Strengthening of Public Financial Management (SPFM) Project
Assisted by the World Bank
37-A, IT Park, Sahastradhara Road, Dehradun (Uttarakhand), Pin: 248013
Contact No.: +91 94115 71697; E-Mail: pmu.spfm@gmail.com

Reference No.: 366/SPFM/2026-27 **Dated:** 24/10/2026

NOTICE INVITING TENDER (NIT)

Online proposals/bids are invited for the following packages from eligible consultants/bidders under the SPFM Project being implemented under the Finance Department, Government of Uttarakhand:

S. No.	Package No.	Name of Procurement
Procurement of Goods		
1	01/Goods/IT/TREASURY/ SPFM/2026	Procurement of 735 All-in-One Desktop Computers and 300 Multifunction Printers for the Treasury Department
2	01/GOODS/IT-SRO/ STAMP/SPFM/2026-27	Procurement of Hardware & Software for Panjiyan Seva Kendra-SRO Offices (Hardware Requirements for 12 SRO Offices/ PSKs) for Stamp & Registration Department
3	01/GOODS/IT/STATE-TAX/ SPFM/2026	Procurement of Hardware and Software support for the State Tax Department, Govt. of Uttarakhand
Procurement of Consultancies		
1	01/CONS/IVA/PMU/ SPFM/2026	Selection of Independent Verification Agency (IVA)
2	01/Audit/Tehri/SPFM/ 2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Tehri Garhwal, Uttarakhand for Financial Year 2024-25 & 2025-26
3	02/Audit/Dehradun & Uttarkashi/SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs)in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26
4	03/Audit/Champawat & Pithoragarh/SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Champawat & Pithoragarh, Uttarakhand for Financial Year 2024-25 & 2025-26
5	04/Audit/ Chamoli & Rudraprayag/SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Chamoli & Rudraprayag, Uttarakhand for Financial Year 2024-25 & 2025-26
6	05/Audit/Almora & Bageshwar/SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Almora & Bageshwar, Uttarakhand for Financial Year 2024-25 & 2025-26
7	06/Audit/Haridwar & Pauri/ SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs)in Haridwar & Pauri, Uttarakhand for Financial Year 2024-25 & 2025-26
8	07/Audit/Pauri & Almora/ SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Pauri & Almora, Uttarakhand for Financial Year 2024-25 & 2025-26
9	08/Audit/Nainital & U.S. Nagar/SPFM/2026	Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Nainital & Udham Singh Nagar, Uttarakhand for Financial Year 2024-25 & 2025-26

The RFP/RFB Documents for above procurement are available in **https://uktenders.gov.in** from 27/10/2026 at 03:00 PM. The last date for submission of RFP/RFB relating to Goods and Consultancies are 27/11/2026 & 30/11/2026 respectively at 11:00 AM. The Technical Bids/ Proposals will be opened on same date at 11:30 AM.

The tender may be searched on **www.uktenders.gov.in** under the Organisation "CPD SPFM."

Project Director
SPFM Project

Size to be printed 12cm X 18cm in 2 Newspaper.

Digitally signed by PRABHAT CHANDRA KHARE
Date: 2026.10.27 13:37:06 IST
Location: Uttarakhand-UT

S E L E C T I O N O F C O N S U L T A N T S

Request for Proposals
Consulting Services

Procurement of:

Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26
under SPFM Project

RFP No: *02/Audit/Dehradun & Uttarkashi/SPFM/2026*

Consulting Services for: *Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs)in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26*

Client: *Project Director, SPFM Project*

Country: India

Issued on: *27/10/2026*

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PART I

Section 1. Request for Proposal Letter

Request for Proposal Letter

Consulting Services

Name of Assignment: Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26

RFP Reference No.: 02/Audit/Dehradun & Uttarkashi/SPFM/2026

Loan No.:_ Applied

Country: India

Date: 27/10/2026

Dear Mr. /Ms.:

1. The *Government of Uttarakhand* (hereinafter called "Borrower") has applied for financing from the International Bank for Reconstruction and Development (IBRD)(the "Bank") in the form of a "loan"(hereinafter called "loan") toward the cost of *Strengthening of Public Financial Management Project,* 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.
2. The Client now invites proposals to provide the following consulting services (hereinafter called "Services"): *Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26 under SPFM Project*. More details on the Services are provided in the Terms of Reference (Section 7).
3. A firm will be selected under *Quality and Cost Based Selection (QCBS)* 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, Seventh Edition September 2025" ("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 FTP) - 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 (Lump-Sum)

4. 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.

5. Details on the online submission of proposals on the e-procurement system www.uktenders.gov.in and submission date and time are provided in ITC 17.7 and ITC 17.9. Any proposal or modification to proposal received outside e-procurement system whether in person, or by mail, or by fax, or by e-mail, or any other means, will not be considered. The electronic procurement system would not allow any late submission of proposals as per server time, and the Client shall not be held liable for any delays due to system failure beyond its control.

Yours sincerely,

Office of The Project Director
Strengthening of Public Financial Management (SPFM) Project
37-A, IT Park, Sahastradhara Road, Dehradun-248013
Uttarakhand, India
pmu.spfm@gmail.com

Section 2. Instructions to Consultants and Data Sheet

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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[1]]* agreement with the Bank.

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

(f) **Client's Personnel"** is as defined in Clause GCC 1.1 (e).

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

(h) **"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).

(i) **"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 the ITC.

(j) **"Day"** means a calendar day, unless otherwise specified as **"Business Day".** A Business Day is any

[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]

day that is an official working day of the Borrower. It excludes the Borrower's official public holidays.

(k) **"Experts"** means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).

(l) **"Government"** means the government of the Client's country.

(m) **"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;

(n) **"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.

(o) **"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.

(p) **"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.

(q) **"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.

(r) **"Proposal"** means the Technical Proposal and the Financial Proposal of the Consultant.

(s) **"RFP"** means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SPD - RFP.

(t) **"Services"** means the work to be performed by the Consultant pursuant to the Contract.

(u) **"Sexual Exploitation and Abuse" "(SEA)"** means the following:

Sexual Exploitation is defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

Sexual Abuse is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

(v) **"Sexual Harassment" "(SH)"** is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature by the Experts with other Experts or Client's Personnel.

(w) **"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.

(x) **"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.

(y) **"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.

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 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.

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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 Client country's laws against fraud and corruption (including bribery).

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 Proposals shall remain valid until the date specified **in the Data Sheet** or any extended date if amended by the Client in accordance with ITC 13.1.1.

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 Proposal Validity

12.4 The Client will make its best effort to complete the negotiations and award the contract prior to the date of expiry of the Proposal validity. 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.

12.6 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.

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 taxes, is given in the **Data Sheet**, and the Financial Proposal shall not exceed this budget.

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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 the applicable selection method) and its copies shall be placed inside of a separate sealed envelope clearly marked "**FINANCIAL PROPOSAL**" "[Name of the Assignment],

[reference number], [name and address of the Consultant]", and with a warning "**DO NOT OPEN WITH THE TECHNICAL PROPOSAL**."

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 Financial Proposals are opened.

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 in the **Data Sheet**.

22. Notification of Results of

22.1 Following ranking of the Technical Proposals and determination of the proposal that has achieved the highest technical score, the Client shall notify in writing the highest

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Technical Evaluation, Opening of /Invitation to Submit Financial Proposals for QBS

ranking Consultant of its technical score and that its Technical Proposal has been evaluated as the highest ranking.

22.2 The Client shall simultaneously notify in writing the other Consultants: (i) on their overall technical score, as well as scores obtained for each criterion and sub-criterion, and that their technical proposals have not been evaluated as the highest ranked; and (ii) that their Financial Proposals will be returned unopened after completing the selection process and Contract signing.

22.3 If Financial Proposals were invited together with the Technical Proposals, the Client shall notify all of the Consultants that submitted proposals of the date, time and location of the public opening of the Financial Proposals of the highest ranking Consultant. If Financial Proposals were not invited to be submitted along with the Technical Proposals, opening of Financial Proposals does not apply, and the highest ranking Consultant shall be invited to submit its Financial Proposals for negotiations.

22.4 The opening date of the Financial Proposal or invitation of the highest ranking Consultant to submit its Financial Proposal, as applicable, shall not be earlier than ten (10) Business Days from the date of notification of the results of the technical evaluation, described in ITC 22.1 and 22.2. However, if the Client receives a complaint on the results of the technical evaluation within the ten (10) Business Days, the opening date or the date to invite submission of Financial Proposal, as applicable, shall be subject to ITC 35.1.

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

23.1 After the technical evaluation is completed, the Client shall notify in writing 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.

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 shall not be earlier than ten (10) Business Days from the date of notification of the results of the technical evaluation, described in ITC 23.1 and 23.2. However, if the Client receives a complaint on the results of the technical evaluation within the ten (10) Business Days, the opening date shall be subject to ITC 35.1.

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

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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 Negotiations

28.5 The negotiations include discussions of the Terms of 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. The Client will then 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, and upon verifying that the Consultant (including each member of a JV) is not disqualified by the Bank due to noncompliance with contractual SEA/SH prevention and response obligations, 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. The Client will require the Consultant to replace any subconsultant that is disqualified by the Bank due to noncompliance with contractual SEA/SH prevention and response obligations. 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.

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.

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 expiry date of the Proposal validity 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

ITC Reference	A. General
1 (b)	**Applicable Law:** means the Laws of Union of India.
1 (l)	**Government:** means the Government of India
1 (m)	**Electronic –Procurement System** The Client shall use the following electronic-procurement system to manage this Request for Proposal (RFP) process: **www.uktenders.gov.in** Attention: Project Director, PMU, SPFM Project The electronic-procurement system shall be used to manage the following part of the RFP process: Part-1 (Envelope-1): Technical bid in PDF Part-2 (Envelope-2): Financial Bid in PDF or Excel or both as per portal requirement. ***[list the parts of process e.g. 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]*** **GUIDANCE NOTE TO BIDDERS: USE OF E-PROCUREMENT PORTAL FOR SUBMISSION OF PROPOSALS** 1. **Purpose of the e-Procurement Portal** The Request for Proposals (RFP) is being issued through the Government of Uttarakhand e-Procurement Portal, **www.uktenders.gov.in** (hereinafter referred to as the "e-Procurement Portal"). The e-Procurement Portal shall be used **only for online submission and electronic receipt of Proposals** from the Consultants. The Portal shall not be used for the detailed evaluation of Technical and Financial Proposals or for conducting the QCBS evaluation process.

	2. **Registration and Online Submission** All prospective Consultants shall be duly registered on the e-Procurement Portal and shall submit their Proposals electronically through the Portal within the date and time specified in the RFP. Consultants are advised to complete the registration, preparation, uploading and submission of their Proposals sufficiently in advance of the prescribed deadline. The Consultant shall be solely responsible for ensuring successful submission of its Proposal on the Portal. 3. **Submission of Proposal** The Consultant shall upload and submit all documents comprising the **Technical Proposal and Financial Proposal**, as specified in the RFP, through the designated sections/cover(s) of the e-Procurement Portal. The Consultant shall ensure that: o all required documents are duly completed, signed and uploaded; o the documents are uploaded in the prescribed format and within the permitted file size; o all mandatory documents are submitted; o the Financial Proposal is submitted strictly in the manner prescribed in the RFP; and o the final submission is successfully completed before the prescribed closing date and time. 4. **Portal Submission Time** The date and time recorded by the e-Procurement Portal shall be treated as the official date and time of submission of the Proposal. Any Proposal submitted after the prescribed closing date and time shall be dealt with in accordance with the provisions of the RFP and the applicable e-Procurement rules/procedures. 5. **Receipt and Opening of Proposals** The e-Procurement Portal shall serve as the electronic mechanism for receiving and recording the Proposals submitted by the Consultants. After the prescribed deadline, the Client shall obtain/download the Proposals submitted through the Portal for further processing. **The subsequent opening, scrutiny, evaluation and comparison of Proposals**

shall be undertaken manually by the Client/Proposal Evaluation Committee in accordance with the provisions of this RFP.

6. **Manual Evaluation under QCBS**

The evaluation of Proposals shall **not be carried out electronically through the e-Procurement Portal**. The Technical Proposals shall be evaluated manually by the duly constituted Proposal Evaluation Committee in accordance with the evaluation criteria, sub-criteria and scoring methodology specified in the RFP. The Financial Proposals of only those Consultants who qualify in the Technical Evaluation, as specified in the RFP, shall be considered for further evaluation. The final selection shall be made using the **Quality- and Cost-Based Selection (QCBS)** methodology specified in the RFP.

7. **No Portal-Based Evaluation**

Bidders are specifically informed that the e-Procurement Portal is being used **only for receipt/submission of Proposals** for this consultancy procurement.

The following activities shall be undertaken manually by the Client and/or the duly constituted Proposal Evaluation Committee:

- scrutiny of eligibility and qualification documents;
- evaluation and scoring of Technical Proposals;
- determination of technical scores;
- opening and evaluation of Financial Proposals, as applicable;
- calculation of the combined QCBS score;
- ranking of Consultants;
- recommendation of the highest-ranked Consultant; and
- approval/selection and award of the Consultancy Contract.

8. **Clarifications During Evaluation**

Any clarification required during the evaluation of Proposals shall be sought by the Client in accordance with the provisions of the RFP. Such clarification shall not be construed as permitting the Consultant to modify or improve the substance of its Proposal, except as expressly permitted under the RFP.

	9. **Award/Selection** The decision regarding selection of the Consultant and award of the Consultancy Contract shall be taken by the competent authority in accordance with the applicable rules and the provisions of this RFP. **The declaration/communication of the result of the QCBS evaluation and award shall be made by the Client through the prescribed manual/official process and shall not be generated or determined through the e-Procurement Portal's automated evaluation functionality.** **Note:** ***The bidder shall submit its Technical and Financial Proposals for any one or more of the eight packages specified in the bidding document (please refer Section-VII Terms of Reference), as per its preference. The bidding document specifies the sequence of evaluation for all eight packages, and the Project shall evaluate the packages separately in the prescribed sequence.*** ***If a bidder submits proposals for more than one package, once the bidder becomes eligible for award of a package (on the basis of total highest QCBS score) that is evaluated earlier in the prescribed sequence, its bid shall not be considered for the evaluation of the remaining packages. Accordingly, one bidder shall be awarded only one package if found eligible, in accordance with the package evaluation sequence specified in the bidding document.*** 10. **Responsibility of the Consultant** The Consultant shall be solely responsible for: o obtaining valid registration on the e-Procurement Portal; o ensuring the validity and functionality of its Digital Signature Certificate (DSC), wherever required; o uploading all required documents correctly; o ensuring that the uploaded documents are legible and complete; o ensuring successful final submission of the Proposal; o retaining proof/acknowledgement of online submission; and o ensuring submission before the stipulated deadline. Failure to successfully submit the Proposal through the e-Procurement Portal within the prescribed deadline shall be the responsibility of the Consultant, and no claim arising from delay in uploading, technical

difficulties, internet connectivity, or failure to complete the final submission shall ordinarily be entertained by the Client.

11. **Hard Copy of Proposal**

Unless specifically required elsewhere in this RFP, **submission of a physical/hard copy of the Proposal shall not be required at the time of submission of the Proposal**.

The Client may, however, require the successful Consultant or any Consultant, where specifically provided in the RFP, to produce original documents for verification.

12. **Conflict with Portal Functionality**

In the event that any automated functionality, display, status, message, or evaluation-related feature available on the e-Procurement Portal is inconsistent with the specific procedure prescribed in this RFP, **the provisions of this RFP shall prevail**, to the extent permitted under the applicable procurement rules and procedures.

13. **Portal Assistance**

Consultants are advised to familiarize themselves with the online bid submission procedure and the instructions/manuals available on the e-Procurement Portal before submitting their Proposals. The Portal provides a dedicated **Bidders Manual Kit** and guidance for online bid submission.

14. **Important Advisory**

Consultants shall carefully read the complete RFP and all corrigenda/addenda issued by the Client before submitting their Proposals. **Mere successful uploading/submission of a Proposal on the e-Procurement Portal shall not confer any right on the Consultant for technical qualification, financial consideration, ranking, selection or award of the Consultancy Contract.** The Proposal shall be subject to scrutiny and evaluation in accordance with the provisions of the RFP and the applicable procurement rules.

Summary of the Procurement Process

Stage	Mode/Platform
Download of RFP	e-Procurement Portal
Registration of Consultant	e-Procurement Portal

<table>
<tr><td></td><td>
<table>
<tr><td>Submission of Technical Proposal</td><td>Online – e-Procurement Portal</td></tr>
<tr><td>Submission of Financial Proposal</td><td>Online – e-Procurement Portal</td></tr>
<tr><td>Receipt/recording of Proposals</td><td>e-Procurement Portal</td></tr>
<tr><td>Detailed Technical Evaluation</td><td>Manual – Proposal Evaluation Committee</td></tr>
<tr><td>Technical Scoring</td><td>Manual</td></tr>
<tr><td>Financial Evaluation</td><td>Manual</td></tr>
<tr><td>QCBS Combined Score & Ranking</td><td>Manual</td></tr>
<tr><td>Selection Recommendation</td><td>Manual</td></tr>
<tr><td>Approval by Competent Authority</td><td>Manual/Official Process</td></tr>
</table>
Bidders are advised to take particular note that the e-Procurement Portal is being used in this RFP as an electronic mechanism for submission and receipt of Proposals only. The evaluation and selection of the Consultant shall be undertaken manually in accordance with the QCBS methodology and the provisions of this RFP.

[Note: e-procurement system of NIC also provides a 24x7 e-procurement portal (www.uktenders.gov.in) Helpdesk for any queries relating to the process of online bid submission or relating to e-procurement portal in general. For any Technical queries related to Operation of the Public Procurement Portal Contact at: 0120-4001002 , 0120-4001005, 0120-4493395.

E-Mail: support-eproc[at]nic[dot]in
</td></tr>
<tr><td>2.1</td><td>Name of the Client: Project Director, Strengthening of Public Financial Management (SPFM) Project

Method of selection: Quality & Cost Based Selection (QCBS) as per

the Procurement Regulations for IPF Borrowers, September 2025 (available on www.worldbank.org)</td></tr>
<tr><td>2.2</td><td>Financial Proposal to be submitted together with Technical Proposal:

Yes.</td></tr>
</table>

	The name of the assignment is: Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Dehradun & Uttarkashi for Financial Year 2024-25 & 2025-26
2.3	**A pre-proposal conference will be held**: Yes Date of pre-proposal conference: 04/11/2026 Time: 11:30 AM Address: Office of the Project Director, Strengthening of Public Financial Management (SPFM) Project, 37-A IT Park, Sahastradhara Road, Dehradun, Uttarakhand, India Pin Code-248013, **Mob: +91-9411571697** E-mail: pmu.spfm@gmail.com Contact person/conference coordinator**: Mr. Bhavtosh Bhatt, Project Manager, *Mob:* +91 9411571697**
2.4	**The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals**: *N/A*
4.1	*N/A*
6.3.1	**A list of debarred firms and individuals is available at the Bank's external website***:* 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**: **For FULL TECHNICAL PROPOSAL (FTP):**

	1st Inner Envelope with the Technical Proposal: (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 Note: ***The CV must be signed in original by proposed Key-expert or confirmation from proposed Key-expert via email shall be submitted with Technical Proposal.*** (8) TECH-7 Code of Conduct: The Consultant shall submit its Code of Conduct that will apply to the Experts. The Consultant shall use for this purpose the Code of Conduct form in Section 3. No substantial modifications shall be made to this form, except that the Consultant may introduce additional requirements, including as necessary to take into account specific Contract issues/risks. AND **2nd Inner Envelope with the Financial Proposal:** (1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) BOQ (6) Statement of Undertaking (if required under Data Sheet 10.2 below) **Note:** ***The bidder shall submit its Technical and Financial Proposals for any one or more of the eight packages specified in the bidding document (please refer Section-VII Terms of Reference), as per its preference. The bidding document specifies the sequence of evaluation for all eight packages, and the Project shall evaluate the packages separately in the prescribed sequence.*** ***If a bidder submits proposals for more than one package, once the bidder becomes eligible for award of a package (on the basis of total highest QCBS score) that is evaluated earlier in the prescribed sequence, its bid shall not be considered for the evaluation of the remaining packages.***

	Accordingly, one bidder shall be awarded only one package if found eligible, in accordance with the package evaluation sequence specified in the bidding document.
10.2	**Statement of Undertaking is required** Yes
11.1	**Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible** No
12.1	**Proposals shall be valid until** *120* days from the deadline for submission of Bids.
12.4	Replace second sentence of ITC 12.4 with the following: However, should the need arise, any request for extension of validity through e-mail will be sent to each Consultant. The Consultants may send their response if any through e-mail at the e-mail id given in Data Sheet 2.3.
13	Replace ITC 13 with the following: "13.1. The e-procurement system specified in ITC 1(m) provides for online clarifications. A Consultant may request an online clarification of any part of the RFP during the period indicated in the **Data Sheet** before the Proposals' submission deadline, or raise its inquiries during the pre-proposal conference, if provided for in accordance with ITC 2.3. Clarifications requested through any other mode shall not be considered by the Client. The Client will respond online by uploading the response (including an explanation of the query but without identifying its source) for information of 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 in ITC 13.1.1 and ITC 13.1.2 below. It is the shortlisted consultant's responsibility to check on the e-procurement system, for any addendum/ amendment/ corrigendum to the RFP document. 13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment online in accordance with the procedure described in the **Data Sheet**. The amendment shall be

	binding on all shortlisted Consultants. The Client shall not be liable for any information not received by the Consultants. It is the shortlisted Consultants' responsibility to verify the website for the latest information related to the RFP. 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 A Consultant may modify its Proposal in the following manner, by using the appropriate option for proposal modification on e-procurement portal, before the deadline for submission of proposals. No modifications to the Technical or Financial Proposal shall be accepted after the proposal submission deadline. (a) For proposal modification and consequential re-submission, the Consultant is not required to withdraw the proposal submitted earlier. The last modified proposal submitted by the consultant within the proposal submission time shall be considered as the 'Proposal'. (b) For this purpose, modification/withdrawal by other means will not be accepted. (c) The modification and consequential re-submission of proposals is allowed any number of times. (d) A consultant may withdraw its proposal by using the appropriate option for proposal withdrawal, before the deadline for submission of proposals. However, if the proposal is withdrawn, re-submission is not allowed unless specified otherwise **in the Data Sheet**."
13.1	**Clarifications may be requested no later than *31st October 2026*** The contact information for requesting clarifications is: Address: Project Director, Strengthening of Public Finance Management Project, 37A IT Park, Sahastradhara Road, Dehradun, Uttarakhand, India Pin Code-248013, **Mob: +91 94115 71697** E-mail: pmu.spfm@gmail.com A consultant/bidder has multiple options built in the e-procurement system for searching active bids by several parameters. These parameters could be Bid ID, Organization Name, Location, Date, Value, etc. There is also an

	option of advanced search, wherein a consultant/bidder may combine a number of search parameters to search for a bid. Once a bid has been selected, the consultant/bidder may download the required documents/ proposals and move them to the respective 'My Bids' folder. This would enable the e-procurement system to intimate the consultant through SMS/ e-mail regarding any corrigendum issued to the RFP document. The consultant should make a note of the unique Bid ID assigned to each bid/proposal to obtain any clarification/ help, if required from the Helpdesk (Data Sheet 1(m) also refers)
13.1.1	The Client will host the amendment to RFP, if any on the e-procurement portal at any time prior to the submission deadline. The system will also send auto-e-mail regarding hosting of amendment to Consultants who have started working on the RFP. The Consultants shall remain responsible to verify the website for the latest information to view amendment to RFP.
13.2 (d)	Re-submission of the proposal is ***not allowed***, if withdrawn.
14.1.1	**Shortlisted Consultants may associate with** **(a) non-shortlisted consultant(s):** No **Or** **(b) other shortlisted Consultants:** No
14.1.2 (do not use for Fixed Budget method)	*Not applicable*
14.1.3 for time-based contracts only	*Not applicable*

14.1.4 and 27.2 use for Fixed Budget method	**Not Applicable**
15.1	Replace first sentence of ITC 15.1 with the following: "The Technical Proposal shall be prepared using the Standard Forms provided in Section 3 of the RFP."
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	*(1) a per diem allowance, including hotel, for experts for every day of absence from the home office for the purposes of the Services;* *(2) cost of travel by the most appropriate means of transport and the most direct practicable route;* *(3) cost of office accommodation, including overheads and back-stop support;* *(4) communications costs;* *(5) cost of purchase or rent or freight of any equipment required to be provided by the Consultants;* *(6) cost of reports production (including printing) and delivering to the Client;*
16.2	**A price adjustment provision applies to remuneration rates:** No

16.3	"**Information on the Consultant's tax obligations in India can be found from the Ministry of Finance, Government of India website** *https://services.gst.gov.in/services/login*
16.4	**The Financial Proposal shall be stated in the following currencies:** in INR only **The Financial Proposal should state local costs in Indian currency (local currency):** Yes.
C. Submission, Opening and Evaluation	
17	Replace ITC 17 with the following: "17.1 The Consultant shall submit a digitally signed, encrypted, 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 shall be done electronically on the e-procurement system and in accordance with procedure specified in the **Data Sheet**. Proposals submitted by any other means will be rejected. Detailed guidelines for viewing proposals, and for online submission of proposals are given on the website. 17.2 An authorized representative of the Consultant shall digitally 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 to be scanned and uploaded together with 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. The submission letters and the power of attorney shall then be scanned and uploaded together with the Technical Proposal. 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 Proposal or its modifications must be uploaded on the e-procurement portal specified in ITC 1(m), no later than the deadline indicated in the **Data Sheet**, or any extension to this deadline. The electronic system will not accept

	any Proposal or its modification for uploading after the deadline, as per server time. 17.5 Once the Proposal is uploaded on the portal, the system will generate a unique identification number with the stamped submission time. The unique identification number with the time stamp represents an acknowledgement of the Proposal submission. Any other system's functionality requirements are specified in the **Data Sheet**."
17.1	**The electronic submission procedures shall be as follows:** The Consultants shall submit their Proposals (both Technical and Financial) electronically on the e-procurement portal specified in ITC 1(m), following the procedure given below. Detailed guidelines for viewing proposals and for online submission are given on the website: (a) To participate in the e-tendering process, it is mandatory for the consultants to have enrolment/registration in the website, and valid Class III *with signing + Encryption]* Digital Signature Certificate (in the name of person who will sign the proposal) in the form of smart card/e-token, obtained from any of the licensed Certifying Agency authorized by the Government of India. Consultants can see the list of licensed CAs from the link www.cca.gov.in (b) The consultant should register in the website using the relevant option available. Then the Digital Signature registration has to be done with the e-token, after logging into the website. The consultant can then login the website through the secured login by entering the password of the e-token & the user id/ password chosen during registration. (c) The size of individual files containing the documents comprising the Proposal(s) shall not exceed 10 MB and there is no limit on the number of files to be uploaded. *[Note for Consultants: For online submission of proposals, the Consultants shall fill up online, the forms that are available for online filling on the e-portal. The rest of the forms shall be downloaded by the Consultants and filled up. The filled-up pages shall then be digitally signed, scanned and uploaded on the e-procurement portal along with the scanned copies of the supporting documents.]*
17.4	**The Proposals must be uploaded on the e-procurement portal specified in ITC 1(m) no later than:** **Date:** 30/November/2026 **Time:** 11:00 AM

17.5	*None*
19	Replace ITC 19 with the following: "19.1The Client's evaluation committee shall conduct the opening of the Technical Proposals online following the procedure described in the **Data Sheet** and this could be viewed online by the Consultants. The shortlisted consultants or their authorized representatives may attend the online opening in person if this option is offered in the **Data Sheet**. The opening date, time and the address are stated in the **Data Sheet**. The folder with the Financial Proposal shall remain unopened, encrypted, in the e-procurement system until the subsequent public opening in accordance with ITC 23. 19.2At the opening of the Technical Proposals the following shall be read out and recorded online simultaneously: (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 the folder with the Financial Proposal in the portal; (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**."
19.1	**The procedure for online opening of technical proposals shall be:** *Technical proposal will be opened on the e-procurement portal by the Client's Evaluation Committee at the date and time indicated below.* **Date:** 30/November/2026 **Time*:*** 11:30 AM ***Consultants have an option to attend the opening of the Technical Proposals in person.*** **The opening shall take place at:** Office of the Project Director, Strengthening of Public Finance Management Project, 37A IT Park, Sahastradhara Road, Dehradun, Uttarakhand, India Pin Code-248013, **Mob: +91 9411571697** E-mail: pmu.spfm@gmail.com In the event of the specified date of proposal opening being declared a holiday for the Client, the proposals will be opened at the appointed time and location on the next working day

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

21.1
(for FTP)

Consultant's technical proposal shall be evaluated in two parts. Part A (as mentioned below) shall be the mandatory criteria that the consultants must meet. Technical Proposals of Consultants who do not meet the criteria in Part A, shall not be further evaluated, and the proposal shall be rejected.

Technical Proposal of Consultants, who meet the criteria in Part A, shall be evaluated further using the scoring scheme contained in Part B below:

Part A: Mandatory Criteria:

S. No.	Criteria	Documents Required
1.	**Legal Entity & Assignment Competency:** The firm should have been in existence for more than 10 **years.**	(i) Copy of the Firm Constitution Certificate issued by ICAI.(as on 1st April 2026 or later). (ii) Copy of CoP as issued by the ICAI to the respective C.As, who are to be engaged by the firm/LLP/Company etc. as applicable. (iii) Status of the Firm - Copy of the Certificate for registration / partnership deed of the firm (partnership/ LLP / company as applicable). (iv) Copy of PAN and GST registration certificates.
2.	**Financial Capacity:** The Average annual turnover for any three financial years out of the last five financial years (2021-22, 2022-23, 2023-24, 2024-25 and 2025-26) should not be less than **INR 2.00 Cr.**	Annual report/ Audit Report for three years, out of the last five financial years, showing turn over details as per the attached format Annexure 1 and certified by a CA
3.	**CAG Empanelment:** The bidder firm must be empaneled with CAG.	Certified copy of the Updated CAG Empanelment Certificate.

4.	**Deployment Capacity:** The bidder firm shall have minimum of 2 (no.) full-time FCA/ACA partners, etc., fellow members of ICAI for a period of at least 10 years. Further, the Firm must have a minimum of 25 semi-qualified assistants for execution of the assignment.	(i) Copies of certified CVs and Certificates of the Partners as Team Leader and Assistant Team Leader. (i) Copies of certified CVs and Certificates of semi qualified assistants.
5.	Not Blacklisted: The Firm/partners should not have been blacklisted in World Bank/ ICAI Assignment during the last 5 years.	Affidavit/Undertaking.
6.	The bidding firm must be independent and must not have prepared accounts/records of the GP units assigned for audit for the period under audit.	Affidavit/ Undertaking.

Part B: Evaluation Criteria:

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

Points

(i) **Specific experience of the Consultant (as a firm) relevant to the Assignment:** ***[10 Marks]***

Previous Audit assignments of a similar nature as specified below during the last 10 years – Based on the Date of work order / UDIN Generation Date)

Gram Panchayat / PRI audit experience supported by work orders and completion proof.

- Gram Panchayat audit coverage:

  up to 500 GPs – ***4 marks***;

  up to 501-1000 GPs – ***8 marks***;

  more than 1000 GPs – ***10 marks***

A List of Projects is to be provided with supporting documents / work orders.

(ii) **Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs):** ***[50 Marks]***

a) Technical Approach and Methodology (25 points)

b) Work Plan (10 points)

c) Organization and Staffing (10 points)

d) Comments on ToR (05 points)

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

[40 Marks]

(a) *K-1: Team Leader* *[20 marks]*

(b) *K-2:* Assistant Team Leader *[20 marks]*

Total points for criterion (iii):[40 Marks]

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/ Memberships/ Publications, and experience): [20%]

2) Adequacy for the Assignment/Project related Experience (relevant experience in the sector/similar assignments): [70%]

3) Experience of Statutory Audit of Local Bodies: [10%]

Total points for the all three criteria: 100

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

Note:

1- Minimum qualifying technical score shall be 75 out of 100. All CA firms scoring 75 or above shall be empaneled, but empanelment shall not guarantee work order. Work orders shall be issued package-wise to the top-ranked firms as per final QCBS ranking and package allocation procedure.

	2- The bidders may be asked by the Competent Authority of Directorate of Audit to present before authority, the Audit Methodology, Excellence in OAMS/Audit on online platform & Quality Control, Independence and Ethics related proposals in mutually agreed mode on the notified date *3-* ***The bidder shall submit its Technical and Financial Proposals for any one or more of the eight packages specified in the bidding document (please refer Section-VII Terms of Reference), as per its preference. The bidding document specifies the sequence of evaluation for all eight packages, and the Project shall evaluate the packages separately in the prescribed sequence.*** ***If a bidder submits proposals for more than one package, once the bidder becomes eligible for award of a package (on the basis of total highest QCBS score) that is evaluated earlier in the prescribed sequence, its bid shall not be considered for the evaluation of the remaining packages. Accordingly, one bidder shall be awarded only one package if found eligible, in accordance with the package evaluation sequence specified in the bidding document.***
21.1 [for STP]	*Not Applicable*
22.1 and 22.2	In ITC 22.1 and ITC 22.2 first sentences, after the words 'in writing', add the following: 'online through e-procurement portal' Replace provision under ITC 22.2 (ii) with the following: "that their Financial Proposals shall not be opened."
22.3	In ITC 22.3 second sentence, after the word 'notify', add the following: 'online through e-procurement portal'
	Public Opening of Financial Proposals
23	Replace first paragraph of ITC 23.1 with the following: **"23.1** After the technical evaluation is completed, the Client shall notify online through e-procurement portal 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:" Replace ITC 23.1 (iii) with the following:

	"**23.1(iii)** their Financial Proposals will not be opened; and" In **ITC 23.1(iv)** first sentence, before the words 'public opening', add the word: 'online' In ITC 23.2 first sentence, after the words 'in writing', add the following: 'online through e-procurement portal' In ITC 23.2(iv), after the words 'location of the' add the following: 'online' Replace ITC 23.5 with the following: "The Financial Proposals shall be opened online 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 and recorded online simultaneously. These Financial Proposals shall be then opened, and the total prices read aloud and recorded online simultaneously. Copies of the record shall be sent to all Consultants who submitted Proposals and to the Bank."
23.4	**An online option of the opening of the Financial Proposals is offered:** No *(since the proposals will be opened online on www.uktenders.gov.in, it will be visible to all the participated firms)*
23.5	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. Any interested party who wishes to attend this public opening should contact **Mr. Bhavtosh Bhatt, Project Manager, Mob- +91 94115 71697** 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. Alternatively, a notice of the public opening of Financial Proposals may be published on the **https://spfmuk.in/tenders/**
24.1.1	Not Applicable

25.1	For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, GST, 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.
26.1	**Not Applicable**
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 x Fm/ F, in which "Sf" is the financial score, "Fm" is the lowest price, and "F" the price of the proposal under consideration. **The weights given to the Technical (T) and Financial (P) Proposals are**: **T** = 70%, and **P** = 30% 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 x T% + Sf x P%. **Note:** ***The bidder shall submit its Technical and Financial Proposals for any one or more of the eight packages specified in the bidding document (please refer Section-VII Terms of Reference), as per its preference. The bidding document specifies the sequence of evaluation for all eight packages, and the Project shall evaluate the packages separately in the prescribed sequence.*** ***If a bidder submits proposals for more than one package, once the bidder becomes eligible for award of a package (on the basis of total highest QCBS score) that is evaluated earlier in the prescribed sequence, its bid shall not be considered for the evaluation of the remaining packages. Accordingly, one bidder shall be awarded only one package if found eligible, in***

	accordance with the package evaluation sequence specified in the bidding document.
	D. Negotiations and Award
28.1	**Expected date and address for contract negotiations:** **Date**: **15 December 2026** **Address:** Office of the Project Director, Strengthening of Public Finance Management Project, 37A IT Park, Sahastradhara Road, Dehradun, Uttarakhand, India Pin Code-248013, **Mob: +91 9411571697** E-mail: pmu.spfm@gmail.com
28.4	In ITC 28.4 last sentence, after the words 'original candidate', add the following: ', and meet eligibility requirements'
31.1	**Procedure for notifying all Consultants whose financial Proposals were opened, the Intention to Award the Contract to the successful Consultant will be as follows:** the Client shall notify the Consultants online through e-procurement portal.
32	In ITC 32.2, after the words 'official gazette', add the following: 'and on e-procurement portal'
32.2	**Client's website with free access for publication of the contract award information is: *www.uktenders.gov.in***
34.2	**Expected date for the commencement of the Services: Date: 26th December, 2026**
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**: *Navneet Pande* **Title/position**: *Project Director* **Client**: *PMU, SPFM, Dehradun, Uttarakhand* **Email address**: pmu.spfm@gmail.com A copy of the complaint can be sent for the Bank's information and monitoring to: **pprocurementcomplaints@worldbank.org** 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

Required for FTP or STP ✓		FORM	DESCRIPTION	*Page Limit*
FTP	**STP**			
✓	✓	TECH-1	Technical Proposal Submission Form.	
✓ If applicable		TECH-1 Attachment	If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement.	
✓ If applicable		Power of Attorney	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	
✓	✓	TECH-2	Consultant's Organization and Experience.	
✓	✓	TECH-2A	A. Consultant's Organization	
✓	✓	TECH-2B	B. Consultant's Experience	
✓		TECH-3	Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Client.	
✓		TECH-3A	A. On the Terms of Reference	
✓		TECH-3B	B. On the Counterpart Staff and Facilities	
✓	✓	TECH-4	Description of the Approach, Methodology, and Work Plan for Performing the Assignment	
✓	✓	TECH-5	Work Schedule and Planning for Deliverables	
✓	✓	TECH-6	Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)	
✓	✓	TECH-7	Code of Conduct	
✓	✓	TECH-8	Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH) Performance Declaration	

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 until *[insert day, month and year in accordance with 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) **Sexual Exploitation and Abuse (SEA) and/or Sexual Harassment (SH):** [*select the appropriate option from (i) to (iii) below and delete the others*].

We *[where JV, insert:* "including any of our JV members"*]*, and any of our sub-consultants:

(i) [have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]

(ii) [are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations.]

(iii) [had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.]

(g) [Note to Client: Only if required in ITC10.2 (Data Sheet 10.2), include the following: 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 India.*]*

(h) 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.

(i) 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 (FOR FULL AND SIMPLIFIED TECHNICAL PROPOSALS)

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 also 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 *[.....]* 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.

Duration	Assignment name/& brief description of main deliverables/outputs	Name of Client & Country of Assignment	Approx. Contract value (in US$ equivalent)/ Amount paid to your firm	Role on the Assignment
{e.g., Jan.2009–Apr.2010}	{e.g., "Improvement quality of.....": designed master plan for rationalization of .....;}	{e.g., Ministry of ....., country}	{e.g., US$1 mill/US$0.5 mill}	{e.g., Lead partner in a JV A&B&C}
{e.g., Jan-May 2008}	{e.g., "Support to sub-national government.....": drafted secondary level regulations on.....}	{e.g., municipality of....., country}	{e.g., US$0.2 mil/US$0.2 mil}	{e.g., sole Consultant}

FORM TECH-3 (FOR FULL TECHNICAL PROPOSAL)

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 (FOR FULL TECHNICAL PROPOSAL ONLY)

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):

e) Technical Approach and Methodology
f) Work Plan
g) 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, as required in the TOR, 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 (FOR FTP)

WORK SCHEDULE AND PLANNING FOR DELIVERABLES

N°	Deliverables [1] (D-..)	Months											
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL
D-1	{e.g., Deliverable #1: Report A												
	1) data collection												
	2) drafting												
	3) inception report												
	4) incorporating comments												
	5) delivery of final report to Client}												
D-2	{e.g., Deliverable #2:.....}												

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 (FOR FTP)

TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

N°	Name	Expert's input (in person/month) per each Deliverable (listed in TECH-5)										Total time-input (in Months)		
		Position		D-1	D-2	D-3	.....	D-...				Home	Field	Total
KEY EXPERTS														
K-1	{e.g., Mr. Abbbb}	[Team Leader]	[*Home*]	[2 month]	[1.0]	[1.0]								
			[*Field*]	[0.5 m]	[2.5]	[0]								
K-2														
K-3														
n														
								Subtotal						
NON-KEY EXPERTS														
N-1			[*Home*]											
			[*Field*]											
N-2														
n														
								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

FORM TECH-6
(CONTINUED)

CURRICULUM VITAE (CV)

Position Title and No.	{e.g., K-1, TEAM LEADER}
Name of Expert:	{Insert full name}
Date of Birth:	{day/month/year}
Country of Citizenship/Residence	

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.}

Period	**Employing organization and your title/position. Contact information for references**	**Country**	**Summary of activities performed relevant to the Assignment**
[e.g., May 2005-present]	[e.g., Ministry of ……, advisor/consultant to… For references: Tel……/e-mail……; Mr. Hbbbbb, deputy minister]		

Membership in Professional Associations and Publications:

_____

Language Skills (indicate only languages in which you can work): _____

_____

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts:	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
{List all deliverables/tasks as in TECH- 5 in which the Expert will be involved)	

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 (the same who signs the Proposal) Signature Date

Note: The CV must be signed in original by proposed Key-expert or confirmation from proposed Key-expert via email shall be submitted with Technical Proposal.

FORM TECH-7 (FOR FTP)

CODE OF CONDUCT FOR EXPERTS FORM

***Note to the Client**:*

***The following minimum requirements shall not be modified**. The Client may include additional requirements to reflect Contract-specific issues/risks.*

Delete this Box prior to issuance of the RFP.

Note to the Consultant:

The minimum content of the Code of Conduct form as set out by the Client shall not be substantially modified. However, the Consultant may add requirements as appropriate, including to take into account Contract-specific issues/risks.

The Consultant shall initial and submit the Code of Conduct form as part of its Proposal.

CODE OF CONDUCT FOR EXPERTS

We are the Consultant, [*enter name of Consultant*]. We have signed a contract with [*enter name of Client*] for [*enter description of the Services*]. Our contract requires us to implement measures to address social risks related to the Services, if any, including the risks of sexual exploitation, sexual abuse and sexual harassment.

This Code of Conduct is part of our measures to deal with social risks, if any, related to the Services. This Code of Conduct identifies the behavior that we require from all Experts.

Our workplace for carrying the Services is an environment where unsafe, offensive, abusive or violent behavior will not be tolerated and where all persons should feel comfortable raising issues or concerns without fear of retaliation.

REQUIRED CONDUCT

Experts shall:

1. carry out his/her duties competently and diligently;
2. comply with this Code of Conduct and all applicable laws, regulations and other requirements;

3. treat other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers or children;
4. not engage in Sexual Harassment, which means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature with other Experts, or Client's Personnel;
5. not engage in Sexual Exploitation, which means any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another;
6. not engage in Sexual Abuse, which means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions;
7. not engage in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage;
8. complete training/sensitization that may be provided related to the social aspects of the Contract, including on Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH);
9. report violations of this Code of Conduct; and
10. not retaliate against any person who reports violations of this Code of Conduct, whether to us or the Client.

RAISING CONCERNS

If any person observes behavior that he/she believes may represent a violation of this Code of Conduct, or that otherwise concerns him/her, he/she should raise the issue promptly. This can be done in either of the following ways:

1. Contact [*enter name of person assigned by the Consultant to handle such matters*] in writing at this address [ ] or by telephone at [ ] or in person at [ ]; or
2. Call [ ] to reach the Consultant's hotline *(if any)* and leave a message.

The person's identity will be kept confidential, unless reporting of allegations is mandated by the country law. Anonymous complaints or allegations may also be submitted and will be given all due and appropriate consideration. We take seriously all reports of possible misconduct and will investigate and take appropriate action. We will provide warm referrals to service providers that may help support the person who experienced the alleged incident, as appropriate.

There will be no retaliation against any person who raises a concern in good faith about any behavior prohibited by this Code of Conduct. Such retaliation would be a violation of this Code of Conduct.

CONSEQUENCES OF VIOLATING THE CODE OF CONDUCT

Any violation of this Code of Conduct by Experts may result in serious consequences, up to and including termination and possible referral to legal authorities.

FOR EXPERT:

I have received a copy of this Code of Conduct written in a language that I comprehend. I understand that if I have any questions about this Code of Conduct, I can contact [*enter name of the contact person(s) assigned by the Consultant*] requesting an explanation.

Name of Expert: [insert name]

Signature: _____

Date: (day month year): _____

Countersignature of authorized representative of the Consultant:

Signature: _____

Date: (day month year): _____

Official Use Only

FORM TECH-8 (FOR FTP)
SEXUAL EXPLOITATION AND ABUSE (SEA) AND/OR SEXUAL HARASSMENT (SH) PERFORMANCE DECLARATION

[The following table shall be filled in for the Consultant, each member of a Joint Venture and each subconsultant proposed by the Consultant]

Consultant's Name: *[insert full name]*
Date: *[insert day, month, year]*
Joint Venture Member's or Subconsultant's Name: *[insert full name]*
RFP No. and title: *[insert RFP number and title]*
Page *[insert page number]* of *[insert total number]* pages

SEA and/or SH Declaration
We: ☐ (a) have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations ☐ (b) are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations ☐ (c) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.
[*If (c) above is applicable, attach evidence of an arbitral award reversing the findings on the issues underlying the disqualification.]*

Section 4. Financial Proposal - Standard Forms

{*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(s) currency(ies)} {Insert amount(s) in words and figures}, **excluding** of all indirect local taxes, GST etc. in accordance with ITC 25.1 in the Data Sheet. The estimated amount of local indirect taxes, GST etc. is Indian National Rupees (INR) {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:

Name and Address of Agents	Amount and Currency	Purpose of Commission or Gratuity

{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

Item	Cost
	{Consultant must state the proposed Costs in accordance with ITC **16.4 of the Data Sheet**; delete columns which are not used}
	{*Insert Local Currency, if used and/or required (16.4 Data Sheet*}
Cost of the Financial Proposal	
Including:	
(1) **Remuneration**	
(2) **Reimbursables**	
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	
(i) {insert type of tax e.g., VAT or sales tax}	
(ii) {e.g., income tax on non-resident experts}	
(iii) {insert type of tax}	
Total Estimate for Indirect Local Tax:	

(iv)				
_____				

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

A. Remuneration _____

No.	Name	Position (as in TECH-6)	Person-month Remuneration Rate	Time Input in Person/Month (from TECH-6)	{*Local Currency- as in FIN-2*}
	Key Experts				
K-1			[*Home*]		
			[*Field*]		
K-2					

	Non-Key Experts				
N-1			[*Home*]		
N-2			[*Field*]		
				Total Costs	

Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

(Not Applicable for this Assignment)

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:

$$\text{Leave cost as percentage of salary} = \frac{\text{total days leave x } 100}{[365 - w - ph - v - s]}$$

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
(Not Applicable for this Assignment)

Consultant: Country:
Assignment: 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*})

Personnel		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration Rate per Working Month/Day/Year	Social Charges[1]	Overhead [1]	Subtotal	Profit[2]	Away from Home Office Allowance	Proposed Fixed Rate per Working Month/Day/Hour	Proposed Fixed Rate per Working Month/Day/Hour[1]
Home Office									
Client's Country									

{* 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

B. Reimbursable Expenses

N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	{Local Currency- as in FIN-2}
__	{e.g., Per diem allowances**}	{Day}		_____	
__	{e.g., International flights}	{Ticket}		_____	
__	{e.g., In/out airport transportation}	{Trip}			
	{e.g., Communication costs between Insert place and Insert place}				
	{e.g., reproduction of reports}				
	{e.g., Office rent}				
	.....				
	{Training of the Client's personnel – if required in TOR}				
Total Costs					

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): _____ [list country/countries following approval by the Bank to apply the restriction *or* state "none"]

Under the ITC 6.3.2 (b): _____ [list country/countries *or* indicate "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

(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;[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 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.

Section 7. Terms of Reference

For

Selection of Chartered Accountant Firm for Financial Attest and Statutory Audit of Rural Local Bodies (RLBs) in Dehradun & Uttarkashi, Uttarakhand for Financial Year 2024-25 & 2025-26 under SPFM Project

Introduction

1. **In the last two decades, the Government of Uttarakhand (GoUk) has actively worked to strengthen Public Financial Management (PFM) systems and improving governance.** Notably, its partnership with the World Bank in the recently completed UKPFMS project has built a strong foundation.[1] GoUk has implemented PFM reforms to promote fiscal discipline, improve public spending efficiency, and boost transparency and accountability. These efforts have provided the building blocks to the state to move to the next stage for further modernization, data-driven decision-making, and capacity building, paving the way for better governance and long-term fiscal health.

2. **Although significant progress has been achieved, the process of improving the PFM sector remains active and evolving due to emerging challenges, and GoUk has prioritized in identifying and addressing these issues without delay.** The government plans to further advance and broaden PFM reforms, reinforce public finance accountability, enhance service delivery and governance, build institutional capacity, deploy technology solutions, and invest in professional development to reach these goals.

3. **GoUk has conceptualized the "*Strengthening Public Financial Management for improved Service Delivery Project" (SPFM Project)*.** The project is an Investment Project Financing (IPF) with a combination of technical assistance (TA) and results-based financing. GoUk has requested the World Bank support for SPFM *Project and* intends to use part of the project proceeds for this assignment.

4. The SPFM Project, on behalf of the Directorate of Audit (DoA), Uttarakhand, intends to engage eligible Chartered Accountant firms for package-wise Financial Attest Audit / Statutory Audit of Gram Panchayats / Rural Local Bodies allotted under the RFP. The assignment is intended to comply with the requirements of the 16th Finance Commission and is intended to strengthen financial accountability, reliability of accounts, scheme compliance, internal control, digital audit trail, timely reporting and evidence-based audit follow-up at Gram Panchayat level.

5. The audit shall be undertaken independently and professionally by the selected CA firm in accordance to the provisions of Uttarakhand Financial Attest Audit Manual, its prescribed audit formats and checklists, applicable/updated Standards on Auditing, Standards on Quality Control / Quality Management as applicable, ICAI Code of Ethics, UDIN requirements, etc.

Objective of the Assignment

6. The objective of the assignment would be to conduct exhaustive audit of all the Gram Panchayats, prescribed in the respective packages, with respect to all funds, schemes being operated at the G.P. level and express an independent audit opinion on the Eight Format Accounts as prescribed by CAG for Gram Panchayats, for the relevant financial year.

Scope of the Consulting Services

7. **Audit would include**

- **To verify whether accounts are properly prepared, complete in all material respects, supported by adequate disclosures and maintained in accordance with applicable rules, manuals and Government directions.**
- **To verify whether funds received and spent by Gram Panchayats, including Central Finance Commission grants, State Finance Commission grants, scheme funds and own-source revenue, have been used for the approved purposes and conditions.**
- **To examine the adequacy of vouchers, sanctions, approvals, measurement books, procurement records, stock records, assets and liabilities records, bank reconciliation and other supporting evidence.**
- **To report significant audit observations, serious irregularities, non-production of records, suspected misappropriation, diversion of funds, weak internal controls and systemic deficiencies through the prescribed audit report / management letter.**
- **To support digital audit management through UOAMS / Audit Online / e-Gram Swaraj / or any other portal prescribed by the PMU / DoA.**

Audit Coverage

- The audit shall cover 100% of the Gram Panchayats allotted under all eight (08) packages for each of the financial years 2024–25 and 2025–26. The full audit of both years shall be completed within a single period of two (02) months from the date of signing of the agreement.
- A separate independent audit report shall be issued for each financial year.
- The final number of Gram Panchayats / audit units, block-wise coverage and package-wise coverage shall be as per the updated official list and any subsequent correction issued by the PMU / Directorate of Audit.
- The selected CA firm shall not refuse any allotted Gram Panchayat on grounds of remote location, difficult terrain, non-availability of staff or administrative inconvenience, except where the PMU / Directorate records a specific written modification.

Detailed Scope of Work

The CA firm shall carry out, inter alia, the following activities for each allotted Gram Panchayat:

A. Books of Accounts

- Verify opening balances, closing balances, receipts, payments, advances, liabilities and fund balances with the cash book, ledgers, bank statements, passbooks, treasury / UOAMS / e-Gram Swaraj / Audit Online portal records and supporting documents.
- Verify whether the Eight Format Accounts have been prepared by the competent Gram Panchayat authority and is duly signed by the Panchayat Secretary / authorized official before commencement or finalization of audit.
- Where Central Government grants and State Government grants are reflected in different systems or account sets, verify that a consolidated annual Receipts and Payments Account is prepared and reconciled before audit reporting.
- Check arithmetical accuracy, classification, scheme-wise accounting, disclosure of balances and consistency of accounts with applicable accounting rules and formats.

B. Receipts, Grants and Revenue

- Verify all grants received from Central Government, State Government, Finance Commission, scheme authorities and other sources, including date of receipt, purpose, restrictions and utilization conditions.
- Verify own-source revenue including taxes, fees, rent, license fee, penalties, interest, sale proceeds, advertisement, or other local receipts, and comment on adequacy of levy, collection and disclosure.
- Reconcile grant-wise receipts with sanctions, release orders, bank credits, treasury records, e-Gram Swaraj / Audit Online data and utilization records.

C. Expenditure, Works and Procurement

- Verify expenditure vouchers with sanctions, approvals, estimates, work orders, purchase orders, measurement books, bills, stock entries, completion certificates, payment evidence and beneficiary / vendor records.
- Check whether expenditure on works, goods and services has been incurred as per applicable financial rules, procurement procedure, scheme guidelines, technical sanctions and delegated powers.
- Verify wage, material, administrative, contingency and scheme expenditure, including tax deductions and statutory compliances wherever applicable.
- Identify unsupported, irregular, doubtful, duplicate, excessive, split, misclassified or unauthorized expenditure and report the same with evidence and rule position.

D. Bank Reconciliation and Cash / Fund Management

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- Verify all bank accounts operated by the Gram Panchayat and reconcile cash book balances with bank statements, passbooks and portal balances.
- Examine stale cheques, unpresented cheques, direct credits / debits, interest, bank charges, wrong credits, suspense items, fund in transit and unreconciled balances.
- Report delays in deposit, unauthorized retention, diversion of funds, cash handling weaknesses and absence of bank reconciliation statements.

E. Assets, Inventory, Advances and Liabilities

- Verify fixed asset register, immovable property register, movable property register, inventory register, stock register, public assets created under schemes and physical verification records as considered necessary.
- Verify advances, deposits, security deposits, unpaid bills, liabilities, unadjusted balances, pending utilization certificates and long outstanding items.
- Comment on adequacy of record maintenance for Receipt and Payment Account, receipt vouchers, payment vouchers, bank reconciliation statement, immovable property register, movable property register, inventory register and demand, collection and balance register.

F. Scheme and Compliance Audit

- Verify compliance with scheme guidelines and conditions for Finance Commission grants, State grants and schemes such as MGNREGA, PMAY, SBM, JJM, NRLM or any other scheme operated at GP level wherever applicable.
- Ensure that scheme audit reports required to be generated through Audit Online or any other prescribed portal are prepared and submitted within the prescribed timeline.
- Verify whether utilization certificates, progress reports, monitoring records and scheme registers are supported by evidence and reconcile with financial records.

G. Internal Control, Governance and Serious Irregularities

- Review internal controls relating to approvals, custody of records, record production, segregation of duties, documentation, monitoring, compliance and follow-up of previous audit observations.
- Immediately report suspected fraud, misappropriation, diversion of funds, manipulation of records, non-production of records, unauthorized payments or any serious irregularity to the designated authority of the PMU / Directorate.
- Ensure that findings are clearly worded, evidence based, constructive and supported by relevant rule, order, scheme guideline or audit criterion.

36. Performance Review and Continuation

- Directorate of Audit shall continuously evaluate the performance of firms, as per the predetermined parameters. If the firm's work is found to be below the threshold, it may

be warned, asked to improve, discontinued or finally its contract may be terminated Required to be deleted.

37. Audit Methodology and Field Execution

- The CA firm shall prepare a package-wise and block-wise audit plan before commencement of field work and obtain approval / concurrence from the Directorate or designated coordinating officer along with intimation to PMU, SPFM.
- The audit plan shall ensure practical coverage of all allotted Gram Panchayats, considering terrain, road connectivity, block-wise grouping, availability of records and timely completion of deliverables. The plan shall identify road routes, team bases, travel time and parallel team deployment sufficient to complete both financial years within two (02) months.
- The firm shall conduct entry meetings with the concerned district / block / Gram Panchayat authorities, explain the record requirement, and maintain record-production and field-visit evidence.
- The firm shall maintain complete working papers, including audit program, checklists, test details, evidence relied upon, management response, review notes and report approval trail.
- Audit sampling, where used, shall be risk-based and properly documented as per the guidelines of Uttarakhand Financial Attest Audit Manual; however, all material items, grants, bank accounts, serious irregularities and high-risk transactions shall be verified in detail.
- The firm shall work on OAMS / Audit Online / e-Gram Swaraj or any other prescribed platform and maintain a digital audit trail of reports, working papers, uploads and approvals.

38. Audit Team, Task Team Leader and Deployment

- The CA firm shall nominate a Task Team Leader for each package. The Task Team Leader shall be a partner/proprietor of the firm and a Chartered Accountant with adequate experience, not less than ten years in audit assignments.
- The Task Team Leader shall be the single point of contact for the PMU, Directorate, nodal officers, block / district authorities and the audit team, and shall be responsible for audit planning, field execution, supervision, report quality, submission and approval follow-up.
- The audit team for each package shall **at least** consist of the Task Team Leader, Assistant Team Leader (both C.A & Key Experts) and twenty-five (25) Article Assistants/Semi Qualified Assistants, along with IT/Data Support resource. The Article Assistants/ Semi Qualified Assistants shall carry out data collection, audit execution and field verification under the direct supervision of the Task Team Leader. Thus, there shall be at least two teams in a package, headed by key experts (C.As) and supported by

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required number of assistants, per package. This is the minimum deployment; the firm shall deploy additional personnel, where necessary, at its own cost to complete the allotted package within two (02) months, taking account of GP numbers, terrain and travel time.

- The firm shall submit details of the Task Team Leader, Assistant Team Leader, Article Assistants and IT/Data Support resource, including qualification, experience, identity proof, contact details, photographs, role, deployment plan and availability undertaking, for UOAMS / Audit Online registration and audit team creation.
- The signing partner / authorized CA shall remain professionally responsible for audit quality, independent opinion, UDIN, working papers and adherence to professional standards even where field work is performed by team members.

39. Role of Directorate and Field Authorities

- Directorate of Audit in coordination with Directorate of Panchayati raj (DoPR) authorities shall facilitate record availability, coordination meetings, audit planning, issue resolution and report review.
- The concerned district (DPRO) / block authority (BDO) will nominate a nodal officer for smooth audit execution, record production, coordination with Gram Panchayats and timely response to audit queries. All documents will be made available at Block level for physical verification and conduct of audit by the Auditor. However, audit of at least 05 percent of the Gram Panchayats in a package shall be conducted at the respective Gram Panchayat Office.
- The Directorate of Audit shall designate Supervisory officers for review of work execution, draft reports, quality check, verification of timelines, approval for workflow and coordination with the CA firm. Respective C.A. firms shall ensure proper deployment and attendance of their audit staff. Directorate of Audit may ensure digital attendance of such audit staff.
- Such Supervisory Officers of DoA shall also undertake field visits to take stock of audit execution at ground level and verify availability of records

40. Non-production of Records and Escalation

- If records are not produced or audit is delayed due to non-production of records, the audit team shall immediately report the matter to the concerned district / block nodal officer and the Directorate of Audit as per the escalation matrix prescribed in the work plan decided at the commence of the assignment.
- The CA firm shall not keep the audit team idle. If one Gram Panchayat does not produce records, the firm shall, in coordination with nodal officers, proceed with other Gram Panchayats where records are available, in coordination with DoA, DoPR, respective BDOs etc..

- Where non-production continues despite escalation, the firm shall document the facts, dates, persons contacted, records demanded, partial records produced and impact on audit, and shall seek written direction from the Supervisors/ Directorate of Audit.
- A disclaimer or modified opinion shall not be issued merely as a substitute for audit work where no audit has been conducted; in such cases the matter shall first be escalated to the appropriate authority for record production and further direction. DoPR/DPRO shall be the competent authority to certify/verify such instances of non/partial production of records. Further, non/partial production of records of respective Gram Panchayats, causing disclaimer or modified opinion, without justification from DoPR authorities, shall be treated as non-conduction of audit at the respective Gram Panchayat.

Reporting Arrangements

For each Gram Panchayat / audit unit and for each financial year, the CA firm shall duly comply with the provisions/checklist/formats of the Financial Attest Audit Manual, 2021 and at least submit the following, as applicable:

- Independent Auditor's Report with expression of opinion on the financial statements / Eight Format Accounts of the Gram Panchayats.
- Audited Receipts and Payments Account, notes to accounts and supporting statements, duly signed by the competent Gram Panchayat authority and the authorized CA as applicable.
- Management Letter / List of Audit Observations in the prescribed OAMS / Audit Online / Directorate format, separately from the Independent Auditor's Report wherever applicable.
- Scheme audit report generated from Audit Online / prescribed portal for Finance Commission grants or other scheme funds, wherever applicable.
- Record-production statement indicating records produced, not produced, partially produced, delayed and relied upon for audit opinion. However, Non / partial/ delayed production of records, shall have to be verified by the respective DPRO/DoPR.
- Working paper index, evidence list, checklists, sampling details, response of auditee and auditor conclusion for all material audit observations.
- Block-wise and package-wise integrated report summarizing key audit findings, serious irregularities, common deficiencies, systemic issues, financial impact and recommendations.
- Presentation to the Directorate on completion of each package or as required, covering key findings, risk areas, unresolved issues and suggested corrective action.

Timelines and Review

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- Block-wise audit of 100% of allotted Gram Panchayats for both financial years, 2024–25 and 2025–26, including final reports, prescribed portal uploads and handover of working papers, shall be completed within two (02) months from the date of signing of the agreement.
- The Directorate, in consultation with the selected CA firm, shall approve a block-wise field schedule, deployment plan and reporting schedule aligned with the two-month completion period. Draft GP-wise audit reports shall be submitted promptly after the exit meeting and within the timeline prescribed in the approved audit plan.
- The Directorate of Audit shall review reports preferably within 15 days of uploading of audit report and may seek clarification on facts, evidence, rule position or report format. The CA firm shall respond to review comments within 3 days
- Final audit report shall incorporate auditee response or record non-response and shall be submitted in PDF, editable format and portal-uploaded form with UDIN wherever applicable.
- Delays attributable to the CA firm, poor-quality reports, unsupported audit paras, non-upload on portal or failure to respond to review comments may lead to withholding, proportionate deduction, rework, or other action as per the RFP / contract.

Minimum Documents to be Verified Per Gram Panchayat

- Cash book, ledgers, subsidiary registers and annual financial statements / Receipts and Payments Account.
- Receipt vouchers, payment vouchers and supporting documents.
- Bank statements / passbooks, bank reconciliation statements and details of all bank accounts.
- Grant-wise and scheme-wise records, sanctions, release orders, utilization certificates and progress reports.
- Measurement books, work files, estimates, technical sanctions, completion records and asset creation records.
- Tender / quotation / procurement files, purchase orders, bills, stock register and inventory records.
- Register of immovable property, register of movable property and physical verification records.
- Demand, Collection and Balance Register and other own-source revenue records.
- Advance register, deposit register, liabilities, unpaid bills and adjustment records.
- Tax deduction and statutory compliance records, wherever applicable.
- OAMS / Audit Online / e-Gram Swaraj / portal reports and extracts.

- Any other record prescribed by the PMU / Directorate or required by audit circumstances.
- Status on adoption and updating of data on the e-Gram Swaraj portal by the Gram Panchayats.
- Compliance of the Panchayati Raj Act, 2016 by the Gram Panchayats.

Professional Responsibility, Independence and Confidentiality

- The CA firm and all deployed personnel shall maintain independence, objectivity, confidentiality and professional conduct throughout the assignment.
- The firm shall submit declarations of independence, conflict of interest, confidentiality, anti-corruption and code of ethics for key personnel and audit team members as required.
- The firm shall not alter audit opinion or basis of opinion under pressure from any auditee or reviewing officer. Factual clarifications will be considered, but professional judgement shall remain with the signing Chartered Accountant.
- All reports, data, working papers, portal extracts and information generated under the assignment shall be treated as confidential and shall be used only for the purposes of this assignment, subject to inspection rights of Directorate / PMU as applicable.

Local / Project Office and Local Manpower

A firm not having a branch office, State Coordination Office or Project Office in Dehradun/Uttarakhand on the date of bid submission shall not be disqualified on this ground alone. However, such firm shall submit an undertaking that, if selected, it shall deploy a State Coordination Officer at Dehradun within 7 days from the date of signing of contract.

The selected firm shall submit proof of above with contact person name, mobile number, email ID and local coordinator address. Failure to deploy such officer within 7 days may be treated as failure to comply with essential contract award conditions.

Package Structure and Indicative Coverage

The audit work shall be divided into eight (08) packages on the basis of geographical congruency, continuity and practical road connectivity, with approximately equal Gram Panchayat coverage as far as possible. Indicative coverage is 7,817 Gram Panchayats across 95 blocks, representing 15,634 GP-year audits for financial years 2024–25 and 2025–26. The indicative package sizes range from 924 to 1,049 GPs, against an average of approximately 977 GPs. Final coverage shall be as per the official list notified before publication / award.

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Package	Included Area	Blocks	GP / Auditee Count
Package 1— Tehri Garhwal	**Tehri Garhwal:** Bhilangna, Chamba, Deoprayag, Jakhnidhar, Jaunpur, Kirtinagar, Narendra Nagar, Pratapnagar, Thauldhar	9	1049
Package 2 — Dehradun and Uttarkashi	**Dehradun:** Chakrata, Doiwala, Kalsi, Raipur, Sahaspur, Vikasnagar; **Uttarkashi:** Bhatwari, Chinyalisaur, Dunda, Mori, Naugaon, Purola	12	930
Package 3 — Pithoragarh and Eastern Champawat	**Champawat:** Barkot, Champawat , Lohaghat, Pati,; **Pithoragarh:** Berinag, Dharchula, Didihat, Gangolihat, Kanalichina, Munakot, Munsyari, Pithoragarh	12	993
Package 4 — Rudraprayag and Chamoli	**Chamoli:** Dasholi, Dewal, Gairsain, Ghat, Joshimath, Karnaprayag, Narayanbagar, Pokhari, Tharali; **Rudraprayag:** Augustmuni, Jakholi, Ukhimath	12	948
Package 5 — Central Almora and Bageshwar	**Almora:** Bhaisiya Chhana, Dhauladevi , Hawalbag, Lamgara, Takula, Tarikhet; **Bageshwar**: Bageshwar, Garur, Kapkote	9	1016
Package 6 — Haridwar and Southern Pauri	**Haridwar:** Bahadrabad, Bhagwanpur, Khanpur, Laksar, Narsan, Roorkee; **Pauri Garhwal:** Dwarikhal, Ekeshwar, Kaljikhal, Khirsu, Kot, Pabau, Pauri, Pokhra, Yamkeshwar	15	977
Package 7 — East Pauri and Western Almora	**Almora:** Bhikiyasain, Chaukhutiya, Dwarahat, Sult, Syaldey; **Pauri Garhwal:** Bionkhal, Duggada, Nainidanda, Rikhnikhal, Thalisain, Zahrikhal.	11	1056
Package 8 — Nainital and Udham Singh Nagar	**Nainital:** Betalghat, Bhimtal, Dhari, Haldwani, Kotabag, Okhalkanda, Ramgarh, Ramnagar; **Udam Singh Nagar:** Bajpur, Gadarpur, Jaspur, Kashipur, Khatima, Rudrapur, Sitarganj	15	848
Total		**95**	**7817**

Package Award Procedure

The assignment shall be executed through eight (08) geographically congruent packages with continuity and practical road connectivity. Selection shall be made on a Quality and Cost Based Selection (QCBS) basis, with technical weightage of 70% and financial weightage of 30%. Firms meeting minimum eligibility and securing the minimum qualifying technical score, i.e. 75 marks, shall be eligible for opening of financial bids.

Packages shall be awarded in accordance with the following procedure:

The bidder shall submit its Technical and Financial Proposals for any one or more of the eight packages specified in the bidding document (please refer Section-VII Terms of Reference), as per its preference. The bidding document specifies the sequence of evaluation for all eight packages, and the Project shall evaluate the packages separately in the prescribed sequence.

If a bidder submits proposals for more than one package, once the bidder becomes eligible for award of a package (on the basis of total highest QCBS score) that is evaluated earlier in the prescribed sequence, its bid shall not be considered for the evaluation of the remaining packages. Accordingly, one bidder shall

be awarded only one package if found eligible, in accordance with the package evaluation sequence specified in the bidding document.

This assignment shall follow a minimum unit fee / floor fee approach to prevent unhealthy undercutting in a professional assurance assignment. The Minimum Unit Fee / Floor Fee shall be as per the ICAI Guidelines published through the Gazette of India, Notification No. 130 dated 07th April 2016 (Table 5), as endorsed by the Government of Uttarakhand vide letter No. 181830 dated 12th January 2024. Bids below the floor rate shall be treated as non-responsive.

The cost per package shall be determined on the basis of following parameters.

- Time duration for completion of packages, shall be within 02 months.
- There shall be at least two teams along with minimum 25 semi qualified assistants, where each team is to be headed by C.As.
- One man day for the audit of one Gram panchayat per financial year has been assumed.
- Only cost of Field staff, i.e. semi qualified assistants shall be taken in to consideration, while other administrative costs shall have to be borne by the respective firms.

Audit Team and Manpower Deployment

Position	Minimum Skill / Responsibility	Minimum Deployment
Engagement Partner / Signing Partner (Key Expert)/ Task Team Leader	Chartered Accountant partner/proprietor of the firm with more than 10 years of experience with accountability for audit assignment, overall responsible for audit planning and supervision, report quality, authorizing / signing of the audit report, UDIN, and acting as single point of contact for the package.	01 (One)
Assistant Team Leader (Key Expert)	Chartered Accountant partner/proprietor of the firm, with not less than ten years of experience in audit assignments, responsible for day-to-day audit planning field supervision of audit team, audit execution, review and coordination of audit work timely resolution of audit issues and preparation of the audit report. .	01 (One)
Article Assistant (Non-Key Expert)	CA Article Assistant / semi-qualified accounting and audit professional responsible for field verification of records, vouchers, registers and preparation of audit working papers, under the direct supervision of the Task Team Leader/ Assistant Team Leader.	25 (Twenty-Five)
IT/Data Support (Non-Key Expert)	Person skilled in Excel/data analysis, portal upload, digital working papers and MIS.	01 (One) (Optional)

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Deliverables, Payments and Timelines

- GP-wise audit report shall be submitted in the prescribed format along with audit certificate/opinion, observations, management response/compliance and UDIN wherever applicable.
- Package-wise consolidated report shall summarize major audit findings, serious irregularities, common deficiencies and district/block-wise status.
- Soft copy in PDF and editable format, portal upload proof and working paper index shall be submitted as prescribed.
- Field audit schedule shall be finalized in consultation with the Directorate and concerned district/block authorities.
- Audit reports shall contain a list of records produced and not produced, evidence relied upon, response of auditee and auditor conclusion etc.
- Draft audit observations shall be issued to the concerned GP/authority for response through the Audit Online & UOAMS portal. The final report, uploaded on the UOAMS portal by the respective firm, shall incorporate the response or record non-response.
- If allotted number of GP have not been audited due to some unforeseen reason which are made justified by Audit Directorate the payment shall be made on pro-rata basis for audit conducted and report accepted by the designated committee/officer of the Directorate of Audit. GST shall be paid as applicable.
- The firm shall submit the weekly progress of audit and status of audit report uploaded in OAMS portal to Directorate of Audit and PMU, SPFM via email.

Payment Schedule (T = date of signing of the agreement; all milestones fall within the common two-month period for both financial years)

Milestone	Deliverable	Timeline	Payment
Milestone 1	Submission of 30% of GP-wise reports for both financial years.	T+2 weeks	20% of contract amount
Milestone 2	Submission of 50% of GP-wise reports and Approval of 30% of GP-wise reports for both financial years.	T + 4 weeks	30% of contract amount
Milestone 3	Submission of 100% of GP-wise Reports and Approval of 50% of GP-wise reports for both financial years, completion of prescribed portal uploads	T + 7 weeks	30% of Contract amount..

Milestone	Deliverable	Timeline	Payment
Milestone 4	Approval of 100% of GP-wise reports and Package-wise consolidated report	T + 8 weeks	20% of contract amount

Duration of Assignment

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The entire audit assignment covering 100% of allotted Gram Panchayats for financial years 2024–25 and 2025–26 shall be completed within two (02) months from the date of signing of the contract including field audit, initial performance review, submission and finalization of reports, prescribed portal uploads

Annexures

Annexure	Title
Annexure A	Package-wise List of Districts / Blocks / Gram Panchayat Count for Eight Packages
Annexure A1	Block-wise Package Mapping (LGD Code Gram Panchayat list), provided below; indicative, to be reconciled with the latest official Gram Panchayat / auditee list before publication or award

Annexure A — Package-wise District / Block Summary

District and block-wise allocation of the eight audit packages, with package subtotals and the grand total. Counts are drawn from the attached block-wise GP spreadsheet. Final allocation shall be verified for geographical continuity and road connectivity before publication / award.

Package	District	Blocks Included	Indicative Count
Package 1	Tehri Garhwal	Bhilangna, Chamba, Deoprayag, Jakhnidhar, Jaunpur, Kirtinagar, Narendra Nagar, Pratapnagar, Thauldhar	1049
		Total (Package 1)	**1049**
Package 2	Dehradun	Chakrata, Doiwala, Kalsi, Raipur, Sahaspur, Vikasnagar	409
	Uttarkashi	Bhatwari, Chinyalisaur, Dunda, Mori, Naugaon, Purola	521
		Total (Package 2)	**930**
Package 3	Champawat	Barkot, Champawat , Lohaghat, Pati	312
Package 3	Pithoragarh	Berinag, Dharchula, Didihat, Gangolihat, Kanalichina, Munakot, Munsyari, Pithoragarh	681

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Package	District	Blocks Included	Indicative Count
		Total (Package 3)	**993**
Package 4	Chamoli	Dasholi, Dewal, Gairsain, Ghat, Joshimath, Karnaprayag, Narayanbagar, Pokhari, Tharali	615
Package 4	Rudraprayag	Augustmuni, Jakholi, Ukhimath	333
		Total (Package 4)	**948**
Package 5	Almora	Bhaisiya Chhana, Dhauladevi , Hawalbag, Lamgara, Takula, Tarikhet	611
Package 5	Bageshwar	Bageshwar, Garur, Kapkote	405
		Total (Package 5)	**1016**
Package 6	Haridwar	Bahadrabad, Bhagwanpur, Khanpur, Laksar, Narsan, Roorkee	318
Package 6	Pauri	Dwarikhal, Ekeshwar, Kaljikhal, Khirsu, Kot, Pabau, Pauri, Pokhra, Yamkeshwar	659
		Total (Package 6)	**977**
Package 7	Pauri	Bionkhal, Duggada, Nainidanda, Rikhnikhal, Thalisain, Zahrikhal.	507
Package 7	Almora	Bhikiyasain, Chaukhutiya, Dwarahat, Sult, Syaldey	549
		Total (Package 7)	**1056**
Package 8	Nainital	Betalghat, Bhimtal, Dhari, Haldwani, Kotabag, Okhalkanda, Ramgarh, Ramnagar	475
Package 8	Udam Singh Nagar	Bajpur, Gadarpur, Jaspur, Kashipur, Khatima, Rudrapur, Sitarganj	373
		Total (Package 8)	**848**
		Grand total	**7817**

Annexure A1 — Block-wise Package Mapping (LGD Code)

The following block-wise mapping adopts GP counts from the attached block-wise spreadsheet and retains local body codes from the source ToR. The duplicated code 940 against Hawalbag and Sult shall be reconciled with the latest official LGD list before publication. Block boundaries and connecting road routes shall also be verified before publication / award.

S.No.	Package	District	Local Body Code	Block Panchayat	GP / Auditee Count
1	Package 1	Tehri Garhwal	1008	Bhilangna	186
2	Package 1	Tehri Garhwal	1009	Chamba	104
3	Package 1	Tehri Garhwal	1010	Deoprayag	105
4	Package 1	Tehri Garhwal	1011	Jakhnidhar	92
5	Package 1	Tehri Garhwal	1012	Jaunpur	149
6	Package 1	Tehri Garhwal	1013	Kirtinagar	97
7	Package 1	Tehri Garhwal	1014	Narendra Nagar	120

S.No.	Package	District	Local Body Code	Block Panchayat	GP / Auditee Count
8	Package 1	Tehri Garhwal	1015	Pratapnagar	101
9	Package 1	Tehri Garhwal	1016	Thauldhar	95
10	Package 2	Dehradun	962	Chakrata	117
11	Package 2	Dehradun	963	Doiwala	38
12	Package 2	Dehradun	964	Kalsi	111
13	Package 2	Dehradun	965	Raipur	40
14	Package 2	Dehradun	966	Sahaspur	50
15	Package 2	Dehradun	967	Vikasnagar	53
16	Package 2	Uttar Kashi	1024	Bhatwari	86
17	Package 2	Uttar Kashi	1025	Chinyalisaur	83
18	Package 2	Uttar Kashi	1026	Dunda	103
19	Package 2	Uttar Kashi	1027	Mori	70
20	Package 2	Uttar Kashi	1028	Naugaon	134
21	Package 2	Uttar Kashi	1029	Purola	45
22	Pacakge 3	Champawat	958	Barakot	48
23	Pacakge 3	Champawat	959	Champawat	113
24	Pacakge 3	Champawat	960	Lohaghat	66
25	Pacakge 3	Champawat	961	Pati	85
26	Pacakge 3	Pithoragarh	997	Berinag	84
27	Pacakge 3	Pithoragarh	998	Dharchula	62
28	Pacakge 3	Pithoragarh	999	Didihat	71
29	Pacakge 3	Pithoragarh	1000	Gangolihat	117
30	Pacakge 3	Pithoragarh	1001	Kanalichina	92
31	Pacakge 3	Pithoragarh	1002	Munakot	76
32	Pacakge 3	Pithoragarh	1003	Munsyari	94
33	Pacakge 3	Pithoragarh	1004	Pithoragarh	85
34	Package 4	Chamoli	949	Dasholi	67
35	Package 4	Chamoli	950	Dewal	47
36	Package 4	Chamoli	951	Gairsain	95
37	Package 4	Chamoli	952	Ghat	54
38	Package 4	Chamoli	953	Joshimath	58
39	Package 4	Chamoli	954	Karnaprayag	94
40	Package 4	Chamoli	955	Narayanbagar	79
41	Package 4	Chamoli	956	Pokhari	73
42	Package 4	Chamoli	957	Tharali	48
43	Package 4	Rudra Prayag	1005	Augustmuni	159
44	Package 4	Rudra Prayag	1006	Jakholi	108
45	Package 4	Rudra Prayag	1007	Ukhimath	66
46	Pacakge 5	Almora	935	Bhaisiya Chhana	53
47	Pacakge 5	Almora	938	Dhauladevi	110
48	Pacakge 5	Almora	940	Hawalbag	126

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S.No.	Package	District	Local Body Code	Block Panchayat	GP / Auditee Count
49	Pacakge 5	Almora	941	Lamgara	103
50	Pacakge 5	Almora	944	Takula	89
51	Pacakge 5	Almora	945	Tarikhet	130
52	Pacakge 5	Bageshwar	946	Bageshwar	182
53	Pacakge 5	Bageshwar	947	Garur	101
54	Pacakge 5	Bageshwar	948	Kapkote	122
55	Pacakge 6	Haridwar	968	Bahadrabad	80
56	Pacakge 6	Haridwar	969	Bhagwanpur	54
67	Pacakge 6	Haridwar	970	Khanpur	25
68	Pacakge 6	Haridwar	971	Laksar	51
69	Pacakge 6	Haridwar	972	Narsan	63
60	Pacakge 6	Haridwar	973	Roorkee	45
61	Pacakge 6	Pauri Garhwal	984	Dwarikhal	97
62	Pacakge 6	Pauri Garhwal	985	Ekeshwar	82
63	Pacakge 6	Pauri Garhwal	986	Kaljikhal	87
64	Pacakge 6	Pauri Garhwal	987	Khirsu	45
65	Pacakge 6	Pauri Garhwal	988	Kot	68
66	Pacakge 6	Pauri Garhwal	990	Pabau	72
67	Pacakge 6	Pauri Garhwal	991	Pauri	62
68	Pacakge 6	Pauri Garhwal	992	Pokhra	60
69	Pacakge 6	Pauri Garhwal	995	Yamkeshwar	86
70	Pacakge 7	Almora	936	Bhikiyasain	99
71	Pacakge 7	Almora	937	Chaukhutiya	95
72	Pacakge 7	Almora	939	Dwarahat	122
73	Pacakge 7	Almora	940	Sult	138
74	Pacakge 7	Almora	943	Syaldey	95
75	Pacakge 7	Pauri Garhwal	982	Bironkhal	95
76	Pacakge 7	Pauri Garhwal	983	Duggada	67
77	Pacakge 7	Pauri Garhwal	989	Nainidanda	88
78	Pacakge 7	Pauri Garhwal	993	Rikhnikhal	81
79	Pacakge 7	Pauri Garhwal	994	Thalisain	103
80	Pacakge 7	Pauri Garhwal	996	Zahrikhal	73
81	Pacakge 8	Nainital	974	Betalghat	75
82	Pacakge 8	Nainital	975	Bhimtal	60
83	Pacakge 8	Nainital	976	Dhari	41
84	Pacakge 8	Nainital	977	Haldwani	60
85	Pacakge 8	Nainital	978	Kotabag	55
86	Pacakge 8	Nainital	979	Okhalkanda	75
87	Pacakge 8	Nainital	980	Ramgarh	59
88	Pacakge 8	Nainital	981	Ramnagar	50
89	Pacakge 8	Udam Singh Nagar	1017	Bajpur	59

S.No.	Package	District	Local Body Code	Block Panchayat	GP / Auditee Count
90	Pacakge 8	Udam Singh Nagar	1018	Gadarpur	52
91	Pacakge 8	Udam Singh Nagar	1019	Jaspur	51
92	Pacakge 8	Udam Singh Nagar	1020	Kashipur	34
93	Pacakge 8	Udam Singh Nagar	1021	Khatima	59
94	Pacakge 8	Udam Singh Nagar	1022	Rudrapur	42
95	Pacakge 8	Udam Singh Nagar	1023	Sitarganj	76

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PART II

Section 8. Conditions of Contract and Contract Forms

LUMP-SUM FORM OF CONTRACT

STANDARD FORM OF CONTRACT

Consultant's Services

Lump-Sum

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CONTRACT FOR CONSULTANT'S SERVICES

Lump-Sum

Project Name _____

[Loan/Credit/Grant] **No.**_____

Contract No. _____
Assignment Title:_____

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
   Appendix E: Code of Conduct for Experts
   Appendix F: Sexual exploitation and Abuse (SEA) and/or Sexual Harassment (SH) Performance Declaration

   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; Appendix E; and Appendix F. 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) **"Client's Personnel"** refers to the staff, labor and other employees (if any) of the Client engaged in fulfilling the Client's obligations under the Contract; and any other personnel identified as Client's Personnel, by a notice from the Client to the Consultant.

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

(g) **"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).

(h) **"Day"** means a working day unless indicated otherwise.

(i) **"Effective Date"** means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.

(j) **"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.

(k) **"Foreign Currency"** means any currency other than the currency of the Client's country.

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(l) **"GCC"** means these General Conditions of Contract.

(m) **"Government"** means the government of the Client's country.

(n) **"Joint Venture (JV)"** means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to conduct all businesses 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.

(o) **"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 Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant's proposal.

(p) **"Local Currency"** means the currency of the Client's country.

(q) **"Non-Key Expert(s)"** means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part thereof under the Contract.

(r) **"Party"** means the Client or the Consultant, as the case may be, and "Parties" means both of them.

(s) **"SCC"** means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.

(t) **"Services"** means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.

(u) **"Sexual Exploitation and Abuse" "(SEA)"** means the following:

Sexual Exploitation is defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

Sexual Abuse is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

(v) **"Sexual Harassment" "(SH)"** is defined as unwelcome sexual advances, requests for sexual favors, and other verbal

or physical conduct of a sexual nature by the Experts with other Experts or Client's Personnel.

(w) **"Sub-consultants"** means an entity to whom/which the Consultant subcontracts any part of the Services while remaining solely liable for the execution of the Contract.

(x) **"Third Party"** means any person or entity other than the Government, the Client, the Consultant or a Sub-consultant.

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.

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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 Bank'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.~~1. Effectiveness of Contract	~~11.1.~~1.1.	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.~~2. Termination of Contract for Failure to Become Effective	~~12.1.~~2.1.	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.

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~~13.~~3. Commencement of Services

~~13.1.~~3.1. 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.~~4. Expiration of Contract

~~14.1.~~4.1. 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.~~5. Entire Agreement

~~15.1.~~5.1. 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.~~6. Modifications or Variations

~~16.1.~~6.1. 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.

~~17.~~7. Force Majeure

a. Definition

~~17.1.~~7.1. 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.~~7.2. 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.~~7.3. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

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b. No Breach of Contract

~~17.4.~~7.4. 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.~~7.5. 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.~~7.6. 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.~~7.7. 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.~~7.8. 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.~~7.9. 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 49 & 50.

~~18.~~8. Suspension

~~18.1.~~8.1. 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.~~9. Termination ~~19.1.~~9.1. 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 50.1;

(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.

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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 50.1.

(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

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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.~~10. General

a. Standard of Performance

~~20.1.~~10.1. 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. As required in the **SCC**, the Consultant shall take additional measures to manage cyber security risks related to the Contract. 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.~~10.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.

~~20.3.~~10.3. 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. Submission by the Consultant for the Client's approval, for addition of any Sub-consultant not named in the Contract, shall also include the Sub-consultant's declaration in accordance with Appendix F-Sexual exploitation and Abuse (SEA) and/or Sexual Harassment (SH) Performance Declaration. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.

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b. Law Applicable to Services

~~20.4.~~10.4. 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.~~10.5. 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.~~10.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

~~21.~~11. Conflict of Interest

~~21.1.~~11.1. 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 43 through 47) 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.

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b. Consultant and Affiliates Not to Engage in Certain Activities

21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity 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.

c. Prohibition of Conflicting Activities

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.

d. Strict Duty to Disclose Conflicting Activities

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.

~~22.~~12. Confidentiality

~~22.1.~~12.1. 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.

~~23.~~13. Liability of the Consultant

~~23.1.~~13.1. 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.

~~24.~~14. Insurance to be taken out by the Consultant

~~24.1.~~14.1. 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.

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~~25.~~15. Accounting, Inspection and Auditing

~~25.1.~~15.1. 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.

~~25.2.~~15.2. Pursuant to paragraph 2.2 e. of Attachment 1 to the General Conditions, the Consultant shall permit and shall cause its agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit, the Bank and/or persons appointed by the Bank to inspect the site and/or the accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have such accounts, records and other documents audited by auditors appointed by the Bank. The Consultant's and its Subcontractors' and subconsultants' attention is drawn to Sub-Clause 10.1 (Fraud and Corruption) 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.~~16. Reporting Obligations

~~26.1.~~16.1. 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.~~17. Proprietary Rights of the Client in Reports and Records

~~27.1.~~17.1. 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.~~17.2. 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

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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.~~18. Equipment, Vehicles and Materials

~~28.1.~~18.1. 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.~~18.2. 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.

~~29.~~19. Code of Conduct

~~29.1.~~19.1. The Consultant shall have a Code of Conduct for the Experts.

Consultant shall take all necessary measures to ensure that each Expert is made aware of the Code of Conduct including specific behaviors that are prohibited, and understands the consequences of engaging in such prohibited behaviors.

These measures include providing instructions and documentation that can be understood by the Expert and seeking to obtain that person's signature acknowledging receipt of such instructions and/or documentation, as appropriate.

The Consultant shall also ensure that the Code of Conduct is visibly displayed in locations where the Services are provided. The posted Code of Conduct shall be provided in languages comprehensible to the Experts and the Client's Personnel.

~~30.~~20. Forced Labor

~~30.1.~~20.1. The Consultant, including its Subconsultants, shall not employ or engage forced labor. Forced labor consists of any work or service, not voluntarily performed, that is exacted from an individual under threat of force or penalty, and includes any kind of involuntary or compulsory labor, such as indentured labor, bonded labor or similar labor-contracting arrangements.

No persons shall be employed or engaged who have been subject to trafficking. Trafficking in persons is defined as the recruitment, transportation, transfer, harboring or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation.

~~31.~~21. Child Labor

~~31.1.~~21.1. The Consultant, including its Subconsultants, shall not employ or engage a child under the age of 14 unless the national law specifies a higher age (the minimum age).

The Consultant, including its Subconsultants, shall not employ or engage a child between the minimum age and the age of 18 in a manner that is likely to be hazardous, or to interfere with, the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development.

The Consultant, including its Subconsultants, shall only employ or engage children between the minimum age and the age of 18 after an appropriate risk assessment has been conducted by the Consultant with the Client's consent. The Consultant shall be subject to regular monitoring by the Client that includes monitoring of health, working conditions and hours of work.

Work considered hazardous for children is work that, by its nature or the circumstances in which it is carried out, is likely to jeopardize the health, safety, or morals of children. Such work activities prohibited for children include work:

(a) with exposure to physical, psychological or sexual abuse;

(b) underground, underwater, working at heights or in confined spaces;

(c) with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads;

(d) in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or

(e) under difficult conditions such as work for long hours, during the night or in confinement on the premises of the employer.

~~32.~~22. Non-Discrimination and Equal Opportunity

~~32.1.~~22.1. The Consultant shall not make decisions relating to the employment or treatment of Experts on the basis of personal characteristics unrelated to inherent job requirements. The Consultant shall base the employment of Experts on the principle of equal opportunity and fair treatment, and shall not discriminate with respect to any aspects of the employment relationship, including recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices.

Special measures of protection or assistance to remedy past discrimination or selection for a particular job based on the inherent requirements of the job shall not be deemed discrimination. The Consultant shall provide protection and assistance as necessary to ensure non-discrimination and equal opportunity, including for specific groups such as women, people with disabilities, migrant workers and children (of working age in accordance with Clause GCC 31).

~~33.~~23. Training of Experts

~~33.1.~~23.1. The Consultant shall provide appropriate sensitization to the Experts on social aspects of the Contract, including on prohibition of SEA and SH.

The Consultant shall provide training on SEA and SH, including its prevention, to any of its Experts who has a role to supervise other Experts.

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

~~34.~~24. Description of Key Experts

~~34.1.~~24.1. 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.**

~~35.~~25. Replacement of Key Experts

~~35.1.~~25.1. Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.

~~35.2.~~25.2. 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.

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~~36.~~26. Removal of Experts or Sub-consultants

~~36.1.~~26.1. If the Client finds that any of the Experts or Sub-consultant:

(a) persists in any misconduct or lack of care;

(b) carries out duties incompetently or negligently;

(c) fails to comply with any provision of the Contract;

(d) based on reasonable evidence, is determined to have engaged in Fraud and Corruption during the execution of the Services; or

(e) undertakes behaviour which breaches the Code of Conduct;

the Consultant shall, at the Client's written request, provide a replacement.

~~36.2.~~26.2. 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.

~~36.3.~~26.3. Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.

~~36.4.~~26.4. Subject to the requirements in Sub-Clause 36.3, and notwithstanding any requirement from the Client to request a replacement, the Consultant shall take immediate action as appropriate in response to any violation of (a) through (e) above. Such immediate action shall include removing (or causing to be removed) from carrying out the Services, any Expert who engages in (a) to (e) above.

~~36.5.~~26.5. 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

~~37.~~27. Assistance and Exemptions

~~37.1.~~27.1. Unless otherwise specified in the **SCC**, the Client shall use its 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.

(d) 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.

(e) 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.

(f) 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.

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

~~38.~~28. Access to Project Site

~~38.1.~~28.1. 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.

~~39.~~29. Change in the Applicable Law Related to Taxes and Duties

~~39.1.~~29.1. 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 39.1

~~40.~~30. Services, Facilities and Property of the Client

~~40.1.~~30.1. 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.**

~~41.~~31. Counterpart Personnel

~~41.1.~~31.1. 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**.

~~41.2.~~31.2. 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.

~~42.~~32. Payment Obligation

~~42.1.~~32.1. 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

~~43.~~33. Contract Price

~~43.1.~~33.1. The Contract price is fixed and is set forth in the **SCC.** The Contract price breakdown is provided in **Appendix C**.

~~43.2.~~33.2. Any change to the Contract price specified in Clause GCC 43.1 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**.

~~44.~~34. Taxes and Duties

~~44.1.~~34.1. The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the **SCC**.

~~44.2.~~34.2. 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.

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~~45.~~35. Currency of Payment

~~45.1.~~35.1. Any payment under this Contract shall be made in the currency (ies) of the Contract.

~~46.~~36. Mode of Billing and Payment

~~46.1.~~36.1. The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 43.1.

~~46.2.~~36.2. The payments under this Contract shall be made in lump-sum instalments against deliverables specified in **Appendix A**. The payments will be made according to the payment schedule stated in the **SCC**.

46.2.1 *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.

46.2.2 *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.

46.2.3 *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.

46.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the **SCC**.

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46.2.5 With the exception of the final payment under 46.2.3 above, payments do not constitute acceptance of the whole Services nor relieve the Consultant of any obligations hereunder.

~~47.~~37. Interest on Delayed Payments

~~47.1.~~37.1. If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 46.2.2, 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

~~48.~~38. Good Faith

~~48.1.~~38.1. 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

~~49.~~39. Amicable Settlement

~~49.1.~~39.1. The Parties shall seek to resolve any dispute amicably by mutual consultation.

~~49.2.~~39.2. 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 50.1 shall apply.

~~50.~~40. Dispute Resolution

~~50.1.~~40.1. 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**.

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II. General Conditions
Attachment 1
Fraud and Corruption

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-

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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;[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.

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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.

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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]

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(a)	**The Contract shall be construed in accordance with the law of** India.
4.1	**The language is: English**.
6.1 and 6.2	**The addresses are** *[fill in at negotiations with the selected firm]***:** Client: Strengthening of Public Financial Management (SPFM) Project, 37-A, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand E-mail: step.spfm@gmail.com Consultant: _____ _____ Attention: _____ Facsimile: _____ E-mail (where permitted):_____
8.1	*N/A*
9.1	**The Authorized Representatives are:** **For the Client:** **Navneet Pande,** *Project Director, SPFM Project* **For the Consultant:** *[name, title]*_____
11.1	*N/A*
12.1	**Termination of Contract for Failure to Become Effective:** **The time period shall be 10 days**
13.1	**Commencement of Services:** **The number of days shall be 07 days from the date of singing of the Contract**.

	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 03 Months from the date of Commencement of Services**
20.1	***[include the following if the Contract has been assessed to present potential or actual cyber security risks:*** *The Consultant, including its Sub-consultants/suppliers/ service providers shall take all technical and organizational measures necessary to protect the information technology systems and data used in connection with the Contract. Without limiting the foregoing, the Consultant, including its Sub-consultants/ suppliers/ service providers, shall use all reasonable efforts to establish, maintain, implement and comply with, reasonable information technology, information security, cyber security and data protection controls, policies and procedures, including oversight, access controls, encryption, technological and physical safeguards and business continuity/disaster recovery and security plans that are designed to protect against and prevent breach, destruction, loss, unauthorized distribution, use, access, disablement, misappropriation or modification, or other compromise or misuse of or relating to any information technology system or data used in connection with the Contract].*
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	**No additional provisions.**
24.1	**The insurance coverage against the risks shall be as follows:** **(a) Professional liability insurance will be twice the value of Contract,** _____ *[insert amount and currency which should be not less than the total ceiling amount of the Contract]*; (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 *[insert amount and currency or state "in accordance with the applicable law in India"]*; (c) Third Party liability insurance, with a minimum coverage of *[insert amount and currency or state "in accordance with the applicable law in India"]*; (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 (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.
27.1	*Not Applicable*
27.2	**The Consultant shall not use these any *documents, software, etc.* for purposes unrelated to this Contract without the prior written approval of the Client**.
37.1 **(a) through (f)**	*deleted*

37.1(g)	*deleted*
43.1	**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 be reimbursed by the Client to the Consultant, subject to the Client performing such duties in regard to the deduction of such taxes as may be lawfully imposed.** **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.]*
44.1 and 44.2	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.

46.2 **The payment schedule:**

Milestone	Deliverable	Timeline	Payment
Milestone 1	Submission of 30% of GP-wise reports for both financial years.	T+2 weeks	20% of contract amount
Milestone 2	Submission of 50% of GP-wise reports and Approval of 30% of GP-wise reports for both financial years.	T + 4 weeks	30% of contract amount
Milestone 3	Submission of 100% of GP-wise Reports and Approval of 50% of GP-wise reports for both financial years, completion of prescribed portal uploads	T + 7 weeks	30% of Contract amount..
Milestone 4	Approval of 100% of GP-wise reports and Package-wise consolidated report	T + 8 weeks	20% of contract amount

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46.2.1	*Not Applicable*
46.2.4	**The accounts are:** for foreign currency: *[insert account]*. for local currency (Indian Rupees): *[insert account]*.
47.1	**The interest rate is**: *3.05% (as per State Bank of India)*
50.1	**Disputes shall be settled by arbitration in accordance with the following provisions.** **The procedure for adhoc arbitration will be as follows:** 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: (a) In case of Dispute or difference arising between the Client and a domestic consultant relating to any matter arising out of or connected with this agreement, such disputes or difference shall be settled in accordance with the Arbitration and Conciliation Act, 1996. The arbitral tribunal shall consist of 3 Arbitrators one each to be appointed by the Client and the Consultant. The third Arbitrator shall be chosen by the two Arbitrators so appointed by the Parties and shall act as Presiding Arbitrator. In case of failure of the two Arbitrators appointed by the parties to reach upon a consensus within a period of 30 days from the appointment of the Arbitrator appointed subsequently, the Presiding Arbitrator shall be appointed by the* Indian Council of Arbitration/ President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India). For the purposes of this Sub-Clause, the term "Domestic (Indian) Consultant" means a consultant who is registered in India and is a juridic person created under Indian law as well as a joint venture between such a consultant and a Foreign Consultant. Note: *[Sub-para (b) is applicable in case of contract award to foreign consultants].* (b) In the case of dispute with a foreign consultant the dispute shall be settled in accordance with provisions of UNCITRAL

	Arbitration Rules. The Arbitral Tribunal shall consist of three Arbitrators one each to be appointed by the Client and the Consultant. The third Arbitrator shall be chosen by the two Arbitrators so appointed by the Parties, and shall act a presiding Arbitrator. In case of failure of the two Arbitrators appointed by the parties to reach upon a consensus within a period of 30 days from the appointment of the Arbitrator appointed, the Presiding Arbitrator shall be appointed by the* Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India). For the purposes of this Clause, the term "Foreign Consultant" means a consultant who is not registered in India and is not a juridical person created under Indian Law. (c) If one of the parties fails to appoint its Arbitrator in pursuance of sub-clause (a) and (b) above within 30 days after receipt of the notice of the appointment of its Arbitrator by the other party, then the *Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India), both in cases of Foreign Consultant as well as Indian Consultant, shall appoint the Arbitrator. A certified copy of the order of the* Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India), making such an appointment shall be furnished to each of the parties.
	2. 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. 3. 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. In case of a Contract awarded to foreign consultants, sole arbitrator or the third arbitrator shall not be a national of the Consultant's home country *[**Note**: 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 [Note: 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.
	4. Miscellaneous. In any arbitration proceeding hereunder: (a) proceedings shall, unless otherwise agreed by the Parties, be held at _____, India and the language of the arbitration proceedings and that of all documents and communications between the parties shall be English [In case of foreign consultant, select a country which is neither the Client's country nor the Consultant's country]; (b) The decision of the majority of Arbitrators shall be final and binding upon both parties. The cost and expenses of Arbitration proceedings will be paid as determined by the arbitral tribunal. However, the expenses incurred by each party in connection with the preparation, presentation, etc. of its proceedings as also the fees and expenses paid to the Arbitrator appointed by such party or on its behalf shall be borne by each party itself. (c) Where the value of the contract is Rs.50 million and below, the disputes or differences arising shall be referred to the Sole Arbitrator. The Sole Arbitrator should be appointed by agreement between the parties; failing such agreement, by the appointing authority, namely the * Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India). (d) The Arbitrator should give final award within…… days of starting of the proceedings *[indicate the days (Between 120-180) by which arbitrator should give award].* (e) Performance under the contract shall continue during the arbitration proceedings and payments due to the consultant

	by the Client shall not be withheld, unless they are the subject matter of the arbitration proceedings. * Choose *one alternative. Insert Chairman of the Executive Committee of the Indian Roads Congress (for highway project) or any other appropriate institution (for other types of consultancies).* ***Alternatively*** *[Apart from the adhoc arbitration services obtained through mutually agreed Arbitrator(s) as above, Institutional arbitration services are also available in India. Institutional arbitration (and mediation) dispute resolution mechanisms can be gainfully used, preferably for relatively larger contracts. Following clause may be included, if it is decided to use Institutional Services for arbitration for resolution of disputes, and in such a case other clauses related to Arbitration/ Arbitrator would be deleted. In the sample clause below, substitute the reference to 'Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration' by the specific institution that is sought to be engaged e.g. The International Centre for Alternative Dispute Resolution (ICADR), The Indian Institute of Arbitration and Mediation (IIAM), Indian Chamber's Council of Arbitration, Delhi International Arbitration Centre (DAC), Construction Industry Arbitration Council (CIAC), Council For National and International Commercial Arbitration, London Court of International Arbitration (India Centre) or the like.]* "Any dispute or difference whatsoever arising between the parties out of or relating to the construction, meaning, scope, operation or effect of this contract or the validity or the breach thereof shall be settled by arbitration in accordance with the Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties. The arbitral tribunal shall consist of 3 Arbitrators, arbitration proceedings shall be held at_____, India and the language of the arbitration proceedings and that of all documents and communications between the parties shall be English". [ICA rules provide for arbitration tribunal of 3 arbitrators if the value of claim is over Rs 10 Million unless the parties have agreed otherwise for a sole arbitrator].

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 counterpart 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.*

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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 46.2.3 of this Contract."]

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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])*

Experts		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration rate per Working Month/Day/Year	Social Charges[1]	Overhead[1]	Subtotal	Profit[2]	Away from Home Office Allowance	Agreed Fixed Rate per Working Month/Day/Hour	Agreed Fixed Rate per Working Month/Day/Hour[1]
Home Office									
Work in the Client's Country									

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: _____

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APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE

[See Clause GCC 42.2.1 and SCC 46.2.1]

{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]*[1] 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 *_[month]*_____, *[year]*__,[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.}

[2] Insert the expected expiration date. In the event of an extension of the time for completion of the Contract, the Client would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Client might consider adding the following text to the form, at the end of the penultimate paragraph: "The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months][one year], in response to the Client's written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee."

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APPENDIX E - CODE OF CONDUCT FOR EXPERTS

APPENDIX F - SEXUAL EXPLOITATION AND ABUSE (SEA) AND/OR SEXUAL HARASSMENT (SH) PERFORMANCE DECLARATION FOR SUB-CONSULTANTS

[The following table shall be filled in for the Consultant, each member of a Joint Venture and each Sub-consultant proposed by the Consultant]

Consultant's Name: *[insert full name]*
Date: *[insert day, month, year]*
Joint Venture Member's or Sub-consultant's Name: *[insert full name]*
RFP No. and title: *[insert RFP number and title]*
Page *[insert page number]* of *[insert total number]* pages

SEA and/or SH Declaration
We: ☐ (a) have not been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations ☐ (b) are subject to disqualification by the Bank for non-compliance with SEA/ SH obligations ☐ (c) had been subject to disqualification by the Bank for non-compliance with SEA/ SH obligations. An arbitral award on the disqualification case has been made in our favor.
[*If (c) above is applicable, attach evidence of an arbitral award reversing the findings on the issues underlying the disqualification.]*

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

Name:	[*insert name of successful Consultant*]
Address:	[*insert address of the successful Consultant*]
Contract price:	[*insert contract price of the successful Consultant*]

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.]***

Name of Consultant	Submitted Proposal	[*use for FTP*] Overall technical scores	[*use for STP*] Overall technical scores	Financial Proposal price (if applicable)	Evaluated Financial Proposal price (if applicable)	Combined score and ranking (if applicable)
[*insert name*]	[*yes/no*]	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] **Criterion (iii):** [*insert score*] Sub-criterion a: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] Sub-criterion b: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] Sub-criterion c: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] **Criterion (iv):** [*insert score*] **Criterion (v):** [*insert score*] **Total score: [*insert score*]**	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] Sub-criterion a: [*insert score*] Sub-criterion b: [*insert score*] Sub-criterion c: [*insert score*] **Total score: [*insert score*]**	[*Proposal price*]	[*evaluated price*]	**Combined Score:** [*combined score*] **Ranking:** [*ranking*]
[*insert name*]	[*yes/no*]	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] **Criterion (iii):** [*insert score*] Sub-criterion a: 1: [*insert score*]	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] Sub-criterion a: [*insert score*] Sub-criterion b: [*insert score*]	[*Proposal price*]	[*evaluated price*]	**Combined Score:** [*combined score*] **Ranking:** [*ranking*]

Name of Consultant	Submitted Proposal	[*use for FTP*] Overall technical scores	[*use for STP*] Overall technical scores	Financial Proposal price (if applicable)	Evaluated Financial Proposal price (if applicable)	Combined score and ranking (if applicable)
		2: [*insert score*] 3: [*insert score*] Sub-criterion b: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] Sub-criterion c: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] **Criterion (iv):** [*insert score*] **Criterion (v):** [*insert score*] **Total score: [*insert score*]**	Sub-criterion c: [*insert score*] **Total score: [*insert score*]**			
[*insert name*]	[*yes/no*]	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] **Criterion (iii):** [*insert score*] Sub-criterion a: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] Sub-criterion b: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*] Sub-criterion c: 1: [*insert score*] 2: [*insert score*] 3: [*insert score*]	**Criterion (i):** [*insert score*] **Criterion (ii):** [*insert score*] Sub-criterion a: [*insert score*] Sub-criterion b: [*insert score*] Sub-criterion c: [*insert score*] **Total score: [*insert score*]**	[*Proposal price*]	[*evaluated price*]	**Combined Score:** [*combined score*] **Ranking:** [*ranking*]

Name of Consultant	Submitted Proposal	[*use for FTP*] Overall technical scores	[*use for STP*] Overall technical scores	Financial Proposal price (if applicable)	Evaluated Financial Proposal price (if applicable)	Combined score and ranking (if applicable)
		Criterion (iv): [*insert score*] **Criterion (v):** [*insert score*] **Total score: [*insert score*]**				
[*insert name*]	…					
…	…					

3. Reason/s why your Proposal was unsuccessful [*Delete if the combined score already reveals the reason*]

[INSTRUCTIONS; State the reason/s why <u>this</u> 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 notify you of the extension.

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[1]. 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

Identity of Beneficial Owner	Directly or indirectly holding 25% or more of the shares (Yes / No)	Directly or indirectly holding 25 % or more of the Voting Rights (Yes / No)	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)
[include full name (last, middle, first),			

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.