

Uttarakhand PFM Project Plan for first Eight

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

Table 1: Procurement Thresholds

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

4. **Procurement prior-review thresholds.** The World Bank will prior review the following contracts:
 - (a) Goods and IT system: All contracts more than US\$2 million equivalent
 - (b) Non-consulting services: All contracts more than US\$2 million equivalent
 - (c) Consultants: All contracts >US\$1 million equivalent for firms and >US\$300,000 equivalent for individuals

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

9. National Procurement Procedures :

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

- (a) Only the model bidding documents agreed with the World Bank (and as amended from time to time) shall be used for bidding.
- (b) Invitations to bid shall be advertised in at least one widely circulated national daily newspaper (or on a widely-used website or electronic portal with free national and international access along with an abridged version of the said advertisement published in a widely circulated national daily, among others, giving the website/electronic portal details from which the details of the invitation to bid can be downloaded) at least 30 days before the deadline for the submission of bids.
- (c) No special preferences will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state-owned enterprises, small-scale enterprises, or enterprises from any given state.
- (d) Extension of bid validity shall not be allowed with reference to contracts subject to the World Bank prior review without the prior concurrence of the World Bank (i) for the first request for extension if it is longer than four weeks and (ii) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by the World Bank only in cases of force majeure and circumstances beyond the control of the purchaser/employer).
- (e) Re-bidding shall not be carried out with reference to contracts subject to the World Bank prior review without the prior concurrence of the World Bank.
- (f) The system of rejecting bids outside a predetermined margin or ‘bracket’ of prices shall not be used in the project.
- (g) To improve efficiency and transparency of small value purchases in World Bank financed projects, the Bank has agreed to allow use of GeM as follows:

Use of GeM will be allowed in lieu of RFQ as per following details:

- up to INR 50,000 in catalog mode (viz. any available item could be selected by IA without further competition), provided selected Item/Supplier meeting the requisite quality, specification and delivery period.
- up to INR 3 Million from the Supplier having lowest price amongst at least three Suppliers meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM may be used by the Purchaser.

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- up to INR equivalent of US\$ 100,000 from the Supplier having lowest price and meeting the requisite quality, specification and delivery period after mandatorily obtaining bids from at least three Suppliers, using online bidding or reverse auction tool provided on GeM.

(h) No negotiations are conducted even with the lowest evaluated responsive bidders.

(i) Two or three envelope system will not be used except when using e-procurement system assessed and agreed by the Bank

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

Name of the Project: Uttarakhand PFM Project (P166923)

Allocated / Sanctioned Amount: Project yet to be negotiated

Goods (Supply and Installation and IT Equipment), Non-Consultancy Services

	Ref No	Description	Estimated Cost US\$	Estimated Cost INR	Duration of assignment in months	Bank Oversight (Prior/Post)	Selection Methods	Market Approach Options/Contract type	Expected date of publication of IFB	Expected date of bid opening	Expected date of signing of contract	Remarks
1	UkPFMS/NRFB/UkPFMS/NSP/01	Laptops and Scanner for Internal Audit and Budget Directorate teams for Online Audit Management System	57,150	40,00,000	1 month	Post	RFB	National	10 TH Oct 18	10 th Nov 2018	30 th Nov 18	
2	UkPFMS/RFB/IFMIS/01	Digitization of old pension data and service record HRMIS	428,580	3,00,00,000	24 month	Post	RFB	National	10 th October 18	10 th November 2018	1 st December 2019	
3	UkPFMS/RFB/IFMIS/02	Connectivity	428,580	3,00,00,000	12Month	Post	RFB	National	10 th October 18	10 th November 2018	1 st December 2019	

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	Ref No	Description	Estimated Cost US\$	Estimated Cost INR	Duration of assignment in months	Bank Oversight (Prior/Post)	Selection Methods	Market Approach Options/Contract type	Expected date of publication of IFB	Expected date of bid opening	Expected date of signing of contract	Remarks
4	UkPFMS/RFB/IFMIS /03	E-Sign and Biometric	428,580	3,00,00,000	12Month	Post	RFB	National	10 th October 18	10 th November 2018	1 st December 2019	
5	UkPFMS/RFB/IFMIS /04	Computers , scanners for TREASURY	785,720	5,50,00,000	3 Month	Post	RFB	National	15 th Jan 19	15 th Feb 19	27 th Feb 19	treasuries 550 computers
6	UkPFMS/RFB/ULB /01	Procurement of Hardware for Accounting of ULB	357,150	2,50,00,000	3 month	Post	RFB	National	1 st Dec 19	1 st Jan 2020	31 st Jan 2020	
7	UkPFMS/RFB/CFTRA/01	IT and other equipment for CTFRA	71,450	50,00,000	1 month	Post	RFB	National	1 st Sept 19	1 st Oct 19	1 st Nov 19	
8	UkPFMS/RFB/IFMIS /05	Hardware of IFMIS roll out including Computers , scanners for DDO	2,857,150	200,000,000	3 month	Prior	RFB	National	1 st April 2020	1 st May 2020	1 st June 2020	2000 Computers for DDOs to be discussed with department first , as per departmental

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	Ref No	Description	Estimated Cost US\$	Estimated Cost INR	Duration of assignment in months	Bank Oversight (Prior/Post)	Selection Methods	Market Approach Options/Contract type	Expected date of publication of IFB	Expected date of bid opening	Expected date of signing of contract	Remarks
												requirement
9	UKPFMS/RFB/IFMIS /06	Hardware of IFMIS rollout Server	142,860	10,000,000	1 month	Post	RFB	National	1 st May 19	14 th June 19	15 th July 19	

Consultancy Services

	Ref No.	Description	Estimated Cost USD	Estimated Cost INR	Duration of assignment in months	Bank Oversight (Prior/Post)	Selection Methods	Market Approach Options/Contract type	Expected date of publication of REOI	Expected date of proposal opening	Expected date of signing of contract	Remarks
1	UKPFMS/CS/REOI/DEBT CELL/01	Consultancy for Debt Management Manual	128,580	90,00,000	9	Post	QCBS	National	5 th Sept 18	4 th Nov 18	30 th Nov18	
2	UKPFMS/CS/REOI/DEBT CELL/02	Consultancy for RBI Financial Advisor for Debt Management Cell	71,450	50,00,000	24	Post	SS	National	10 th OCT 18		30 th Oct 18	

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Ref No.	Description	Estimated Cost USD	Estimated Cost INR	Duration of assignment in months	Bank Oversight (Prior/Post)	Selection Methods	Market Approach Options /Contract type	Expected date of publication of REOI	Expected date of proposal opening	Expected date of signing of contract	Remarks
3	UKPFMS/CS/REOI/AUDIT /01	478,600	3,35,00,000	18	Post	QCBS	National	5 th Sept 18	4 th Nov 18	30 th Nov18	
4	UKPFMS/CS/REOI/ULB /01	185,720	130,00,000	09	Post	QCBS	National	5 th Sept 18	4 th Nov 18	30 th Nov18	
5	UKPFMS/CS/REOI/CTFRA /01	85,720	60,00,000	09	Post	QCBS	National	9 TH OCT 18	28 TH Nov 18	30 th Dec 18	
6	UKPFMS/CS/REOI/ULB /02	1,428,600	10,00,00,000	36	Prior	QCBS	International	9 TH OCT 18	28 TH Nov 18	30 th Dec 18	
7	UKPFMS/CS/REOI/EXCISE /01	571,528	4,00,00,000	15	Post	QCBS	National	1 st April 2019	25 th May 2019	30 th June 19	

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	Ref No.	Description	Estimate d Cost USD	Estimated Cost INR	Durati on of assign ment in mont hs	Bank Oversig ht (Prior/P ost)	Selection Methods	Market Approa ch Options /Contra ct type	Expected date of publication of REOI	Expecte d date of proposal opening	Expected date of signing of contract	Rem arks
8	UKPFMS/CS/REOI/ GMVN /01	Consultancy for developing Strategic Business Plan for PFMS Strengthening of system GMVN	214,285	1,50,00,000	7	Post	QCBS	National	15 th OCT 18	7 th Jan 19	31 st Jan 19	
9	UKPFMS/CS/REOI/ GMVN /02	Consultancy for developing Financial Management for PFMS Strengthening of system GMVN	400,000	2,80,00,000	10	Post	QCBS	National	15 th OCT 18	7 th Jan 19	31 st Jan 19	
10	UKPFMS/CS/REOI/ Debt cell/03	Procurement of CS-DRMS, implementation and training	71,500	50,00,000	12	Post	SS	National	1 st April 19	15 th April 19	30 th May 19	
11	UKPFMS/CS/REOI/ IFMIS/03	Functional review study and documentation of IFMIS	285,800	20,000,000	12	Post	QCBS	National	1 st April 2020	15 th May 2020	15 th June 2020	
12	UKPFMS /PMU/IVA/01	Consultancy of IVA	214,285	1,50,00,000	60	Prior	QCBS	National	26 th Nov 2018	15 th Jan 2019	7 th Feb 2019	

PROCUREMENT PLAN India : Uttarakhand Public Financial Management Strengthening Project

General Information	
Country:	India
Bank's Approval Date of the Original Procurement Plan:	2018-12-06
Revised Plan Date(s): (comma delineated, leave blank if not)	2019-07-20
Project ID:	P166923
GPN Date:	2018-10-12
Project Name:	Uttarakhand Public Financial Management Strengthening Project
Loan / Credit No:	IBRD / 89280
Executing Agency(ies)	Center for Training and Finance Administration

WORKS																											
Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Procurement Process	Prequalification (Y/N)	Actual Amount (US\$)	Process Status	Draft Pre-qualification Documents		Prequalification Evaluation Report		Draft Bidding Document / Justification		Specific Procurement Notice / Invitation		Bidding Documents as Issued		Proposal Submission / Opening / Minutes		Bid Evaluation Report and Recommendation for Award		Signed Contract		Contract Completion	
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual

GOODS																												
Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Procurement Process	Prequalification (Y/N)	Actual Amount (US\$)	Process Status	Draft Pre-qualification Documents		Prequalification Evaluation Report		Draft Bidding Document / Justification		Specific Procurement Notice / Invitation		Bidding Documents as Issued		Proposal Submission / Opening / Minutes		Bid Evaluation Report and Recommendation for Award		Signed Contract		Contract Completion		
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned
IN-CTRF7240-GO-RFQ / PROCUREMENT OF 40 NOS. LAPTOPS AND 25 NOS. FLAT BEDED SCANNERS WITH THREE YEARS COMPREHENSIVE WARRANTY FOR DIRECTORATE AUDIT, GOVT. OF UTTARAKHAND UNDER NATIONAL SHOPPING PROCEDURES	IBRD / 89280		Post	Request for Bids	Open - National	Single Stage - One Envelope		0.00	Under Implementation					2018-12-12		2018-12-17					2019-01-28		2019-02-27			2019-04-03		2019-09-30
IN-CTRF99740-GO-RFQ / Purchase of 02 (two) Tablet for PMU Consultants /officers	IBRD / 89280		Post	Request for Quotations	Limited	Single Stage - One Envelope		0.00	Under Implementation							2019-02-18										2019-04-04		2019-05-04
IN-CTRF99745-GO-RFQ / Purchase of 03 laptops for PMU Officers / Consultants	IBRD / 89280		Post	Request for Quotations	Limited	Single Stage - One Envelope		3,457.86	Signed							2019-02-16										2019-03-26		2019-04-10
IN-CTRF112743-GO-RFB / National Competitive Bidding for procurement of various hardware for Integrated Financial Management Information System (IFMIS) with five years warranty for directorate of treasury, pension and entitlements, Govt. of Uttarakhand under E-Procurement	IBRD / 89280		Post	Request for Bids	Open - National	Single Stage - Two Envelope		0.00	Under Implementation					2019-06-01		2019-06-06					2019-07-18		2019-10-15			2019-11-19		2020-05-17
IN-CTRF122258-GO-RFQ / Purchase of office equipments i.e. one external hard disk, 2 all in one computers, 1 laptop and one scanner for PMU, URPMS	IBRD / 89280		Post	Request for Quotations	Limited	Single Stage - One Envelope		0.00	Under Implementation							2019-07-17										2019-09-11		2022-12-11

IN-CTRFA-88893-CS-QCBS / Prepare GISbased Property database and electronic property tax register based on multipurpose house hold survey and provide technical handholding support for 04 ULBs (Dehradun, Haridwar, Haldwani and Rudrapur)	IBRD / 89280		Prior	Quality And Cost- Based Selection	Open - International		0.00	Under Implementation	2018-12-12		2019-01-02		2019-02-15				2019-03-15		2019-04-29		2019-06-12		2019-07-23		2022-01-20
IN-CTRFA-91817-CS-QCBS / consultancy of Independent Verification Agency	IBRD / 89280		Post	Quality And Cost- Based Selection	Open - National		0.00	Under Implementation	2018-12-31		2019-01-21		2019-03-06				2019-04-03		2019-05-03		2019-06-07		2019-07-12		2024-07-10

INDIVIDUAL CONSULTANTS