<td>11.</td>
<td>Rajasthan has earmarked at least 50% of annual resources of the State Road Development Fund for development and maintenance of State Highways</td>
<td>5.0 (2.0%)</td>
<td>Year 1</td>
<td>SRF’s Board Meeting minutes, RSHA’s annual financial report</td>
<td><strong>Definition:</strong> This DLI will be met when the GoR allocates at least 50% of the annual resources of the State Road Development Fund for the fiscal year 2019-20 to the development and maintenance of the state highways. The disbursement linked to this indicator is to incentivize the first transfer of money from the SRF, assuming that the allocation of money to state highways will continue every year as per the provisions of the RSH Act. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable.</td>
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**Procedure:** The TAC reviews the Cabinet’s minutes of session and confirm the cabinet’s approval of the FM rules. **Definition:** This DLI will be met when the GoR allocates at least 50% of the annual resources of the State Road Development Fund for the fiscal year 2019-20 to the development and maintenance of the state highways. The disbursement linked to this indicator is to incentivize the first transfer of money from the SRF, assuming that the allocation of money to state highways will continue every year as per the provisions of the RSH Act. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable. **Procedure:** The TAC reviews SRF’s board meeting minutes to verify that 50% of the SRF’s annual revenues have been allocated to the state highways development and maintenance, with no conditions attached. Furthermore, the TAC reviews...
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<tr>
<td>12.</td>
<td>RSHA has adopted the RAMS</td>
<td>5.0 (2.0%)</td>
<td>Year 3</td>
<td>RAMS consultant’s technical reports, sample RAMS reports, online access to RAMS. RSHA’s maintenance investment planning report.</td>
<td>SRF’s annual financial statements to verify that allocation has been made. <strong>Definition:</strong> This DLI will be met when RAMS being developed under the bank financed RRSMP is adopted by RSHA to manage the state highways network under its jurisdiction. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable. <strong>Procedure:</strong> The TAC reviews RAMS consultant’s technical reports, views the different modules of the system online, produces sample inputs and output reports representing the various modules of the system, and verifies that the state highways data are fully automated.</td>
</tr>
</tbody>
</table>
| 13.   | RSHA Board has approved the Investment Plan | 5.0 (2.0%) | Year 3 | Minutes of the RSHA Board meeting and Investment Plan Report | **Definition:** This DLI will be met when the investment plan is approved by the RSHA Board. The Investment Plan should at least consist of prioritized road network for maintenance, rehabilitation, upgradation, and budget estimates and resource planning. In case the DLI is met later than the target date, the disbursement linked to the indicator will still be made when the DLI is met. The DLI is not scalable. **Procedure:** The TAC reviews the Investment Plan approved by
<table>
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<tr>
<td>14.</td>
<td>Rajasthan has approved the PWD-RSHA Transition Strategy and Plan prepared by the RSHA Cell</td>
<td>5.0 (2.0%)</td>
<td>Year 1</td>
<td>GoR minutes of session, RSHA-PMU strategy document for transition</td>
<td><strong>Definition:</strong> This DLI will be met when RSHA Cell prepares a transition strategy in accordance with the RSHA Act for operationalization of RSHA covering transfer of state highways, human resources and other assets along with the implementation plan and this strategy is approved by the GoR. <strong>Procedure:</strong> The TAC reviews the minutes of session by GoR for approving the transition strategy for operationalization of RSHA covering transfer of management of state highways, human resources and other assets according to the RSH Act and its implementation plan.</td>
</tr>
<tr>
<td>15.</td>
<td>RSHA and PWD have implemented the PWD-RSHA Transition Strategy and Plan</td>
<td>7.0 (2.8%)</td>
<td>Year 1-2</td>
<td>RSHA Cell report and Project Progress Report</td>
<td><strong>Definition:</strong> This DLI will be met when the approved transition strategy is implemented by the responsible entities i.e. RSHA and PWD. <strong>Procedure:</strong> The TAC verifies that all the actions/ activities of the approved transition strategy are implemented by RSHA and PWD.</td>
</tr>
<tr>
<td>16.</td>
<td>RSHA has signed contracts for upgrading/rehabilitating</td>
<td>10.0 (4.0%)</td>
<td>Year 4</td>
<td>Government Order/ Notification/ Contract</td>
<td><strong>Definition:</strong> This DLI will be met when RSHA has signed contracts for upgrading/ rehabilitating/ construction/ maintenance of 5000 km of highways by taking over the management, as per the Transition Strategy approved by the GoR, of existing</td>
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## Terms of Reference

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<tr>
<td></td>
<td>and/or maintaining 10,000 km of State Highways</td>
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<td>contracts or signing new contracts from PWD and other agencies. The DLI is scalable.</td>
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<td></td>
<td><strong>Scalability:</strong> USD 2 million upon the signing of new, and/or assignment assumption, of existing, contracts covering at least 2,000 km, plus USD 1 million for the contracting or assumption of contracts for every additional 1000 km thereafter, up to a maximum amount of USD 11.5 million.</td>
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<td><strong>Procedure:</strong> TAC reviews the government order/ notification stating RSHA as employer of existing contracts and/or new contracts signed by RSHA as employer as per the Transition Strategy approved by the GoR.</td>
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<td></td>
<td><strong>Definition:</strong> This DLI will be met when the first service level agreement (SLA) between (i) the RSHA and the GoR;and (ii) RSHA Board and its cadre of executive management is drafted by RSHA and endorsed by the RSHA Board. The DLI is not scalable.</td>
</tr>
<tr>
<td>17.</td>
<td>RSHA has drafted and the RSHA Board has approved the first Service Level Agreements between (i) RSHA and Rajasthan’s government; and (ii) RSHA and its cadre of</td>
<td>5.0 (2.0%) Year 2 Service Level Agreement, Minutes of RSHA’s Board meeting</td>
<td></td>
<td><strong>Procedure:</strong> The TAC reviews the two SLAs which should at least lay out the key performance indicators and related monitoring mechanism, benchmarking it with good practices of relevant corporate entities. The TAC also reviews the minutes of RSHA’s management meetings to verify the endorsement of the SLAs by the RSHA Board.</td>
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| 18. | PWD has fully developed the RADMS | 5.0 (2%) Year 2 | The RADMS Consultant’s report, RADMS system | **Definition:** This DLI will be met when the RADMS is fully developed as a standalone or as COTS, customized to Rajasthan’s road safety management needs. The DLI is not scalable. The RADMS should at least consist of accident data collection modules, including community data collection module, analytical modules, reporting modules, mobile apps, and GIS platform.  
**Procedure:** The TAC will review the consultant’s technical report and progress report, witnessing live demonstration of RADMS on test data. |
| 19. | The Rajasthan Police has rolled out the RADMS to all thirty-four (34) Police Districts Offices | 5.0 (2%) Year 5 | The RADM’s Consultant’s report, RADMS system | **Definition:** This DLI will be met when fully developed RADMS is installed and rolled out in all the thirty-four (34) Police district offices of Rajasthan including the hardware, software, user manual, standard operating procedures and the training of the staff. The DLI is scalable to provide flexibility.  
**Scalability:** USD 3 million upon the roll out of the RADMS to a minimum of 20 Police District Offices, plus; USD 2 million upon the rolling out of the RADMS in the remaining 14 Police District Offices for a total of 34 Police District Offices  
**Procedure:** The TAC will review the consultant’s technical |
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<td>report and progress report, witnessing live demonstration of RADMS with test data in all districts including provisions of mobile devices and staff trained as specified in the contract of RADMS consultant.</td>
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PART II
Standard Form of Contract

Consultant’s Services
Lump-Sum
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Preface

1. The standard Contract form consists of four parts: the Form of Contract to be signed by the Client and the Consultant, the General Conditions of Contract (GCC), including Attachment 1 - Fraud and Corruption; the Special Conditions of Contract (SCC); and the Appendices.

2. The General Conditions of Contract, including Attachment 1, shall not be modified. The Special Conditions of Contract that contain clauses specific to each Contract intend to supplement, but not over-write or otherwise contradict, the General Conditions.
CONTRACT FOR CONSULTANT’S SERVICES

Lump-Sum

Project Name Technical Audit Consultant for Verification of Disbursement Linked Indicator under Rajasthan State Highway Development Program-II (RSHDP-II)

Loan No. 8939-IN

Contract No. _ PPP/WB/RSHDP/TAC

between

__________________________
[Name of the Client]

and

__________________________
[Name of the Consultant]

Dated: ___________________
I. Form of Contract

LUMP-SUM

(Text in brackets [ ] is optional; all notes should be deleted in the final text)

This CONTRACT (hereinafter called the “Contract”) is made the [number] day of the month of [month], [year], between, on the one hand, [name of Client or Recipient] (hereinafter called the “Client”) and, on the other hand, [name of Consultant] (hereinafter called the “Consultant”).

[If the Consultant consist of more than one entity, the above should be partially amended to read as follows: “…(hereinafter called the “Client”) and, on the other hand, a Joint Venture (name of the JV) consisting of the following entities, each member of which will be jointly and severally liable to the Client for all the Consultant’s obligations under this Contract, namely, [name of member] and [name of member] (hereinafter called the “Consultant”).]

WHEREAS

(a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);

(b) the Consultant, having represented to the Client that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;

(c) the Client has received [or has applied for] a loan [or credit or grant] from the [insert as relevant, International Bank for Reconstruction and Development (IBRD) or International Development Association (IDA)]: toward the cost of the Services and intends to apply a portion of the proceeds of this [loan/credit/grant] to eligible payments under this Contract, it being understood that (i) payments by the Bank will be made only at the request of the Client and upon approval by the Bank; (ii) such payments will be subject, in all respects, to the terms and conditions of the [loan/financing/grant] agreement, including prohibitions of withdrawal from the [loan/credit/grant] account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by the decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations; and (iii) no party other than the Client shall derive any rights from the [loan/financing/grant] agreement or have any claim to the [loan/credit/grant] proceeds;
NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
   
   (a) The General Conditions of Contract (including Attachment 1 “Fraud and Corruption”);  
   (b) The Special Conditions of Contract;  
   (c) Appendices:  
       
       Appendix A: Terms of Reference  
       Appendix B: Key Experts  
       Appendix C: Breakdown of Contract Price  
       Appendix D: Form of Advance Payments Guarantee  
   
   In the event of any inconsistency between the documents, the following order of precedence shall prevail: the Special Conditions of Contract; the General Conditions of Contract, including Attachment 1; Appendix A; Appendix B; Appendix C; Appendix D. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Client and the Consultant shall be as set forth in the Contract, in particular:

   (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and  
   (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of [Name of Client]

[Authorized Representative of the Client – name, title and signature]

For and on behalf of [Name of Consultant or Name of a Joint Venture]

[Authorized Representative of the Consultant – name and signature]

[For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]
For and on behalf of each of the members of the Consultant [insert the Name of the Joint Venture]

[Name of the lead member]

[Authorized Representative on behalf of a Joint Venture]

[add signature blocks for each member if all are signing]
II. General Conditions of Contract

A. GENERAL PROVISIONS

1. Definitions

1.1 Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

(a) “Applicable Law” means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the Special Conditions of Contract (SCC), as they may be issued and in force from time to time.

(b) “Bank” means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).

(c) “Borrower” means the Government, Government agency or other entity that signs the financing agreement with the Bank.

(d) “Client” means the implementing agency that signs the Contract for the Services with the Selected Consultant.

(e) “Consultant” means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.

(f) “Contract” means the legally binding written agreement signed between the Client and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).

(g) “Day” means a working day unless indicated otherwise.

(h) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.

(i) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.

(j) “Foreign Currency” means any currency other than the currency of the Client’s country.

(k) “GCC” means these General Conditions of Contract.
2. **Relationship between the Parties**

2.1. Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Client and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

3. **Law Governing Contract**

3.1. This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.

4. **Language**

4.1. This Contract has been executed in the language specified in the SCC, which shall be the binding and controlling language for all
matters relating to the meaning or interpretation of this Contract.

5. Headings

5.1. The headings shall not limit, alter or affect the meaning of this Contract.

6. Communications

6.1. Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the language specified in Clause GCC 4. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the SCC.

6.2. A Party may change its address for notice hereunder by giving the other Party any communication of such change to the address specified in the SCC.

7. Location

7.1. The Services shall be performed at such locations as are specified in Appendix A hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government’s country or elsewhere, as the Client may approve.

8. Authority of Member in Charge

8.1. In case the Consultant is a Joint Venture, the members hereby authorize the member specified in the SCC to act on their behalf in exercising all the Consultant’s rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client.

9. Authorized Representatives

9.1. Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the SCC.

10. Fraud and Corruption

10.1 The Bank requires compliance with the Bank’s Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG’s Sanctions Framework, as set forth in Attachment 1 to the GCC.

a. Commissions and Fees

10.2 The Client requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract and/or sanctions by the Bank.
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

11. Effectiveness of Contract

11.1. This Contract shall come into force and effect on the date (the “Effective Date”) of the Client’s notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the SCC have been met.

12. Termination of Contract for Failure to Become Effective

12.1. If this Contract has not become effective within such time period after the date of Contract signature as specified in the SCC, either Party may, by not less than twenty two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect hereto.

13. Commencement of Services

13.1. The Consultant shall confirm availability of Key Experts and begin carrying out the Services not later than the number of days after the Effective Date specified in the SCC.

14. Expiration of Contract

14.1. Unless terminated earlier pursuant to Clause GCC 19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the SCC.

15. Entire Agreement

15.1. This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.

16. Modifications or Variations

16.1. Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposals for modification or variation made by the other Party.

16.2. In cases of substantial modifications or variations, the prior written consent of the Bank is required.

17. Force Majeure

a. Definition

17.1. For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party’s performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible under the circumstances, and subject to those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.
17.2. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party’s Experts, Sub-consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract, and avoid or overcome in the carrying out of its obligations hereunder.

17.3. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

b. No Breach of Contract

17.4. The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

c. Measures to be Taken

17.5. A Party affected by an event of Force Majeure shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

17.6. A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give written notice of the restoration of normal conditions as soon as possible.

17.7. Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

17.8. During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Client, shall either:

(a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Client, in reactivating the Services; or

(b) continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be
paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.

17.9. In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 44 & 45.

18. Suspension

18.1. The Client may, by written notice of suspension to the Consultant, suspend part or all payments to the Consultant hereunder if the Consultant fails to perform any of its obligations under this Contract, including the carrying out of the Services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to remedy such failure within a period not exceeding thirty (30) calendar days after receipt by the Consultant of such notice of suspension.

19. Termination

19.1. This Contract may be terminated by either Party as per provisions set up below:

a. By the Client

19.1.1. The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence the Client shall give at least thirty (30) calendar days’ written notice of termination to the Consultant in case of the events referred to in (a) through (d); at least sixty (60) calendar days’ written notice in case of the event referred to in (e); and at least five (5) calendar days’ written notice in case of the event referred to in (f):

(a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;

(b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;

(c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 45.1;

(d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;

(e) If the Client, in its sole discretion and for any reason
whatsoever, decides to terminate this Contract;

(f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

19.1.2. Furthermore, if the Client determines that the Consultant has engaged in Fraud and Corruption in competing for or in executing the Contract, then the Client may, after giving fourteen (14) calendar days written notice to the Consultant, terminate the Consultant's employment under the Contract.

b. By the Consultant

19.1.3. The Consultant may terminate this Contract, by not less than thirty (30) calendar days’ written notice to the Client, in case of the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause.

(a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.

(b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.

(c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 45.1.

(d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant’s notice specifying such breach.

c. Cessation of Rights and Obligations

19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant’s obligation to permit inspection, copying and auditing of their accounts and records set forth in Clause GCC 25 and to cooperate and assist in any inspection or investigation, and (iv) any right which a Party
may have under the Applicable Law.

d. Cessation of Services

19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Client, the Consultant shall proceed as provided, respectively, by Clauses GCC 27 or GCC 28.

e. Payment upon Termination

19.1.6. Upon termination of this Contract, the Client shall make the following payments to the Consultant:

(a) payment for Services satisfactorily performed prior to the effective date of termination; and

(b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

C. OBLIGATIONS OF THE CONSULTANT

20. General

a. Standard of Performance

20.1 The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Client, and shall at all times support and safeguard the Client’s legitimate interests in any dealings with the third parties.

20.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.

20.3. The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Client. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.
b. Law Applicable to Services

20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.

20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in the Client’s country when

   (a) as a matter of law or official regulations, the Borrower’s country prohibits commercial relations with that country; or

   (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower’s Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

21. Conflict of Interest

21.1. The Consultant shall hold the Client’s interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

   a. Consultant Not to Benefit from Commissions, Discounts, etc.

      21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 38 through 42) shall constitute the Consultant’s only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.

      21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Bank’s Applicable Regulations, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.

   b. Consultant and Affiliates

      21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity
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<tr>
<th>Section</th>
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<tr>
<td>8.1</td>
<td>Not to Engage in Certain Activities</td>
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<td>affiliated with the Consultant, as well as any Sub-consultants and any entity affiliated with such Sub-consultants, shall be disqualified from providing goods, works or non-consulting services resulting from or directly related to the Consultant’s Services for the preparation or implementation of the project.</td>
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<td>c.</td>
<td>Prohibition of Conflicting Activities</td>
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<td>21.1.4 The Consultant shall not engage, and shall cause its Experts as well as its Sub-consultants not to engage, either directly or indirectly, in any business or professional activities that would conflict with the activities assigned to them under this Contract.</td>
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<td>d.</td>
<td>Strict Duty to Disclose Conflicting Activities</td>
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<td>21.1.5 The Consultant has an obligation and shall ensure that its Experts and Sub-consultants shall have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Client, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.</td>
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<td>22.</td>
<td>Confidentiality</td>
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<td>22.1 Except with the prior written consent of the Client, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or as a result of, the Services.</td>
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<td>23.</td>
<td>Liability of the Consultant</td>
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<td>23.1 Subject to additional provisions, if any, set forth in the SCC, the Consultant’s liability under this Contract shall be provided by the Applicable Law.</td>
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<td>24.</td>
<td>Insurance to be taken out by the Consultant</td>
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<td>24.1 The Consultant (i) shall take out and maintain, and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants’, as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage specified in the SCC, and (ii) at the Client’s request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC 13.</td>
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<td>25.</td>
<td>Accounting, Inspection and Auditing</td>
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<td>25.1 The Consultant shall keep, and shall make all reasonable efforts to cause its Sub-consultants to keep, accurate and systematic accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.</td>
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</table>
25.2 Pursuant to paragraph 2.2 e. of Appendix to the General Conditions the Consultant shall permit and shall cause its subcontractors and subconsultants to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or the accounts and records relating to the performance of the Contract and the submission of the bid, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Consultant’s and its Subcontractors’ and subconsultants’ attention is drawn to Sub-Clause 10.1 which provides, inter alia, that acts intended to materially impede the exercise of the Bank’s inspection and audit rights constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank’s prevailing sanctions procedures).

26. Reporting Obligations

26.1 The Consultant shall submit to the Client the reports and documents specified in Appendix A, in the form, in the numbers and within the time periods set forth in the said Appendix.

27. Proprietary Rights of the Client in Reports and Records

27.1 Unless otherwise indicated in the SCC, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Client in the course of the Services shall be confidential and become and remain the absolute property of the Client. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Client.

27.2 If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Client’s prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the SCC.

28. Equipment, Vehicles and Materials

28.1 Equipment, vehicles and materials made available to the Consultant by the Client, or purchased by the Consultant wholly or partly with funds provided by the Client, shall be the property of the Client and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the Client an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance with the Client’s instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by
the Client in writing, shall insure them at the expense of the Client in an amount equal to their full replacement value.

28.2 Any equipment or materials brought by the Consultant or its Experts into the Client’s country for the use either for the project or personal use shall remain the property of the Consultant or the Experts concerned, as applicable.

D. CONSULTANT’S EXPERTS AND SUB-CONSULTANTS

29. Description of Key Experts

29.1 The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant’s Key Experts are described in Appendix B.

30. Replacement of Key Experts

30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.

30.2 Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant’s written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall forthwith provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.

31. Removal of Experts or Sub-consultants

31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or if the Client determines that a Consultant’s Expert or Sub-consultant has engaged in Fraud and Corruption while performing the Services, the Consultant shall, at the Client’s written request, provide a replacement.

31.2 In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Client to be incompetent or incapable in discharging assigned duties, the Client, specifying the grounds therefore, may request the Consultant to provide a replacement.

31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.

31.4 The Consultant shall bear all costs arising out of or incidental to any removal and/or replacement of such Experts.

E. OBLIGATIONS OF THE CLIENT

32. Assistance and
Exemptions

best efforts to:

(a) Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.

(b) Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in the Client’s country while carrying out the Services under the Contract.

(c) Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Experts and their eligible dependents.

(c) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.

(d) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in the Client’s country according to the applicable law in the Client’s country.

(e) Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in the Client’s country, of bringing into the Client’s country reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.

(f) Provide to the Consultant any such other assistance as may be specified in the SCC.

33. Access to Project Site

33.1 The Client warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The Client will be responsible for any damage to the project site or any property thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of the Consultant or any Sub-consultants or the Experts of either of them.
34. Change in the Applicable Law Related to Taxes and Duties

34.1 If, after the date of this Contract, there is any change in the applicable law in the Client’s country with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 38.1.

35. Services, Facilities and Property of the Client

35.1 The Client shall make available to the Consultant and the Experts, for the purposes of the Services and free of any charge, the services, facilities and property described in the Terms of Reference (Appendix A) at the times and in the manner specified in said Appendix A.

36. Counterpart Personnel

36.1 The Client shall make available to the Consultant free of charge such professional and support counterpart personnel, to be nominated by the Client with the Consultant’s advice, if specified in Appendix A.

36.2 Professional and support counterpart personnel, excluding Client’s liaison personnel, shall work under the exclusive direction of the Consultant. If any member of the counterpart personnel fails to perform adequately any work assigned to such member by the Consultant that is consistent with the position occupied by such member, the Consultant may request the replacement of such member, and the Client shall not unreasonably refuse to act upon such request.

37. Payment Obligation

37.1 In consideration of the Services performed by the Consultant under this Contract, the Client shall make such payments to the Consultant for the deliverables specified in Appendix A and in such manner as is provided by GCC F below.

F. PAYMENTS TO THE CONSULTANT

38. Contract Price

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

38.2 Any change to the Contract price specified in Clause GCC 38.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and have amended in writing the Terms of Reference in Appendix A.

39. Taxes and Duties

39.1 The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract.
39.2 As an exception to the above and as stated in the SCC, all local identifiable indirect taxes (itemized and finalized at Contract negotiations) are reimbursed to the Consultant or are paid by the Client on behalf of the Consultant.

40. Currency of Payment

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

41. Mode of Billing and Payment

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

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

41.2.1 Advance payment: Unless otherwise indicated in the SCC, an advance payment shall be made against an advance payment bank guarantee acceptable to the Client in an amount (or amounts) and in a currency (or currencies) specified in the SCC. Such guarantee (i) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in Appendix D, or in such other form as the Client shall have approved in writing. The advance payments will be set off by the Client in equal portions against the lump-sum installments specified in the SCC until said advance payments have been fully set off.

41.2.2 The Lump-Sum Installment Payments. The Client shall pay the Consultant within sixty (60) days after the receipt by the Client of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Client does not approve the submitted deliverable(s) as satisfactory in which case the Client shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.

41.2.3 The Final Payment. The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The Services shall then be deemed completed and finally accepted by the Client. The last lump-sum installment shall be deemed approved for payment by the Client within ninety (90) calendar days after receipt of the final report by the Client unless
the Client, within such ninety (90) calendar day period, gives written notice to the Consultant specifying in detail deficiencies in the Services, the final report. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated. 41.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the SCC.

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

42. Interest on Delayed Payments
42.1 If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 41.2.2, interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the SCC.

G. FAIRNESS AND GOOD FAITH

43. Good Faith
43.1 The Parties undertake to act in good faith with respect to each other’s rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

H. SETTLEMENT OF DISPUTES

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

44.2 If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 45.1 shall apply.

45. Dispute Resolution
45.1 Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the SCC.
II. General Conditions  
Attachment 1  

Fraud and Corruption  

(Text in this Appendix shall not be modified)

1. Purpose

1.1 The Bank’s Anti-Corruption Guidelines and this annex apply with respect to procurement under Bank Investment Project Financing operations.

2. Requirements

2.1 The Bank requires that Borrowers (including beneficiaries of Bank financing); bidders (applicants/proposers), consultants, contractors and suppliers; any sub-contractors, sub-consultants, service providers or suppliers; any agents (whether declared or not); and any of their personnel, observe the highest standard of ethics during the procurement process, selection and contract execution of Bank-financed contracts, and refrain from Fraud and Corruption.

2.2 To this end, the Bank:

a. Defines, for the purposes of this provision, the terms set forth below as follows:

i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;

ii. “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;

iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;

iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;

v. “obstructive practice” is:

(a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or

(b) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 2.2 e. below.
b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

d. Pursuant to the Bank’s Anti-Corruption Guidelines and in accordance with the Bank’s prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner, (ii) to be a nominated sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;

e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

1 For the avoidance of doubt, a sanctioned party’s ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

2 A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

3 Inspections in this context usually are investigative (i.e., forensic) in nature. They involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to: accessing and examining a firm’s or individual’s financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third party verification of information.
### III. Special Conditions of Contract

*Notes in brackets are for guidance purposes only and should be deleted in the final text of the signed contract*

<table>
<thead>
<tr>
<th>Number of GC Clause</th>
<th>Amendments of, and Supplements to, Clauses in the General Conditions of Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1(a)</td>
<td>The Contract shall be construed in accordance with the law of India.</td>
</tr>
<tr>
<td></td>
<td>[Bank-financed contracts normally designate the law of the [Government’s/Client’s] country as the law governing the contract. However, the Parties may designate the law of another country, in which case the name of the respective country should be inserted, and the square brackets should be removed.]</td>
</tr>
<tr>
<td>4.1</td>
<td>The language is: English</td>
</tr>
<tr>
<td>6.1 and 6.2</td>
<td>The addresses are*[fill in at negotiations with the selected firm]*:</td>
</tr>
<tr>
<td></td>
<td>Client: Public Works Department, Government of Rajasthan _</td>
</tr>
<tr>
<td></td>
<td>Attention: Mr. Vinod K Singh, Additional Chief Engineer(PPP)</td>
</tr>
<tr>
<td></td>
<td>Facsimile: 0141-2223547</td>
</tr>
<tr>
<td></td>
<td>E-mail: <a href="mailto:aceppp.pwd@rajasthan.gov.in">aceppp.pwd@rajasthan.gov.in</a></td>
</tr>
<tr>
<td></td>
<td>Consultant: ____________________________________________</td>
</tr>
<tr>
<td></td>
<td>Attention: ____________________________________________</td>
</tr>
<tr>
<td></td>
<td>Facsimile: ____________________________________________</td>
</tr>
<tr>
<td></td>
<td>E-mail (where permitted): ________________________________</td>
</tr>
</tbody>
</table>
| 8.1                 | [If the Consultant consists only of one entity, state “N/A”;
|                     | OR
|                     | If the Consultant is a Joint Venture consisting of more than one entity, the name of the JV member whose address is specified in Clause SCC6.1 should be inserted here.] The Lead Member on behalf of the JV is ___________ [insert name of the member] |
| 9.1                 | The Authorized Representatives are: |
|                     | For the Client: Mr. Vinod K Singh, Additional Chief Engineer(PPP) |
|                     | For the Consultant: [name, title]_________________________ |
### 11.1
[Note: If there are no effectiveness conditions, state “N/A”]

**OR**

List here any conditions of effectiveness of the Contract, e.g., approval of the Contract by the Bank, effectiveness of the Bank [loan/credit/grant], receipt by the Consultant of an advance payment, and by the Client of an advance payment guarantee (see Clause SCC45.1(a)), etc.]

**The effectiveness conditions are the following:** [insert “N/A” or list the conditions]

### 12.1
Termination of Contract for Failure to Become Effective:

The time period shall be Twenty Two (22) days

### 13.1
Commencement of Services:

The number of days shall be Ten

Confirmation of Key Experts’ availability to start the Assignment shall be submitted to the Client in writing as a written statement signed by each Key Expert.

### 14.1
Expiration of Contract:

The time period shall be Sixty(60) Months

### 21 b.
The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3

Yes
23.1 The following limitation of the Consultant’s Liability towards the Client can be subject to the Contract’s negotiations:

“Limitation of the Consultant’s Liability towards the Client:

(a) Except in the case of gross negligence or willful misconduct on the part of the Consultant or on the part of any person or a firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused by the Consultant to the Client’s property, shall not be liable to the Client:

(i) for any indirect or consequential loss or damage; and

(ii) for any direct loss or damage that exceeds [insert a multiplier, e.g.: one, two, three] times the total value of the Contract;

(b) This limitation of liability shall not

(i) affect the Consultant’s liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services;

(ii) be construed as providing the Consultant with any limitation or exclusion from liability which is prohibited by the [insert “Applicable Law”, if it is the law of the Client’s country, or insert “applicable law in the Client’s country”, if the Applicable Law stated in Clause SCC1.1 (b) is different from the law of the Client’s country].

[Notes to the Client and the Consultant: Any suggestions made by the Consultant in the Proposal to introduce exclusions/limitations of the Consultant’s liability under the Contract should be carefully scrutinized by the Client and discussed with the Bank prior to accepting any changes to what was included in the issued RFP. In this regard, the Parties should be aware of the Bank’s policy on this matter which is as follows:

To be acceptable to the Bank, any limitation of the Consultant’s liability should at the very least be reasonably related to (a) the damage the Consultant might potentially cause to the Client, and (b) the Consultant’s ability to pay compensation using its own assets and reasonably obtainable insurance coverage. The Consultant’s liability shall not be limited to less than a multiplier of the total payments to the Consultant under the Contract for remuneration and reimbursable expenses. A statement to the effect that the Consultant is liable only for the re-performance of faulty Services is not acceptable to the
Bank. Also, the Consultant’s liability should never be limited for loss or damage caused by the Consultant’s gross negligence or willful misconduct.

The Bank does not accept a provision to the effect that the Client shall indemnify and hold harmless the Consultant against Third Party claims, except, of course, if a claim is based on loss or damage caused by a default or wrongful act of the Client to the extent permissible by the law applicable in the Client’s country.

<table>
<thead>
<tr>
<th>24.1</th>
<th>The insurance coverage against the risks shall be as follows:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[Delete what is not applicable except (a)].</td>
</tr>
<tr>
<td></td>
<td>(a) Professional liability insurance, with a minimum coverage of two times of the contract price;</td>
</tr>
<tr>
<td></td>
<td>(b) Third Party motor vehicle liability insurance in respect of motor vehicles operated in the Client’s country by the Consultant or its Experts or Sub-consultants, with a minimum coverage of “in accordance with the applicable law in the Client’s country”;</td>
</tr>
<tr>
<td></td>
<td>(c) Third Party liability insurance, with a minimum coverage of “in accordance with the applicable law in the Client’s country”;</td>
</tr>
<tr>
<td></td>
<td>(d) employer’s liability and workers’ compensation insurance in respect of the experts and Sub-consultants in accordance with the relevant provisions of the applicable law in the Client’s country, as well as, with respect to such Experts, any such life, health, accident, travel or other insurance as may be appropriate; and</td>
</tr>
<tr>
<td></td>
<td>(e) insurance against loss of or damage to (i) equipment purchased in whole or in part with funds provided under this Contract, (ii) the Consultant’s property used in the performance of the Services, and (iii) any documents prepared by the Consultant in the performance of the Services.</td>
</tr>
</tbody>
</table>

| 27.1 | NA |

| 27.2 | The Consultant shall not use these documents and software for purposes unrelated to this Contract without the prior written approval of the Client. |

| 38.1 | The Contract price is: ______________________ [insert amount and |
currency for each currency as applicable] [indicate: inclusive or exclusive] of local indirect taxes.

Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall [insert as appropriate: “be paid” or “reimbursed”] by the Client [insert as appropriate: “for” or “to”] the Consultant.

The amount of such taxes is ____________________ [insert the amount as finalized at the Contract’s negotiations on the basis of the estimates provided by the Consultant in Form FIN-2 of the Consultant’s Financial Proposal.

<table>
<thead>
<tr>
<th>39.1 and 39.2</th>
</tr>
</thead>
</table>

The Client warrants that the Client shall reimburse the Consultant, the Sub-consultants and the Experts any indirect taxes, duties, fees, levies and other impositions imposed, under the applicable law in the Client’s country, on the Consultant, the Sub-consultants and the Experts in respect of:

(a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of the Client’s country), in connection with the carrying out of the Services;

(b) any equipment, materials and supplies brought into the Client’s country by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them;

(c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client;

(d) any property brought into the Client’s country by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of the Client’s country), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from the Client’s country, provided that:

(i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of the Client’s country in importing property into the Client’s country; and
(ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in the Client’s country upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of the Client’s country, or (b) shall reimburse them to the Client if they were paid by the Client at the time the property in question was brought into the Client’s country.

<table>
<thead>
<tr>
<th>41.2</th>
<th>The payment schedule:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payments shall be made according to the following schedule: (a) Ten (10) percent of the lump-sum amount shall be paid upon approval of the final inception report. (b) Three (03) percent of the lump-sum amount shall be paid upon approval of each Intermittent Results report. (c) Four (03) percent of the lump-sum amount shall be paid upon approval of each other Technical Audit Report. (d) Five (05) percent of the lump-sum amount shall be paid upon approval of the each Annual Report. (e) Five (10) percent of the lump-sum amount shall be paid upon approval of the Final Report.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>41.2.4</th>
<th>The accounts are:</th>
</tr>
</thead>
<tbody>
<tr>
<td>for foreign currency: [insert account]. for local currency: [insert account].</td>
<td></td>
</tr>
</tbody>
</table>

| 42.1 | The interest rate is: for foreign currency: London Inter-Bank On-Lending Rate (LIBOR) plus 2% per annum for local currency and 8 % per annum for foreign currency. |

<table>
<thead>
<tr>
<th>45.1</th>
<th>Disputes shall be settled by arbitration in accordance with the following provisions:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Selection of Arbitrators. Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</td>
<td></td>
</tr>
</tbody>
</table>
(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to [name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs-Conseil (FIDIC) of Lausanne, Switzerland] for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, [insert the name of the same professional body as above] shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.

(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by The Secretary General of the Permanent Court of Arbitration, The Hague.

(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the [name the same appointing authority as in said paragraph (b)] to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.

2. **Rules of Procedure.** Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.

3. **Substitute Arbitrators.** If for any reason an arbitrator is unable to
perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.

4. **Nationality and Qualifications of Arbitrators.** The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant’s home country. **[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties/or of the Government’s country. For the purposes of this Clause, “home country” means any of:**

   - (a) the country of incorporation of the Consultant **[If the Consultant consists of more than one entity, add: or of any of their members or Parties]; or**
   
   - (b) the country in which the Consultant’s [or any of their members’ or Parties’] principal place of business is located; or
   
   - (c) the country of nationality of a majority of the Consultant’s [or of any members’ or Parties’] shareholders; or
   
   - (d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.

5. **Miscellaneous.** In any arbitration proceeding hereunder:

   - (a) proceedings shall, unless otherwise agreed by the Parties, be held in **[select a country which is neither the Client’s country nor the Consultant’s country];**
   
   - (b) the **[type of language] language** shall be the official language for all purposes; and
   
   - (c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.
IV. Appendices

APPENDIX A – TERMS OF REFERENCE

[This Appendix shall include the final Terms of Reference (TORs) worked out by the Client and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Client’s input, including counter part personnel assigned by the Client to work on the Consultant’s team; specific tasks or actions that require prior approval by the Client.

Insert the text based on the Section 7 (Terms of Reference) of the ITC in the RFP and modified based on the Forms TECH-1 through TECH-5 of the Consultant’s Proposal. Highlight the changes to Section 7 of the RFP]

APPENDIX B - KEY EXPERTS

[Insert a table based on Form TECH-6 of the Consultant’s Technical Proposal and finalized at the Contract’s negotiations. Attach the CVs (updated and signed by the respective Key Experts) demonstrating the qualifications of Key Experts.]

APPENDIX C – BREAKDOWN OF CONTRACT PRICE

[Insert the table with the unit rates to arrive at the breakdown of the lump-sum price. The table shall be based on [Form FIN-3 and FIN-4] of the Consultant’s Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3 and FIN-4] at the negotiations or state that none has been made.]

When the Consultant has been selected under Quality-Based Selection method, also add the following:

“The agreed remuneration rates shall be stated in the attached Model Form I. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP “Consultants’ Representations regarding Costs and Charges” submitted by the Consultant to the Client prior to the Contract’s negotiations."
Should these representations be found by the Client (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially incomplete or inaccurate, the Client shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially incomplete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Client before any such modification, (i) the Client shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Client to the Consultants, the Consultants shall reimburse to the Client any excess payment within thirty (30) days of receipt of a written claim of the Client. Any such claim by the Client for reimbursement must be made within twelve (12) calendar months after receipt by the Client of a final report and a final statement approved by the Client in accordance with Clause GCC 45.1(d) of this Contract.”
**Model Form I**

**Breakdown of Agreed Fixed Rates in Consultant’s Contract**

We hereby confirm that we have agreed to pay to the Experts listed, who will be involved in performing the Services, the basic fees and away from the home office allowances (if applicable) indicated below:

(Expressed in [insert name of currency])*

<table>
<thead>
<tr>
<th>Experts</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Basic Remuneration rate per Working Month/Day/Year</td>
<td>Social Charges</td>
<td>Profit</td>
<td>Away from Home Office Allowance</td>
<td>Agreed Fixed Rate per Working Month/Day/Hour</td>
<td>Agreed Fixed Rate per Working Month/Day/Hour</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Home Office</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>Work in the Client’s Country</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
</tbody>
</table>

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

* If more than one currency, add a table

---

Signature ___________________________ Date ___________________________

Name and Title: ___________________________
APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE
[See Clause GCC 41.2.1 and SCC 41.2.1]

{Guarantor letterhead or SWIFT identifier code}

Bank Guarantee for Advance Payment

Guarantor: ____________________ [insert commercial Bank’s Name, and Address of Issuing Branch or Office]

Beneficiary: ___________________ [insert Name and Address of Client]

Date: ______________ [insert date]_____

ADVANCE PAYMENT GUARANTEE No.: __________ [insert number]_____

We have been informed that __________ [name of Consultant or a name of the Joint Venture, same as appears on the signed Contract] (hereinafter called "the Consultant") has entered into Contract No. __________ [reference number of the contract] dated __________ [insert date]______ with the Beneficiary, for the provision of __________________ [brief description of Services] (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of __________ [insert amount in figures] () [amount in words] is to be made against an advance payment guarantee.

At the request of the Consultant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of __________ [amount in figures] () [amount in words] upon receipt by us of the Beneficiary’s complying demand supported by the Beneficiary’s a written statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Consultant is in breach of its obligation under the Contract because the Consultant:

(a) has failed to repay the advance payment in accordance with the Contract conditions, specifying the amount which the Consultant has failed to repay;
(b) has used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number __________ at _____________ [name and address of bank].

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in certified statements or invoices marked as “paid” by the Client which shall be presented to us. This guarantee shall expire, at

1 The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency(ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Client.
the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the __ day of __________, ____.2 whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees (URDG) 2010 revision, ICC Publication No. 758.

____________________
[signature(s)]

{Note: All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.}
PART III

Section 9. Notification of Intention to Award and Beneficial Ownership Forms
Notification of Intention to Award

[This Notification of Intention to Award shall be sent to each Consultant whose Financial Proposal was opened. Send this Notification to the authorized representative of the Consultant].

For the attention of Consultant’s authorized representative
Name: [insert authorized representative’s name]
Address: [insert authorized representative’s address]
Telephone/Fax numbers: [insert authorized representative’s telephone/fax numbers]
Email Address: [insert authorized representative’s email address]

[IMPORTANT: insert the date that this Notification is transmitted to all Consultants. The Notification must be sent to all Consultants simultaneously. This means on the same date and as close to the same time as possible.]

DATE OF TRANSMISSION: This Notification is sent by: [email/fax] on [date] (local time)

Notification of Intention to Award

Client: [insert the name of the Client]
Contract title: [insert the name of the contract]
Country: [insert country where RFP is issued]
Loan No. /Credit No. /Grant No.: [insert reference number for loan/credit/grant]
RFP No: [insert RFP reference number from Procurement Plan]

This Notification of Intention to Award (Notification) notifies you of our decision to award the above contract. The transmission of this Notification begins the Standstill Period. During the Standstill Period you may:

   a) request a debriefing in relation to the evaluation of your Proposal, and/or

   b) submit a Procurement-related Complaint in relation to the decision to award the contract.

1. The successful Consultant

<table>
<thead>
<tr>
<th>Name:</th>
<th>[insert name of successful Consultant]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td>[insert address of the successful Consultant]</td>
</tr>
<tr>
<td>Contract price:</td>
<td>[insert contract price of the successful Consultant]</td>
</tr>
</tbody>
</table>
2. Short listed Consultants [INSTRUCTIONS: insert names of all short listed Consultants and indicate which Consultants submitted Proposals. Where the selection method requires it, state the price offered by each Consultant as read out, and as evaluated. Include overall technical scores and scores assigned for each criterion and sub-criterion. Select Full Technical Proposal (FTP) or Simplified Technical Proposal (STP) in the last column below.]

<table>
<thead>
<tr>
<th>Name of Consultant</th>
<th>Submitted Proposal</th>
<th>[use for FTP] Overall technical scores</th>
<th>[use for STP] Overall technical scores</th>
<th>Financial Proposal price (if applicable)</th>
<th>Evaluated Financial Proposal price (if applicable)</th>
<th>Combined score and ranking (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>[insert name]</td>
<td>[yes/no]</td>
<td>Criterion (i): [insert score]</td>
<td>Criterion (i): [insert score]</td>
<td>[Proposal price]</td>
<td>[evaluated price]</td>
<td>[Ranking]</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Criterion (ii): [insert score]</td>
<td>Criterion (ii): [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Criterion (iii): [insert score]</td>
<td>Criterion (iii): [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sub-criterion a: 1: [insert score]</td>
<td>Sub-criterion a: 1: [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2: [insert score]</td>
<td>2: [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3: [insert score]</td>
<td>3: [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sub-criterion b: 1: [insert score]</td>
<td>Sub-criterion b: 1: [insert score]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2: [insert score]</td>
<td>2: [insert score]</td>
<td></td>
<td></td>
<td></td>
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<tr>
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<td>Criterion (i): [insert score]</td>
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<td>[Proposal price]</td>
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<td>Submitted Proposal</td>
<td>Overall technical scores</td>
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<td>Evaluated Financial Proposal price (if applicable)</td>
<td>Combined score and ranking (if applicable)</td>
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<td>[yes/no]</td>
<td>Sub-criterion b: [insert score]</td>
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<td>Name of Consultant</td>
<td>Submitted Proposal</td>
<td>[use for FTP] Overall technical scores</td>
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<td>Financial Proposal price (if applicable)</td>
<td>Evaluated Financial Proposal price (if applicable)</td>
<td>Combined score and ranking (if applicable)</td>
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3. Reason/s why your Proposal was unsuccessful [Delete if the combined score already reveals the reason]

[INSTRUCTIONS: State the reason/s why this Consultant’s Proposal was unsuccessful. Do NOT include: (a) a point by point comparison with another Consultant’s Proposal or (b) information that is marked confidential by the Consultant in its Proposal.]

4. How to request a debriefing [This applies only if your proposal was unsuccessful as stated under point (3) above]

DEADLINE: The deadline to request a debriefing expires at midnight on [insert date] (local time).

You may request a debriefing in relation to the results of the evaluation of your Proposal. If you decide to request a debriefing your written request must be made within three (3) Business Days of receipt of this Notification of Intention to Award.

Provide the contract name, reference number, name of the Consultant, contact details; and address the request for debriefing as follows:

Attention: [insert full name of person, if applicable]
Title/position: [insert title/position]
Agency: [insert name of Client]
Email address: [insert email address]
Fax number: [insert fax number] delete if not used

If your request for a debriefing is received within the 3 Business Days deadline, we will provide the debriefing within five (5) Business Days of receipt of your request. If we are unable to provide the debriefing within this period, the Standstill Period shall be extended by five (5) Business Days after the date that the debriefing is provided. If this happens, we will notify you and confirm the date that the extended Standstill Period will end.

The debriefing may be in writing, by phone, video conference call or in person. We shall promptly advise you in writing how the debriefing will take place and confirm the date and time.

If the deadline to request a debriefing has expired, you may still request a debriefing. In this case, we will provide the debriefing as soon as practicable, and normally no later than fifteen (15) Business Days from the date of publication of the Contract Award Notice.

5. How to make a complaint
DEADLINE: The deadline for submitting a Procurement-related Complaint challenging the decision to award the contract expires on midnight, [insert date] (local time).

Provide the contract name, reference number, name of the Consultant, contact details; and address the Procurement-related Complaint as follows:

- **Attention**: [insert full name of person, if applicable]
- **Title/position**: [insert title/position]
- **Agency**: [insert name of Client]
- **Email address**: [insert email address]
- **Fax number**: [insert fax number] delete if not used

[At this point in the procurement process] [ Upon receipt of this notification] you may submit a Procurement-related Complaint challenging the decision to award the contract. You do not need to have requested, or received, a debriefing before making this complaint. Your complaint must be submitted within the Standstill Period and received by us before the Standstill Period ends.

Further information:

For more information see the “Procurement Regulations for IPF Borrowers (Procurement Regulations) (Annex III).” You should read these provisions before preparing and submitting your complaint. In addition, the World Bank’s Guidance “How to make a Procurement-related Complaint” provides a useful explanation of the process, as well as a sample letter of complaint.

In summary, there are four essential requirements:

1. You must be an ‘interested party’. In this case, that means a Consultant who has submitted a Proposal in this selection process, and is the recipient of a Notification of Intention to Award.

2. The complaint can only challenge the decision to award the contract.

3. You must submit the complaint within the deadline stated above.

4. You must include, in your complaint, all of the information required by the Procurement Regulations (as described in Annex III).

6. Standstill Period

DEADLINE: The Standstill Period is due to end at midnight on [insert date] (local time).

The Standstill Period lasts ten (10) Business Days after the date of transmission of this Notification of Intention to Award.

The Standstill Period may be extended. This may happen where we are unable to provide a debriefing within the five (5) Business Day deadline. If this happens we will...
If you have any questions regarding this Notification, please do not hesitate to contact us.

On behalf of [insert the name of the Client]:

**Signature:**

______________________________________________

**Name:**

______________________________________________

**Title/position:**

______________________________________________

**Telephone:**

______________________________________________

**Email:**

______________________________________________
Beneficial Ownership Disclosure Form

INSTRUCTIONS TO CONSULTANTS: DELETE THIS BOX ONCE YOU HAVE COMPLETED THE FORM

This Beneficial Ownership Disclosure Form (“Form”) is to be completed by the successful Consultant. In case of joint venture, the Consultant must submit a separate Form for each member. The beneficial ownership information to be submitted in this Form shall be current as of the date of its submission.

For the purposes of this Form, a Beneficial Owner of a Consultant is any natural person who ultimately owns or controls the Consultant by meeting one or more of the following conditions:

- directly or indirectly holding 25% or more of the shares
- directly or indirectly holding 25% or more of the voting rights
- directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant

Request for Proposal reference No.: [insert identification no]
Name of the Assignment: [insert name of the assignment]

To: [insert complete name of Client]

In response to your notification of award dated [insert date of notification of award] to furnish additional information on beneficial ownership: [select one option as applicable and delete the options that are not applicable]

(i) we hereby provide the following beneficial ownership information.

Details of beneficial ownership

<table>
<thead>
<tr>
<th>Identity of Beneficial Owner</th>
<th>Directly or indirectly holding 25% or more of the shares (Yes / No)</th>
<th>Directly or indirectly holding 25% or more of the Voting Rights (Yes / No)</th>
<th>Directly or indirectly having the right to appoint a majority of the board of the directors or an equivalent governing body of the Consultant (Yes / No)</th>
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<tbody>
<tr>
<td>[include full name (last, middle, first),]</td>
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- directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant

Request for Proposal reference No.: [insert identification no]
Name of the Assignment: [insert name of the assignment]

To: [insert complete name of Client]

In response to your notification of award dated [insert date of notification of award] to furnish additional information on beneficial ownership: [select one option as applicable and delete the options that are not applicable]

(i) we hereby provide the following beneficial ownership information.

Details of beneficial ownership

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</table>
Section 9. Notification of Intention to Award and Beneficial Ownership Forms

| nationality, country of residence |   |   |

**OR**

(ii) We declare that there is no Beneficial Owner meeting one or more of the following conditions:

- directly or indirectly holding 25% or more of the shares
- directly or indirectly holding 25% or more of the voting rights
- directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant

**OR**

(iii) We declare that we are unable to identify any Beneficial Owner meeting one or more of the following conditions. [If this option is selected, the Consultant shall provide explanation on why it is unable to identify any Beneficial Owner]

- directly or indirectly holding 25% or more of the shares
- directly or indirectly holding 25% or more of the voting rights
- directly or indirectly having the right to appoint a majority of the board of directors or equivalent governing body of the Consultant"

Name of the Consultant:* [insert complete name of the Consultant]

Name of the person duly authorized to sign the Proposal on behalf of the Consultant:** [insert complete name of person duly authorized to sign the Proposal]

Title of the person signing the Proposal: [insert complete title of the person signing the Proposal]

Signature of the person named above: [insert signature of person whose name and capacity are shown above]

Date signed [insert date of signing]day of [insert month], [insert year]

* In the case of the Proposal submitted by a Joint Venture specify the name of the Joint Venture as Consultant. In the event that the Consultant is a joint venture, each reference to “Consultant” in the Beneficial Ownership Disclosure Form (including this Introduction thereto) shall be read to refer to the joint venture member.

** Person signing the Proposal shall have the power of attorney given by the Consultant. The power of attorney shall be attached with the Proposal Schedules.