

Selection of Consulting Services for:
**ROAD SECTOR POLICY & INSTITUTIONAL
DEVELOPMENT
STUDIES & ACTION PLANNING**

REQUEST FOR PROPOSALS

RFP No: 3/2013-14

Office of the Superintending Engineer
Project Implementation Unit,
Ground Floor, Nirman Bhavan, Sector 10/A,
Gandhinagar – 382 010, Gujarat

Country: India

Project: Gujarat State Highway Project-II (GSHP-II)

Issued on Date: 10/12/2013

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**GOVERNMENT OF GUJARAT
GUJARAT STATE HIGHWAY PROJECT-II (GSHP-II)
(Roads & Buildings Department)**

RFP NO: 3/2013-14

LOAN NO: _____

**OFFICE OF THE SUPERINTENDING ENGINEER
PROJECT IMPLEMENTATION UNIT**
Ground Floor, Nirman Bhavan, Sector-10/A
Gandhinagar –382010, Gujarat.

Date: 10/12/2013

PART - 1

Section 1 - Letter of Invitation:

To:

Dear Mr./Ms.:

1. The Government of India on behalf of Government of Gujarat (hereinafter called "Borrower") has applied for financing from the International Bank for Reconstruction and Development (IBRD) (hereinafter called "Bank") in the form of a ("loan") (hereinafter called "loan") toward the cost of Gujarat State Highway Project - II. The PIU GSHP-II intends to apply a portion of the proceeds of this loan to eligible payments under the contract for which this Request for Proposals is issued. Payments by the Bank will be made only at the request of Government of Gujarat and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan agreement. The loan agreement prohibits a withdrawal from the loan account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations. No party other than the Borrower shall derive any rights from the loan agreement or have any claims to the proceeds of the loan.
2. The Superintending Engineer, On behalf Governor Of Gujarat, Project Implementation Unit, Gujarat State Highway Project -II, now invites proposals to provide "Consultancy Services for Road Sector Policy & Institutional Development Studies & Action Planning". More details on the services are provided in the Terms of Reference (section 7).
3. This Request for Proposal (RFP) has been addressed to the following shortlisted Consultants:

| Sr. No | Name of Firm |
|--------|--|
| 1 | Grant Thornton India LLP Gorgon, India (JV) International Consultant and Technocrats Pvt. Ltd. |
| 2 | Egis International (S.A.) (JV) With Egis India Consulting engineers Pvt. Ltd And Ernst &Yong LLP, India. |
| 3 | SWEROAD Swedish National Road Consulting AB in association with Feedback Infra. Pvt. Ltd. India, as sub consultant |
| 4 | LEA Associates South Asia Pvt. Ltd., India. |
| 5 | Roughton International Ltd Great Britain in association with Shrikhande Consultants Pvt.Ltd India, as sub consultant |
| 6 | iMC worldwide (U. K.) in association With DHV India, as sub consultant |

4. It is not permissible to transfer this invitation to any other firm.
5. A firm will be selected under Quality and Cost Based Selection Method (QCBS) and procedures described in this RFP, the proposal shall be a FTP in accordance with the policies of the International Bank for Reconstruction and Development (IBRD) or International Development Association (IDA) detailed in the Guidelines - Selection and Employment of Consultants by World Bank Borrowers which can be found at the following website: www.worldbank.org/procure
6. The RFP includes the following documents:
 - Section 1 - Letter of Invitation
 - 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 - Bank's Policy – Corrupt and Fraudulent Practices
 - Section 7 - Terms of Reference
 - Section 8 - Standard Forms of Contract (Lump Sum Selection Method)
7. Please inform us by Date 16/12/2013 in writing at Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector-10/A, Gandhinagar-382010, Gujarat. By facsimile – 07923252986, or by E-mail: se-piu-rnb@gujarat.gov.in
 - a) That you have received the Letter of Invitation; and
 - b) Whether you intend to submit a proposal alone or intend to enhance your experience by requesting permission to associate with other firm(s) (if permissible under section 2, Instructions to Consultants(ITC), Data Sheet – 14.1.1)
8. Details on the proposal's submission date, time and address are provided in Clauses 17.7 and 17.9 of the ITC.

Yours Sincerely,

Superintending Engineer
Project Implementation Unit,
Ground Floor, Nirman Bhavan, Sector-10/A,
Gandhinagar-382010, Gujarat.
Tel.: + 91 7923252986
Fax: + 91 7923251915
E-mail: se-piu-rnb@gujarat.gov.in

Section 2 - Instructions to Consultants and Data Sheet:

- A. General Provisions
 - 1. Definitions
 - 2. Introduction
 - 3. Conflict of Interest
 - a) Conflicting Activities
 - b) Conflicting Assignments
 - c) Conflicting Relationships
 - 4. Unfair Competitive Advantage
 - 5. Corrupt and Fraudulent Practices
 - 6. Eligibility
 - a) Sanctions
 - b) Prohibitions
 - c) Restrictions for Government- owned Enterprises
 - d) Restrictions for public employees
- B. Preparation of Proposals
 - 7. General Considerations
 - 8. Cost of Preparation of Proposal
 - 9. Language
 - 10. Documents Comprising the Proposal
 - 11. Only One Proposal
 - 12. Proposal Validity
 - a) Extension of Validity Period
 - b) Substitution of Key Experts at Validity Extension
 - c) Sub- Contracting
 - 13. Clarification and Amendment of RFP
 - 14. Preparation of Proposals – Specific Considerations
 - 15. Technical Proposal Format and Content
 - 16. Financial Proposal
 - a) Price Adjustment
 - b) Taxes
 - c) Currency of Proposal
 - d) Currency of Payment
- C. Submission, Opening and Evaluation
 - 17. Submission, Sealing, and Marking of Proposals
 - 18. Confidentiality
 - 19. Opening of Technical Proposals
 - 20. Proposals Evaluation
 - 21. Evaluation of Technical Proposals
 - 22. Financial Proposals for QBS
 - 23. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods)
 - 24. Correction of Errors
 - a) Time-Based Contracts
 - b) Lump-Sum Contracts
 - 25. Taxes
 - 26. Conversion to Single Currency
 - 27. Combined Quality and Cost Evaluation
 - a) Quality- and Cost-Based Selection (QCBS)
 - b) Fixed-Budget Selection (FBS)
 - c) Least-Cost Selection
- D. Negotiations and Award
 - 28. Negotiations
 - a) Availability of Key Experts
 - b) Technical Negotiations
 - c) Financial Negotiations
 - d) Conclusion of Negotiations
 - 29. Conclusion of Negotiations
 - 30. Award of Contract

A. General Provisions

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| 1. Definitions | <p>(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.</p> <p>(b) “Applicable Guidelines” means the policies of the Bank governing the selection and Contract award process as set forth in this RFP.</p> <p>(c) “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.</p> <p>(d) “Bank” means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).</p> <p>(e) “Borrower” means the Government, Government agency or other entity that signs the [<i>loan/financing/grant</i>¹] agreement with the Bank.</p> <p>(f) “Client” means the implementing agency that signs the Contract for the Services with the selected Consultant.</p> <p>(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.</p> <p>(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).</p> <p>(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.</p> <p>(j) “Day” means a calendar day.</p> <p>(k) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).</p> <p>(l) “Government” means the government of the Client’s country.</p> |
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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*]

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| | <p>(m) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.</p> <p>(n) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant’s proposal.</p> <p>(o) “ITC” (this Section 2 of the RFP) means the Instructions to Consultants that provides the short listed in the Data Sheet Consultants with all information needed to prepare their Proposals.</p> <p>(p) “LOI” (this Section 1 of the RFP) means the Letter of Invitation being sent by the Client to the short listed Consultants.</p> <p>(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.</p> <p>(r) “Proposal” means the Technical Proposal and the Financial Proposal of the Consultant.</p> <p>(s) “RFP” means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SRFP.</p> <p>(t) “SRFP” means the Standard Request for Proposals, which must be used by the Client as the basis for the preparation of the RFP.</p> <p>(u) “Services” means the work to be performed by the Consultant pursuant to the Contract.</p> <p>(v) “Sub-consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while remaining responsible to the Client during the performance of the Contract.</p> <p>(w) “TORs” (this Section 7 of the RFP) means the Terms of Reference that explain 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.</p> |
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| <p>2. Introduction</p> | <p>2.1. The Client named in the Data Sheet intends to select a Consultant from those listed in the Letter of Invitation, in accordance with the method of selection specified in the Data Sheet.</p> <p>2.2. The short listed 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.</p> <p>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.</p> <p>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.</p> |
| <p>3. Conflict of Interest</p> | <p>3.1. The Consultant is required to provide professional, objective,</p> <p>3.2. 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.</p> <p>3.3. 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.</p> <p>3.3.1. Without limitation on the generality of the foregoing, and unless stated otherwise in the Data Sheet, the Consultant shall not be hired under the circumstances set forth below:</p> |
| <p>a. Conflicting activities</p> | <p>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.</p> |

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| 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 short listed Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants. |
| 5. Corrupt and Fraudulent Practices | 4.1. The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section 6. 4.2. In further pursuance of this policy, Consultant shall permit and shall cause its agents, Experts, Sub-consultants, sub-contractors, services providers, or suppliers to permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an 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 Guidelines. 6.3. As an exception to the foregoing Clauses 6.1 and 6.2 above: |

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| <p>a. Sanctions</p> | <p>6.3.1. A firm or an individual sanctioned by the Bank in accordance with the above Clause 5.1 or in accordance with “Anti-Corruption Guidelines” shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or otherwise, during such period of time as the Bank shall determine. The list of debarred firms and individuals is available at the electronic address specified in the Data Sheet.</p> |
| <p>b. Prohibitions</p> | <p>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:</p> <p>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</p> <p>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.</p> |
| <p>c. Restrictions for Government-owned Enterprises</p> | <p>6.3.3. Government-owned enterprises or institutions in the Borrower’s country shall be eligible only if they can establish that they (i) are legally and financially autonomous, (ii) operate under commercial law, and (iii) that they are not dependent agencies of the Client To establish eligibility, the government-owned enterprise or institution should provide all relevant documents (including its charter) sufficient to demonstrate that it is a legal entity separate from the government; it does not currently receive any substantial subsidies or budget support; it is not obligated to pass on its surplus to the government; it can acquire rights and liabilities, borrow funds, and can be liable for repayment of debts and be declared bankrupt; and it is not competing for a contract to be awarded by the government department or agency which, under the applicable laws or regulations, is its reporting or supervisory authority or has the ability to exercise</p> |
| <p>d. Restrictions for public employees</p> | <p>6.3.4. Government officials and civil servants of the Borrower’s country are not eligible to be included as Experts in the Consultant’s Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of the Borrower’s country, and they</p> <p>i. are on leave of absence without pay, or have resigned or retired;</p> <p>ii. are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring (in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government</p> |

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| | <p>employees in the Borrower’s country, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant’s Proposal.; and</p> <p>iii. Their hiring would not create a conflict of interest.</p> |
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B. Preparation of Proposals

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| 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 | <p>10.1. The Proposal shall comprise the documents and forms listed in the Data Sheet.</p> <p>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).</p> <p>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).</p> |
| 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 . |

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| <p>12. Proposal Validity</p> | <p>12.1. The Data Sheet indicates the period during which the Consultant's Proposal must remain valid after the Proposal submission deadline.</p> <p>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.</p> <p>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 Clause 5 of this ITC.</p> |
| <p>a. Extension of Validity Period</p> | <p>12.4. The Client will make its best effort to complete the negotiations within the proposal's validity period. However, should the need arise, the Client may request, in writing, all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals' validity.</p> <p>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.</p> <p>12.6. The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be</p> |
| <p>b. Substitution of Key Experts at Validity Extension</p> | <p>12.7. If any of the Key Experts become unavailable for the extended validity period, the Consultant shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a replacement 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.</p> <p>12.8. If the Consultant fails to provide a replacement Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Client, such Proposal will be rejected with the prior Bank's no objection.</p> |
| <p>c. Sub- Contracting</p> | <p>12.9. The Consultant shall not subcontract the whole of the Services.</p> |
| <p>13. Clarification and Amendment of RFP</p> | <p>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 short listed Consultants.</p> |

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| | <p>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:</p> <p>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 short listed Consultants and will be binding on them. The short listed Consultants shall acknowledge receipt of all amendments in writing.</p> <p>13.1.2. If the amendment is substantial, the Client may extend the proposal submission deadline to give the short listed Consultants reasonable time to take an amendment into account in their Proposals.</p> <p>13.1.3. 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.</p> |
| <p>14. Preparation of Proposals – Specific Considerations</p> | <p>14.1. While preparing the Proposal, the Consultant must give particular attention to the following:</p> <p>14.1.1. If a short listed 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-short listed Consultant(s), or (b) short listed Consultants if permitted in the Data Sheet. In all such cases a short listed Consultant must obtain the written approval of the Client prior to the submission of the Proposal. When associating with non-short listed firms in the form of a joint venture or a sub-consultancy, the short listed Consultant shall be a lead member. If short listed Consultants associate with each other, any of them can be a lead member.</p> <p>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.</p> <p>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.</p> <p>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</p> |

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| | Financial Proposal shall not exceed this budget. |
| 15. Technical Proposal Format and Content | <p>15.1. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.</p> <p>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.</p> <p>15.1.2. 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.</p> |
| 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 | 16.1. 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

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| 17. Submission, Sealing, and Marking of Proposals | <p>17.1. The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with Clause 10 (Documents Comprising Proposal). 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.</p> <p>17.2. An authorized representative of the Consultant shall sign the original submission letters in the required format for</p> |
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| | <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>17.5. The original and all the copies of the Technical Proposal shall be placed inside of 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]."</p> <p>17.6. Similarly, the original Financial Proposal (if required for the applicable selection method) shall be placed inside of a sealed envelope clearly marked "FINANCIAL PROPOSAL" followed by the name of the assignment, reference number, name and address of the Consultant, and with a warning "DO NOT OPEN WITH THE TECHNICAL PROPOSAL."</p> <p>17.7. The sealed envelopes containing the Technical and Financial Proposals shall be placed into one outer envelope and sealed. This outer envelope shall bear the submission address, RFP reference number, the name of the assignment, 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]".</p> <p>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.</p> <p>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</p> |
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| | <p>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.</p> |
| <p>18. Confidentiality</p> | <p>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 publication of the Contract award information.</p> <p>18.2. Any attempt by short listed 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.</p> <p>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 should do so only in writing.</p> |
| <p>19. Opening of Technical Proposals</p> | <p>19.1. The Client's evaluation committee shall conduct the opening of the Technical Proposals in the presence of the short listed 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 Clause 23 of the ITC.</p> <p>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.</p> |
| <p>20. Proposals Evaluation</p> | <p>20.1. Subject to provision of Clause 15.1 of the ITC, the evaluators of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded and the Bank issues its "no objection", if applicable.</p> |

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| | <p>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 Clause 12.7 of this ITC. While evaluating the Proposals, the Client will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> |
| <p>21. Evaluation of Technical Proposals</p> | <p>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.</p> |
| <p>22. Financial Proposals for QBS</p> | <p>22.1. Following the ranking of the Technical Proposals, when the selection is based on quality only (QBS), the top-ranked Consultant is invited to negotiate the Contract.</p> <p>22.2. If Financial Proposals were invited together with the Technical Proposals, only the Financial Proposal of the technically top-ranked Consultant is opened by the Client’s evaluation committee. All other Financial Proposals are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed.</p> |
| <p>23. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods)</p> | <p>23.1. After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score (and shall provide information relating to the Consultant’s overall technical score, as well as scores obtained for each criterion and sub-criterion) that their Financial Proposals will be returned unopened after completing the selection process and Contract signing. The Client shall simultaneously notify in writing those Consultants that have achieved the minimum overall technical score and inform them of the date, time and location for the opening of the Financial Proposals. The opening date should allow the Consultants sufficient time to make arrangements for attending the opening. 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.</p> <p>23.2. The Financial Proposals shall be opened by the Client’s evaluation committee in the presence of the representatives of those Consultants whose proposals have passed the minimum technical score. 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</p> |

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| | <p>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.</p> <p>23.3. The Financial Proposals shall be opened by the Client's evaluation committee in the presence of the representatives of those Consultants whose proposals have passed the minimum technical score. 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.</p> |
| 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 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 | 24.2. 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 Clause ITC 25 below, specified in the Financial Proposal (Form FIN-1) shall be considered as the offered price. |
| 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. |

| Combined Quality and Cost Evaluation | |
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| 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 achieving the highest combined technical and financial score 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 Clause 14.1.4 of the Data Sheet shall be rejected. 27.3. The Client will select the Consultant that submitted 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 lowest evaluated total price among those consultants that achieved the minimum technical score, and invite such Consultant to negotiate the Contract. |

D. Negotiations and Award

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| 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 Clause 12 of the ITC. Failure to confirm the Key Experts' availability may result in the rejection of the Consultant's Proposal and the Client proceeding to negotiate the Contract with the next-ranked Consultant. 28.4. Notwithstanding the above, the substitution of Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall offer a substitute Key Expert within the period of time specified in the letter of invitation to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate. |
| b. Technical 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. |

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| | <p>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.</p> |
| <p>c. Financial Negotiations</p> | <p>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.</p> <p>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.</p> <p>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.</p> <p>The format for (i) providing information on remuneration rates in the case of Quality Based Selection; and (ii) clarifying remuneration rates’ structure under Clause 28.8 above, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.</p> |
| <p>29. Conclusion of Negotiations</p> | <p>29.1. The negotiations are concluded with a review of the finalized draft Contract, which then shall be initialled by the Client and the Consultant’s authorized representative.</p> <p>29.2. If the negotiations fail, the Client shall inform the Consultant in writing of all pending issues and disagreements and provide a final opportunity to the Consultant to respond. If disagreement persists, the Client shall terminate the negotiations informing the Consultant of the reasons for doing so. After having obtained the Bank’s no objection, the Client will invite the next-ranked Consultant to negotiate a Contract. Once the Client commences negotiations with the next-ranked Consultant, the Client shall not reopen the earlier negotiations.</p> |
| <p>30. Award of Contract</p> | <p>30.1. After completing the negotiations the Client shall obtain the Bank’s no objection to the negotiated draft Contract, if applicable; sign the Contract; publish the award information as per the instructions in the Data Sheet; and promptly notify the other short listed Consultants.</p> <p>30.2. The Consultant is expected to commence the assignment on the date and at the location specified in the Data Sheet.</p> |

E. DATA SHEET

| A. General | |
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| ITC Clause Reference | |
| 1(c) | India |
| 1(e) | Borrower means “The Government of Gujarat through Government of India” |
| 1(f) | Client means “R&BD” |
| 2.1 | <p>The name of the Client is: Governor of Gujarat, Represented by the Principal Secretary R&B Department, Gandhinagar.</p> <p>Method of selection: Quality & Cost Based Selection Method, “ Quality:80 % and Cost:20%”.</p> <p>As per Applicable Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011 available on www.worldbank.org/procure</p> |
| 2.2 | <p>Financial Proposal to be submitted together with Technical Proposal: Yes Name of the assignment is:</p> <p>“Consultancy Services for Road Sector Policy & Institutional Development, Studies, Planning & Implementation Assistance (Package-1)” Second Gujarat State Highway Project (GSHP-II)”</p> |
| 2.3 | <p>A pre-proposal conference will be held: Yes Date: 23/12/2013 Time: 15:30 Hours(IST) Venue: Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat. Tel.: + 91 79 23252986 Fax: + 91 79 23251915 e-mail: se-piu-rnb@gujarat.gov.in</p> <p>The client’s representative is: Superintending Engineer, PIU, Gujarat Address: Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat. Tel.: + 91 79 23252986 Fax: + 91 79 23251915 e-mail: se-piu-rnb@gujarat.gov.in</p> |
| 2.4 | The client will endeavour to provide Road policy/PPP policy, Road Statistics, Road Inventory, Bridge Inventory, Strategic Option Study (SOS), Classification of Roads, BIG 2020, Budget Accounting System, Organisation Setup of R & BD including ESC and GERI, Delegation of Power to the Engineers etc. relevant to assignment. |
| 4.1 | Nil |
| 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 | |
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| 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: <u>For FULL TECHNICAL PROPOSAL (FTP):</u> 1st Inner Envelope with the Technical Proposal: <ul style="list-style-type: none"> (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 2d Inner Envelope with the Financial Proposal (if applicable): <ul style="list-style-type: none"> (1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) Statement of Undertaking |
| 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 must remain valid for 120 calendar days after the proposal submission deadline (i.e., until: 18/05/2014). |
| 13.1 | Clarifications may be requested no later than 15 days prior to the submission deadline. The address for requesting clarification is: Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat Tel.: + 91 79 23252986 Fax: + 91 79 23251915 e-mail: se-piu-rnb@gujarat.gov.in |
| 14.1.1 | Shortlisted Consultants may associate with: (a) non-shortlisted consultant(s) : No Or (b) other shortlisted Consultants : No |
| 14.1.2 | Estimated input of Key Experts' time-input: 155 person-months. |
| 14.1.3 | The Consultant's Proposal <i>shall</i> include the Key Experts' time-input of 155 person-months. <i>However this man months are indicative only. Consultants may decide their own (refer Annexure-I)</i> For the evaluation and comparison of Proposals only: if a Proposal includes less than the required minimum time-input, the missing time-input (expressed in person- month) is calculated as follows: |

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| | The missing time-input is multiplied by the highest remuneration rate for a Key Expert in the Consultant's Proposal and added to the total remuneration amount. Proposals that quoted higher than the required minimum of time-input will not be adjusted. / |
| 14.1.4 & 27.2 | Not Applicable |
| 15.2 | The format of the Technical Proposal to be submitted is: FTP Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements. |
| 16.1 | <ol style="list-style-type: none"> 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; 7) other allowances where applicable and provisional or fixed sums (if any) |
| 16.2 | A price adjustment provision applies to remuneration rates: No |
| 16.3 | <p>Amounts payable by the Client to the Consultant under the contract to be subject to local taxation: Yes</p> <p>If affirmative, the Client will:</p> <ul style="list-style-type: none"> • reimburse the Consultant for indirect local taxes (including service tax) and duties as per SCC 1.10 - Yes. • reimburse the Consultant income tax paid in India on the remuneration for services provided by the non-resident staff of the consultant - No <p>Consultants are requested to consult tax consultants for guidance and indicate the estimated taxes and duties (as stated in ITC 16.3 (b) and SCC 43.1&43.2 separately in the financial proposal.</p> |
| 16.4 | <p>The Financial Proposal shall be stated in the following currencies:</p> <p>Consultant may express the price for their Services in any fully convertible currency, singly or in combination of up to three foreign currencies. US \$, Pound, Euro \$. Financial Proposal should state local costs in the Client's country currency (local currency): Yes_</p> |
| C. Submission, Opening and Evaluation | |
| 17.1 | The Consultant shall not have the option of submitting their proposals electronically |
| 17.4 | <p>The Consultant must submit:</p> <ol style="list-style-type: none"> (a) Technical Proposal: One (1) original and One (1) copy (b) Financial Proposal: One (1) original. |
| 17.7 & 17.9 | <p>The Proposals must be submitted no later than: Date: 18/1/2014 Time: 12:00 Hours (IST)</p> <p>The Proposals submission address is:</p> <p>Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat Tel.: + 91 79 23252986 Fax: + 91 79 23251915 e-mail: se-piu-rnb@gujarat.gov.in</p> |
| 19.1 | An online option of the opening of the Technical Proposals is offered: No. |

| | <p>The opening shall take place at: Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat</p> <p>Date: 18/1/2014 Time: 12:30 Hours (IST)</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|--|---|---|---------------|---|---|-------------------------------|---|---|---------------------------------------|--|-------------|---------------|-------|---|------|--|-----|--|-----|---|-----|--|-----|---|-----|--------------------------------|-----|--|-----|--|-----|---|-----|--|-----|--|-----|--|-----|---|-----|--|-----|---|--|-------------|--------------|---|----|------------------------|---|----|---------------|---|---|
| 19.2 | In addition, the following information will be read aloud at the opening of the Technical Proposals N/A however opening minutes use to be drawn. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 21.1 | <p>Criteria, sub-criteria, and point system for the evaluation of the Technical Proposals: Points</p> <p>i. Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs): 20</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">(a) Technical approach and methodology</td> <td style="width: 5%; text-align: center;">:</td> <td style="width: 15%; text-align: right;">8</td> </tr> <tr> <td>(b) Work Plan</td> <td style="text-align: center;">:</td> <td style="text-align: right;">7</td> </tr> <tr> <td>(c) Organization and Staffing</td> <td style="text-align: center;">:</td> <td style="text-align: right;">5</td> </tr> <tr> <td colspan="2" style="text-align: right;">Total points for criterion (i)</td> <td style="text-align: right;">: 20</td> </tr> </table> <p>ii. Key Experts' qualifications and competence for the Assignment:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Key Personnel</th> <th style="text-align: center;">Marks</th> </tr> </thead> <tbody> <tr> <td>a) Roads Management Specialist & Team Leader (TL)</td> <td style="text-align: right;">: 10</td> </tr> <tr> <td>b) Business Process Reform & Management Specialist & Deputy TL</td> <td style="text-align: right;">: 8</td> </tr> <tr> <td>c) Domain Specialist (Public Sector, State & National)</td> <td style="text-align: right;">: 6</td> </tr> <tr> <td>d) Senior Highways Engineer (Planning & Management)</td> <td style="text-align: right;">: 6</td> </tr> <tr> <td>e) Transport Planning (Road Infrastructure) Specialist</td> <td style="text-align: right;">: 5</td> </tr> <tr> <td>f) Transport Economics (Road Infrastructure) Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td>g) GIS Applications Specialist</td> <td style="text-align: right;">: 3</td> </tr> <tr> <td>h) Quality Assessment & Materials Testing Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td>i) PPP / PSP (Development & Management) Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td>j) Financial Planning & Management Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td>k) Performance Management (incl. M&E) Specialist</td> <td style="text-align: right;">: 5</td> </tr> <tr> <td>l) Senior Training & HRD (Planning) Specialist</td> <td style="text-align: right;">: 5</td> </tr> <tr> <td>m) Change-Management (Training & Support) Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td>n) Communications (Media / Web / Intranet) Specialist</td> <td style="text-align: right;">: 3</td> </tr> <tr> <td>o) Legislative / Statutory Drafting Specialist</td> <td style="text-align: right;">: 4</td> </tr> <tr> <td colspan="2" style="text-align: right;">Total Points for criteria – (ii)</td> <td style="text-align: right;">: 75</td> </tr> </tbody> </table> <p>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:</p> <p>1) General qualifications (general education, training, and experience):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">i. Education</td> <td style="width: 5%; text-align: center;">:</td> <td style="width: 15%; text-align: right;">10</td> </tr> <tr> <td>ii. Overall Experience</td> <td style="text-align: center;">:</td> <td style="text-align: right;">15</td> </tr> <tr> <td>iii. Training</td> <td style="text-align: center;">:</td> <td style="text-align: right;">5</td> </tr> </table> | (a) Technical approach and methodology | : | 8 | (b) Work Plan | : | 7 | (c) Organization and Staffing | : | 5 | Total points for criterion (i) | | : 20 | Key Personnel | Marks | a) Roads Management Specialist & Team Leader (TL) | : 10 | b) Business Process Reform & Management Specialist & Deputy TL | : 8 | c) Domain Specialist (Public Sector, State & National) | : 6 | d) Senior Highways Engineer (Planning & Management) | : 6 | e) Transport Planning (Road Infrastructure) Specialist | : 5 | f) Transport Economics (Road Infrastructure) Specialist | : 4 | g) GIS Applications Specialist | : 3 | h) Quality Assessment & Materials Testing Specialist | : 4 | i) PPP / PSP (Development & Management) Specialist | : 4 | j) Financial Planning & Management Specialist | : 4 | k) Performance Management (incl. M&E) Specialist | : 5 | l) Senior Training & HRD (Planning) Specialist | : 5 | m) Change-Management (Training & Support) Specialist | : 4 | n) Communications (Media / Web / Intranet) Specialist | : 3 | o) Legislative / Statutory Drafting Specialist | : 4 | Total Points for criteria – (ii) | | : 75 | i. Education | : | 10 | ii. Overall Experience | : | 15 | iii. Training | : | 5 |
| (a) Technical approach and methodology | : | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| (b) Work Plan | : | 7 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| (c) Organization and Staffing | : | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total points for criterion (i) | | : 20 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Key Personnel | Marks | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a) Roads Management Specialist & Team Leader (TL) | : 10 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) Business Process Reform & Management Specialist & Deputy TL | : 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) Domain Specialist (Public Sector, State & National) | : 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) Senior Highways Engineer (Planning & Management) | : 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| e) Transport Planning (Road Infrastructure) Specialist | : 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| f) Transport Economics (Road Infrastructure) Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| g) GIS Applications Specialist | : 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| h) Quality Assessment & Materials Testing Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| i) PPP / PSP (Development & Management) Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| j) Financial Planning & Management Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| k) Performance Management (incl. M&E) Specialist | : 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| l) Senior Training & HRD (Planning) Specialist | : 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| m) Change-Management (Training & Support) Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| n) Communications (Media / Web / Intranet) Specialist | : 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| o) Legislative / Statutory Drafting Specialist | : 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Points for criteria – (ii) | | : 75 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| i. Education | : | 10 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ii. Overall Experience | : | 15 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| iii. Training | : | 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | | | |
|--|--|---|---|----|--------------------------------------|---|----|--|---|----|--|---|----|--|---|---|--------------------------------------|---|---|----------------------------------|---|---|
| | <p>2) Adequacy for the Assignment:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">i. Type & Quality of projects completed</td> <td style="width: 10%; text-align: center;">:</td> <td style="width: 10%; text-align: right;">15</td> </tr> <tr> <td>ii. Size and no. of similar projects</td> <td style="text-align: center;">:</td> <td style="text-align: right;">15</td> </tr> <tr> <td>iii. Years of experience on similar projects</td> <td style="text-align: center;">:</td> <td style="text-align: right;">20</td> </tr> </table> <p>3) Years with the firm:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"></td> <td style="width: 10%; text-align: center;">:</td> <td style="width: 10%; text-align: right;">10</td> </tr> </table> <p>4) Experience in region and language:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">i. Experience in similar projects in similar regions</td> <td style="width: 10%; text-align: center;">:</td> <td style="width: 10%; text-align: right;">5</td> </tr> <tr> <td>ii. Proficiency in Hindi or Gujarati</td> <td style="text-align: center;">:</td> <td style="text-align: right;">5</td> </tr> </table> <p style="text-align: right;">Total weight: 100 %</p> <p>iii. Transfer of knowledge (training) program (relevance of approach and methodology):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Total points for criterion (iii)</td> <td style="width: 10%; text-align: center;">:</td> <td style="width: 10%; text-align: right;">5</td> </tr> </table> <p style="text-align: right;">Total points for the five criteria: 100</p> <p style="text-align: center;">The minimum technical score (St) required to pass is: 75</p> | i. Type & Quality of projects completed | : | 15 | ii. Size and no. of similar projects | : | 15 | iii. Years of experience on similar projects | : | 20 | | : | 10 | i. Experience in similar projects in similar regions | : | 5 | ii. Proficiency in Hindi or Gujarati | : | 5 | Total points for criterion (iii) | : | 5 |
| i. Type & Quality of projects completed | : | 15 | | | | | | | | | | | | | | | | | | | | |
| ii. Size and no. of similar projects | : | 15 | | | | | | | | | | | | | | | | | | | | |
| iii. Years of experience on similar projects | : | 20 | | | | | | | | | | | | | | | | | | | | |
| | : | 10 | | | | | | | | | | | | | | | | | | | | |
| i. Experience in similar projects in similar regions | : | 5 | | | | | | | | | | | | | | | | | | | | |
| ii. Proficiency in Hindi or Gujarati | : | 5 | | | | | | | | | | | | | | | | | | | | |
| Total points for criterion (iii) | : | 5 | | | | | | | | | | | | | | | | | | | | |
| 23.1 | <p>An online option of the opening of the Financial Proposals is offered: No</p> <p>The opening shall take place at: Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010, Gujarat</p> | | | | | | | | | | | | | | | | | | | | | |
| 25.1 | <p>For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, or similar taxes levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in the Client's country. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant.</p> | | | | | | | | | | | | | | | | | | | | | |
| 26.1 | <p>The single currency for the conversion of all prices expressed in various currencies into a single one is: Indian Rupee(INR)</p> <p>The official source is RBI Reference Rate(buying rate)</p> <p>The date of the exchange rate is: 28 days prior to the dead line for submission of the proposal</p> | | | | | | | | | | | | | | | | | | | | | |
| 27.1 | <p>The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.</p> <p>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.</p> <p>The weights given to the Technical (T) and Financial (P) Proposals are: T = 0.8 (80%), and P = 0.2 (20%)</p> <p>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%.</p> | | | | | | | | | | | | | | | | | | | | | |
| 27.2 to 27.4 | Not Applicable | | | | | | | | | | | | | | | | | | | | | |

| D. Negotiations and Award | |
|----------------------------------|---|
| 28.1 | Expected date and address for contract negotiations: Date 27/02/2014 Address: Roads & Building Department, 14/2, Sachivalaya, Gandhinagar, Gujarat. |
| 30.1 | The publication of the contract award information following the completion of the contract negotiations and contract signing will be done by Indian R.P.A.D., within Seven days after the contract signing. |
| 30.2 | Expected date for the commencement of the Services: Date: 27/03/2014 at: Gandhinagar |

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 (√) | FORM | DESCRIPTION | Page Limit |
|----------------------|-------------------|--|------------|
| FTP | | | |
| √ | 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) | |

All pages of the original Technical and Financial Proposal shall be initialed by the same authorized representative of the Consultant who signs the Proposal.

Refer to Reference Paragraph 3.4 of the Data Sheet for format of Technical Proposal to be submitted, and paragraph 3.4 of Section 2 of the RFP for Standard Forms required and number of pages recommended.

| | | |
|--|---|----|
| Form TECH-1: Technical Proposal Submission Form | : | 2 |
| <hr/> | | |
| Form TECH-2: Consultant's Organization and Experience | | |
| <hr/> | | |
| A - Consultant's Organization | : | 3 |
| <hr/> | | |
| B - Consultant's Experience | : | 4 |
| <hr/> | | |
| Form TECH-3: Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be Provided by the Client | | |
| <hr/> | | |
| A - On the Terms of Reference | : | 5 |
| <hr/> | | |
| B - On the Counterpart Staff and Facilities | : | 6 |
| <hr/> | | |
| Form TECH-4: Description of the Approach, Methodology and Work Plan for Performing the Assignment | : | 7 |
| <hr/> | | |
| Form TECH-5: Team Composition and Task Assignments | : | 8 |
| <hr/> | | |
| Form TECH-6: Curriculum Vitae (CV) for Proposed Professional Staff | : | 9 |
| <hr/> | | |
| Form TECH-7: Staffing Schedule | : | 10 |
| <hr/> | | |
| Form TECH-8: Work Schedule | : | 11 |
| <hr/> | | |

**FORM TECH-1:
TECHNICAL PROPOSAL SUBMISSION FORM**

[Location, Date]

To:

The Superintending Engineer
Project Implementation Unit,
Ground Floor, Nirman Bhavan,
Sector 10/A, Gandhinagar. 382010
Gujarat.

Dear Sirs:

We, the undersigned, offer to provide “Consultancy Services for Road Sector Policy & Institutional Development Studies & Action Planning” in accordance with your Request for Proposal dated 10/12/2013 and our Proposal. We are aware that the selection process is Quality & Cost Based Selection Method as per the guidelines of World Bank Jan. 2011 for selection and employment of consultants under IBRD loans and IDA credits and grants by World Bank borrowers “We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal sealed under a separate envelope.

{If the Consultant is a joint venture, insert the following: We are submitting our Proposal a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}.

We have attached a copy *{insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”}* signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

{OR

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

We hereby declare that:

- (a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by the Bank.
- (b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, Clause 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 corrupt and fraudulent practices as per ITC 5.
- (e) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in the country of the Client.
- (f) Except as stated in the Data Sheet, Clause 12.1, 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 Clause 12 and ITC Clause 28.4 may lead to the termination of Contract negotiations.
- (g) 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 Clause 30.2 of the Data Sheet.

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

We remain,

Yours sincerely,

Authorized Signature *[In full and initials]* : _____
Name and Title of Signatory : _____
Name of Consultant : _____
(company's name or JV's name)
In the capacity of : _____
Address : _____
Contact information (phone and e-mail) : _____

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

**FORM TECH-2:
CONSULTANT’S ORGANIZATION AND EXPERIENCE
(For Full Technical Proposal Only)**

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

B - Consultant's Experience

- 1) List only previous similar assignments successfully completed in the last 10 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 partners. 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:
COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE AND ON
COUNTERPART STAFF AND FACILITIES TO BE PROVIDED BY THE CLIENT**

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

A - On the Terms of Reference

{improvements to the Terms of Reference, if any}

B - On Counterpart Staff and Facilities

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

**FORM TECH-4
DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN
RESPONDING TO THE TERMS OF REFERENCE**

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

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

- a. Technical Approach and Methodology*
 - b. Work Plan*
 - c. Organization and Staffing}*
-
- a) Technical Approach and Methodology:** *{Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here.}*
 - b) Work Plan:** *{Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}*
 - c) Organization and Staffing:** *{Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff.}*

FORM TECH-5:
WORK SCHEDULE AND PLANNING FOR DELIVERABLES

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

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

FORM TECH-6:

TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

| No | Name | Expert's input (in person/month) per each Deliverable (listed in TECH-5) | | | | | | | | | | Total time-input (in Months) | | | | |
|------------------------|------------------|--|---------|-----------|-------|----|-------|----|--|-------|--|------------------------------|--|------|-------|-------|
| | | Position | | D-1 | | D2 | | D3 | | | | D-... | | Home | Field | Total |
| Key Experts | | | | | | | | | | | | | | | | |
| K-1 | {e.g., Mr. Abbb} | [Team Leader] | [Home] | [2 month] | [1.0] | | [1.0] | | | | | | | | | |
| | | | [Field] | [0.5m] | [2.5] | | [0] | | | | | | | | | |
| K-2 | | | | | | | | | | | | | | | | |
| K-3 | | | | | | | | | | | | | | | | |
| n | | | | | | | | | | | | | | | | |
| Sub Total | | | | | | | | | | | | | | | | |
| Non Key Experts | | | | | | | | | | | | | | | | |
| N-1 | | | [Home] | | | | | | | | | | | | | |
| | | | [Field] | | | | | | | | | | | | | |
| N-2 | | | | | | | | | | | | | | | | |
| N-3 | | | | | | | | | | | | | | | | |
| n | | | | | | | | | | | | | | | | |
| Sub 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. | <i>{e.g., K-1, TEAM LEADER}</i> |
| Name of Expert: | <i>{Insert full name}</i> |
| Date of Birth: | <i>{day/month/year}</i> |
| 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 pots order. Please provide dates, name of employing organization, titles of position activities performed and location of the assignment, and contact information o employing organization(s) who can be contacted for references. Past employment to the assignment does not need to be included.}*

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

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) | |
| | |
| | |

Experts 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 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

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 expense

**FORM FIN-1:
FINANCIAL PROPOSAL SUBMISSION FORM**

[Location, Date]

To:

The Superintending Engineer
Project Implementation Unit,
Ground Floor, Nirman Bhavan,
Sector 10/A, Gandhinagar. 382010
Gujarat.

Dear Sirs:

We, the undersigned, offer to provide “Consultancy Services for Road Sector Policy & Institutional Development Studies & Action Planning” in Gujarat in accordance with your Request for Proposal dated 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 in accordance with Clause 25.1 in the Data Sheet*. The estimated amount of local indirect taxes is {Insert currency} {Insert amount in words and figures} which shall be confirmed or adjusted, if needed, during negotiations. {Please note that all amounts shall be the same as in Form FIN-2}.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Clause 12.1 of the Data Sheet.

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,

| | | |
|--|---|-------|
| Authorized Signature <i>[In full and initials]</i> | : | _____ |
| Name and Title of Signatory | : | _____ |
| In the capacity of | : | _____ |
| 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 | | | |
|--|---|---|---|--|
| | <i>{Consultant must state the proposed Costs in accordance with Clause 16.4 of the Data Sheet; delete columns which are not used}</i> | | | |
| | <i>{Insert Foreign Currency # 1}</i> | <i>{Insert Foreign Currency # 2, if used}</i> | <i>{Insert Foreign Currency # 3, if used}</i> | <i>{Insert Local Currency, if used and/or}</i> |
| Cost of the Financial Proposal including: | | | | |
| 1) Remuneration | | | | |
| 2) Reimbursable | | | | |
| Total Cost of the Financial Proposal: <i>{Should match the amount in Form FIN-1}</i> | | | | |
| i. Service Tax | | | | |
| ii. Total Cost of Service Tax | | | | |
| Total Cost of Financial Proposal Including Service Tax: | | | | |

Footnote: Payments will be made in the currency(ies) expressed above (Reference to ITC 16.4).

FORM FIN-3
BREAKDOWN OF REMUNERATION

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

| A. Remuneration: _____ | | | | | | | | |
|-------------------------------|------|-----------------------------------|--|---|-----------------------------------|-----------------------------------|--------------------------------------|---|
| No. | Name | Position (as in TECH- 6) | Person- Month Remuneration Rate | Time Input in Person/Month (from TECH-6) | {Currency # 1- as in FIN-2} | {Currency # 2- as in FIN-2} | {Currency # 3- as in FIN-2} | {Local Currency- as in FIN- 2} |
| Key Experts | | | | | | | | |
| K1 | | | [Home] | | | | | |
| | | | [Field] | | | | | |
| K2 | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| Non-Key Experts | | | | | | | | |
| N1 | | | [Home] | | | | | |
| | | | [Field] | | | | | |
| N2 | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| Total Cost | | | | | | | | |

Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

1. Review of Remuneration Rates
 - 1.1. The remuneration rates are made up of salary or a base fee, social costs, overheads, profit, and any premium or allowance that may be paid for assignments away from headquarters or a home office. An attached Sample Form can be used to provide a breakdown of rates.
 - 1.2. If the RFP requests submission of a technical proposal only, the Sample Form is used by the selected Consultant to prepare for the negotiations of the Contract. If the RFP requests submission of the financial proposal, the Sample Form shall be completed and attached to the Financial Form-3. Agreed (at the negotiations) breakdown sheets shall form part of the negotiated Contract and included in its Appendix D or C.
 - 1.3. At the negotiations the firm shall be prepared to disclose its audited financial statements for the last three years, to substantiate its rates, and accept that its proposed rates and other financial matters are subject to scrutiny. The Client is charged with the custody of government funds and is expected to exercise prudence in the expenditure of these funds.
 - 1.4. Rate details are discussed below:
 - i. Salary is the gross regular cash salary or fee paid to the individual in the firm's home office. It shall not contain any premium for work away from headquarters or bonus (except where these are included by law or government regulations).
 - ii. Bonuses are normally paid out of profits. To avoid double counting, any bonuses shall not normally be included in the "Salary" and should be shown separately. Where the Consultant's accounting system is such that the percentages of social costs and overheads are based on total revenue, including bonuses, those percentages shall be adjusted downward accordingly. Where national policy requires that 13 months' pay be given for 12 months' work, the profit element need not be adjusted downward. Any discussions on bonuses shall be supported by audited documentation, which shall be treated as confidential.
 - iii. Social Charges are the costs of non-monetary benefits and may include, inter alia, social security (including pension, medical, and life insurance costs) and the cost of a paid sick and/or annual leave. In this regard, a paid leave during public holidays or an annual leave taken during an assignment if no Expert's replacement has been provided is not considered social charges.
 - iv. Cost of Leave. The principles of calculating the cost of total days leave per annum as a percentage of basic salary is normally calculated as follows:

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

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

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 |
| 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.

| No | Type of Reimbursable Expansés | Unit | Unit Cost | Quantity | {Currency # 1- as in FIN-2} | {Currency # 2- as in FIN-2} | {Currency# 3- as in FIN-2} | {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 } | | | | | | | |
| | { e.g., Office rent } | | | | | | | |
| | | | | | | | | |
| | { Training of the Client's personnel – if required in TOR } | | | | | | | |
| Total Cost | | | | | | | | |

Legend: “Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Client can set up a ceiling.

Section 5 - Eligible Countries

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

Under the ITC 6.3.2 (a): None [list country/countries following approval by the Bank to apply the restriction or state “none”]

Under the ITC 6.3.2 (b): None [list country/countries or indicate “none”]

Section 6 - Bank Policy – Corrupt and Fraudulent Practices

(this Section 6 shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011:

“Fraud and Corruption”

1.2.3. It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [*footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.*]. In pursuance of this policy, 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 party²;
 - 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 obligation³;
 - iii. “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁴;
 - iv. “coercive practices” 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 party⁵;

² For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

³ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁴ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁵ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

- v. “obstructive practice” is
- (aa) 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
 - (bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights;
- b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services 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) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation 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 they knew of the practices;
- d) will sanction a firm or an individual at any time, in accordance with prevailing Bank’s sanctions procedures⁶, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominate⁷ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank- financed contract.

⁶ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank’s sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

⁷ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant’s proposal for the particular services; or (ii) appointed by the Borrower.

Section 7 - Terms of Reference

GOVERNMENT OF GUJARAT ROADS & BUILDINGS DEPARTMENT [R&BD]

CONSULTANCY SERVICES REQUIREMENT

ROAD SECTOR POLICY & INSTITUTIONAL DEVELOPMENT STUDIES & ACTION PLANNING

TERMS OF REFERENCE

Background

- 1) The state Government of Gujarat (GOG) through the Government of India (GOI) is seeking funding assistance from the World Bank (WB) for implementation of the new Second Gujarat State Roads Project (GSHP-II), to be managed primarily by the GOG Roads & Buildings Department (R&BD). It is intended that a portion of this WB funding will be used to finance consultancy, advisory and technical services required for implementation of various important activities during the Project which are aimed at further developing and strengthening the road sector institutional and policy framework and capacities to meet the growing challenges in the sector through the state's economic development and increasing demand for road transport infrastructure quality, capacity and connectivity.
- 2) The groundwork for policy reform and institutional strengthening in the state's roads sector was put in place over 1999-2007 under the first GSHP, also implemented with World Bank assistance. The new GSHP-II will enable the GOG to build on that via its Sector Policy & Institutional Development Component, comprising a range of 'second-stage' roads sector institutional and capacity-development initiatives combined in a new GOG-endorsed Institutional Development Action Plan (IDAP) covering the period 2013 - 2019.
- 3) The 2013 – 2019 IDAP will be an integral part of the overall Project strategy and shares linkages with - and will be implemented in parallel with - a new sector-level multi-year Governance & Accountability Action Plan (GAAP). The IDAP in 'summary matrix' format will be used between the GOG, the R&BD and the World Bank to guide and monitor the IDAP implementation process and its results relative to a range of clear monitorable targets and milestones in three major fields, viz.
 - **Road Sector Policy & Planning** (roads policy/strategy/planning, safety, governance)
 - **R&BD – centered Capacity Development** (rules, standards, business processes, operations equipment & technology, Information Technology & MIS, staff HRD)

- **Road Sector Knowledge & Capacity Development** (enhancing sector entities, new centers of excellence, collaborative sector knowledge/skills advancement programs)

The IDAP summary matrix is included in these Terms of Reference (TOR) as Appendix 2.

- 4) The GSHP-II funding will support external assistance in the form of consultancy services, technical expertise, acquisition of advanced / specialist equipment including IT hardware and software, and other miscellaneous services, materials and/or consumables needed to undertake the IDAP implementation program. In this particular instance, it has been decided that the R&BD shall engage consulting services for a combination of policy-based studies, preparatory and planning initiatives, and facilitation of any required GOG-level decision-making. The overall assignment, its specific elements and the expected deliverables involved in these particular consultancy services are the subject of these TOR and are presented in detail below.

Objective & Scope of the Services

- 5) The main objective of the *Road Sector Policy & Institutional Development* consultancy services is to assist the GOG and the R&BD to update and strengthen selected key elements of sector policy and strategy, planning, governance, institutional responsibilities and frameworks for technical and ‘services’ capabilities, with the overall aim of achieving sustainable enhancements in GOG effectiveness in planning, financing, provision and management of major road network infrastructure, in accordance with the R&BD-centered IDAP and aligned with the strategic aims of the GOG’s **Vision 2020** for state development.
- 6) The assignment is comprised of a set of seven (7) distinct Tasks combined as one overall ‘package’. While the respective Tasks share the over-arching sectoral aim of enhancing institutional capacity and performance, it is expected that the various Tasks will generally be tackled as separate ‘stand-alone’ activities by the selected consultants (hereafter referred to simply as ‘the Consultant’). Each individual Task is expected to require an initial Study (of varying length, complexity and/or methodology) to identify and ‘scope’ the initiatives / changes required and to provide an effective basis for the requisite GOG and/or R&BD decision-making, plus assistance (where deemed necessary) with preparations for possible implementation action. The overall services ‘package’ shall therefore also include broadly-based ‘decision-making facilitation and support’ services and in selected cases, assistance with preparation of statutory and/or legislative documentation and notices.

Specific Tasks Comprising this Assignment

- 7) The major specific Tasks to be engaged under these services are as follows:

| | |
|----------------|--|
| Task 1. | <p>State Road Sector Policy:</p> <p>Review the medium-to-longer-term road sector outlook on (<i>inter alia</i>) the evolving priorities and modalities in road infrastructure planning, development, financing, construction, management and ‘ownership’, and based on that, identify the updating and refinements that objectively should be made to the existing GOG State Road Sector Policy established in 1996, to enable it to be effective as the principal GOG vision and strategy statement for the development of the Gujarat road sector over the next 5-10 years. This shall at least involve:</p> <ol style="list-style-type: none"> i. Review of the <u>main current state and national policies on roads</u> development, financing and management, and of related legislation, regulation and/or other statutory mechanisms; ii. Review of <u>current and projected road sector demands and challenges</u> (including from roads financing and ‘ownership’ innovations) and declared GOG aims / targets in the sector; iii. Identification of <u>any significant limits and/or critical ‘gaps’</u> in the authority / powers / policies and resources now available to GOG for the evolving road sector circumstances; iv. Determination of <u>GOG options and opportunities in strengthening the road sector</u> policy and institutional framework for future requirements over the next 5-10 years; v. Drafting of a <u>proposed revised GOG State Road Sector Policy 2014-2023</u> and facilitating an R&BD-convened GOG senior officials’ Workshop to consider the draft Policy; and vi. After GOG confirmation of the new Policy, assisting the R&BD with the <u>sector-wide communication and planning for implementation of the new Policy.</u> <p>Deliverables:</p> <ol style="list-style-type: none"> a) Draft (revised) State Road Sector Policy 2014-2023 submitted after focal Workshop for GOG officials; and b) after GOG feedback / decisions, consultant’s Task Completion Report submitting the finalized State Road Sector Policy <u>2014-2023</u>. |
| Task 2 | <p>Performance Management in R&BD:</p> <p>Review the existing processes and tools available in the R&BD in headquarters and field units for activity and progress monitoring and reporting, in relation to both works and non-works forms of substantive activity that reflect the performance of the Department and the results of such performance; and building on those processes and/or tools where relevant, develop and ‘roll-out’ R&BD-wide a linked combination of a comprehensive <i>Monitoring & Evaluation</i> (M&E) process framework and a <i>Performance Management</i> capability for the Department. This shall at least involve:</p> <ol style="list-style-type: none"> i. Assessing the <u>status, capacity and ‘gaps’</u> in existing monitoring processes and |

| | |
|----------------------|--|
| | <p><u>software</u> tools for activity and progress monitoring in the R&BD;</p> <ul style="list-style-type: none"> ii. Facilitating R&BD <u>determination of the range of functions, activities and outputs</u> that shall fall within the ambit of the <u>planned M&E and Performance Management processes</u>, and the ‘master suite’ of <u>measures, milestones and/or indicators to be applied</u> throughout the R&BD in the respective processes; iii. Undertaking <u>consultations with central GOG areas</u> (facilitated by the R&BD) that would become users of higher-level outputs from these tools, to establish their requirements; iv. Assisting the R&BD in development or acquisition of an appropriate <u>Performance Management tool</u>; v. Ensuring the satisfactory <u>integration of the M&E tools / processes and the Performance Management software with ongoing R&BD management functions</u> and with other relevant IT-based management tools and MIS in operation in the R&BD; vi. Preparing appropriate <u>user-access facilities and reporting (etc.) formats for the M&E and Performance Management processes</u> customized to R&BD (and where appropriate, GOG-level) needs and preferences; vii. Facilitating the R&BD-wide <u>roll-out and operation of the M&E and Performance Management processes</u> with comprehensive support documentation and staff training; viii. Helping the R&BD to <u>establish a sustainable ‘core capacity’</u> within the HQ organization to lead and manage the operation of these processes and tools; and ix. Assisting the R&BD in making <u>necessary changes to departmental documentation on positions / functions / accountabilities</u>, to incorporate the new M&E and Performance Management responsibilities in all relevant R&BD units and positions. |
| | <p>Deliverables:</p> <ul style="list-style-type: none"> a) Initial Technical Report presenting the ‘status/capacity/’gaps’ assessment, the planned scoping and nature of M&E and Performance Management tools for R&BD implementation and the planned suite of measures/milestones/indicators; and b) a Task Completion Report ‘package’ comprehensively detailing the implemented M&E and Performance Management framework(s), processes, the staff capacity-building activities completed, specific ‘sustainability’ requirements, user manuals and technical documentation. |
| <p>Task 3</p> | <p>Task 3. PPP (Roads Sector) Policy - ‘Nodal’ Capacity:</p> <p>Review of the available skills, knowledge and resources in the R&BD and other key agencies of the GOG on the development and implementation of PPP-based provision of major road infrastructure, and based thereon, prepare and (subject to affirmative R&BD</p> |

| | |
|---------------|--|
| | <p>decisions) facilitate the initial stages of implementation of an Action Plan for strengthening the ‘PPP Policy’ role and capacity in the R&BD towards becoming an effective ‘nodal point’ within GOG for policy and technical advice / guidance / mentoring on roads sector application of PPP mechanisms. This shall at least involve:</p> <ol style="list-style-type: none"> i. Making an <u>assessment</u> (from consultations within the R&BD and in relevant GOG areas) of the extent, depth and dispersal <u>of roads-related PPP policy knowledge and implementation experience</u> presently available in the state; ii. Reviewing the organizational framework of both the R&BD and the GSRDC to determine <u>where and how a lead (‘nodal’) capacity on roads sector PPP policy and implementation advice / support</u> may be rapidly established and made sustainable; iii. Preparing a <u>realistic Action Plan</u> for the R&BD to achieve the proposed lead (‘nodal’) PPP Policy capacity and support resources in one unit as soon as possible, and (if the Action Plan is endorsed) providing ‘start-up’ <u>training and capacity-building services</u> to unit staff; and iv. Developing an <u>effective communications strategy</u> (including at least one Workshop) to help the R&BD to inform industry, other GOG areas and other sector entities about the availability of this PPP advising / reviewing / collaborative capacity. <p>Deliverables:</p> <ol style="list-style-type: none"> a) Initial Technical Report detailing the PPP ‘capacity assessment’ and proposed Action Plan, and b) comprehensive Task Completion Report on Action Plan finalization and implementation aspects, with details of the Workshop(s), the organizational actions, the staff training and capacity-building measures, external communications and sustainability measures. |
| Task 4 | <p>Road Network Master Planning:</p> <p>Develop the GOG / R&BD capacity for medium-to-long-term roads Master Planning, building on the R&BD ‘major road network’ information and asset management capability already in place via the Gujarat Roads Management System (GRMS), on recent roads investment prioritization studies and on other state-level planning for infrastructure and socio-economic development, including for other transport modes. This shall involve:</p> <ol style="list-style-type: none"> i. <u>Gathering and integrating all available data</u> from R&BD, other GOG agencies and relevant national entities on <ol style="list-style-type: none"> a) the current road network, current works and plans for its development; b) the current capacity and performance status of other transport modes and any significant planning underway to enhance the transport capacity in |

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| | <p>other modes;</p> <p>c) the existing and evolving industrial developments in the state;</p> <p>d) the status and directions of residential developments and urban growth in the state's major centers;</p> <p>e) any assessments made by / on behalf of GOG of the likely transport demands and impacts in these areas, separately or cumulatively;</p> <p>f) the medium-term GOG roads funding outlook and the impact of PPP-style roads development in that context; and</p> <p>g) the likely priorities in the anticipated 'revised State Roads Sector Policy';</p> <p>ii. Determining the <u>range of data required</u> for effective roads master planning, assessing the adequacy and quality of the available data in that context to <u>identify any 'gaps'</u> and (after consultation with the R&BD) <u>undertaking additional data gathering and compilation</u> to resolve such data 'gaps' in an efficient manner;</p> <p>iii. Establishing a <u>specific IT database and software applications</u> for R&BD use in managing this data, <u>and implementing modelling tools and planning methodology</u> that will be sustainable in the R&BD context in future;</p> <p>iv. Reviewing and assisting R&BD to <u>update the state's 'road classification & responsibility' framework</u> for GOG endorsement, and then facilitating its implementation. This will require: Comprehensive study of the range and categories of roads now in place in the state to support diverse forms of road transport operations and services, of the current status of 'ownership' and asset management responsibilities involved and how those responsibilities are presently distributed among various elements of the state government, of the Center government and/or in the private sector; Identification of current issues and challenges in the discharge of such responsibilities by the presently-acknowledged 'ownership', particularly in the case of the state's major roads, and how selective changes in assignment of such responsibilities may improve overall network management and service outcomes; Consultations on possible changes with concerned agencies; Draft formulation of a revised '<u>road classification & responsibility' framework</u> for GOG consideration / endorsement; and Assistance to R&BD in the implementation of the GOG-endorsed framework between R&BD and other affected entities.</p> <p>v. Preparing <u>various forms of medium-term 'road network development' planning scenarios</u> based on the data for review in an R&BD-convened <u>Workshop of internal and external stakeholders</u> to determine (inter alia) the preferred planning parameters and output features;</p> <p>vi. Developing a draft '<u>inaugural Roads Master Plan</u>' building on the Workshop results / feedback, for circulation among key GOG and industry stakeholders;</p> <p>vii. Preparing (in consultation with the GIDB and the R&BD) a <u>Discussion Paper on</u></p> |
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| | <p><u>integrated multi-modal transport planning concepts and processes</u>, to facilitate consideration of enhancements in GOG strategy and capacity in transport infrastructure development; and</p> <p>viii. Facilitating ‘R&BD-driven’ <u>capacity-building measures to establish a sustainable capability and focal point</u> for continuation of roads Master Planning activity in the R&BD.</p> |
| | <p>Deliverables</p> <p>a. Initial Technical Report on data compilation, tools deployed and proposed methodology and reporting on the Workshop results;</p> <p>b. Submission (post-Workshop) of draft Inaugural Road Network Master Plan; and</p> <p>c. comprehensive Task Completion Report detailing the main completed activities, the status of ‘roads master planning’ capacity in R&BD, and further ‘capacity’ and ‘sustainability’ measures required.</p> |
| <p>Task 5</p> | <p>Development Strategy for R&BD Wings:</p> <p>Undertake a Study of the current main functions, organizational structure, resources and circumstances of the respective Wings / major units of the R&BD to identify the scope for fruitful short-to-medium term actions on reforms, rationalization and/or strengthening in each Wing / major unit’s capacity and management; and subject to the R&BD senior management’s decisions on the Study findings and recommendations, assist the Department in launching short-to-medium-term Action Plans for each R&BD Wing / major unit, including via Workshops and consultations, emphasizing localized ‘ownership’ and responsibility in Action Plan implementation and progress/results monitoring. This shall inter alia involve:</p> <p>i. Providing an outline-level ‘<u>mapping</u>’ of the established range of functions, accountabilities, powers / authority, organization, staffing and other resources of each Wing / major unit, and identifying any significant current and/or expected impacts on their functions and capacity, either ‘across the board’ (e.g. via GOG-level issues) or in each Wing / major unit separately;</p> <p>ii. Providing an outline-level summary of any significant <u>capacity constraints and/or performance weaknesses</u> arising from <u>organizational and/or resource factors</u> and/or from <u>the current structural, functional or accountability arrangements and in the statutory empowerment</u> of the individual Wings / major units, relative to overall understood R&BD responsibilities;</p> <p>iii. Identifying the <u>activities, outputs and services currently expected</u> of each Wing / major unit and any emerging <u>changes, challenges or constraints</u> affecting the efficient performance of these, both qualitatively and quantitatively, including the adequacy of the available IT resources or other technology;</p> <p>iv. Making a high-level <u>assessment of the main current ‘business processes’</u> in place in each Wing / major unit <u>against relevant ‘best practice’ benchmarks</u> in</p> |

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| | <p>comparable public entities in India or overseas, preferably in infrastructure-related sectors, and preparing a summary of <u>objective priorities for action</u> , including (if needed) more holistic ‘business model’ changes;</p> <p>v. Developing with management and staff of each Wing / major unit (through localized consultations and Workshops), <u>a tailored (proposed) Development Plan comprising the most viable and realistic short-to-medium options</u> for substantive improvements in each Wing / unit’s focus, structuring, empowerment, resources and capacity, taking also into account any proposed ‘business process’ changes, and then submitting the proposed Plans to R&BD senior management for review / endorsement;</p> <p>vi. Facilitating and guiding the <u>initial stages of implementation of the respective Development Plans</u> (once endorsed) by each individual Wing / major unit, including on action to secure any required external inputs for Plan elements, to establish Wing / unit level <u>progress and results monitoring processes</u> and to embed local ‘ownership’ of Plan implementation;</p> <p>vii. Preparing and (after R&BD senior management review) finalizing <u>an overall R&BD Wings’ Development Program</u> that brings together and integrates the elements and activities involved in the individual Plans as a combined Program, giving the overall timeframe, key individual milestones therein, planned local and external inputs, expected outputs, assignment of Plan responsibilities, any ‘mission critical’ conditions / issues, and <u>indicators for progressive performance and impact assessment</u> of the Plans under implementation.</p> <p>Deliverables:</p> <p>a) A substantive Study Report covering the features and results of Task activities (i) to (iv) above;</p> <p>b) submission to R&BD on individual Wings / Units’ proposed Development Plans; and</p> <p>c) a Task Completion Report comprehensively documenting the overall R&BD Wings’ Development Program, its constituent Plans and the main features of the agreed implementation, monitoring and management arrangements.</p> |
| <p>Task 6</p> | <p>Development Study for Gujarat Engineering Research Institute (GERI):</p> <p>Complete a comprehensive Study of the “as is” organization, resources and operations of the GERI to (a) determine its effectiveness and ongoing viability for current GOG and industry needs and expectations in the field of works (materials) Quality Research & Testing, at the present level of funding and with existing equipment and resources; (b) prepare a draft Development Strategy that over a 0-4 years timeframe, would enable the GERI to shift to a more sustainable and higher-performance ‘business model’, identifying the changes required in the GERI funding / revenue / expenditure framework and the scope of new investment (one-off or recurrent) required in facilities, equipment and IT-ICT capacity to endow the GERI with modernized, cost-effective technology and service capabilities. This will at least involve:</p> |

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| | <p>i. Studying and ‘mapping’ the functions and responsibilities of the GERI as per the present GOG business rules, the processes typically being followed in the GERI’s operations and the forms and sources of funding currently supporting the GERI, to submit an <u>“as is” depiction of the present GERI ‘business model’</u>;</p> <p>ii. Assessing the <u>objective capacity and performance currently of the GERI</u> in providing works Quality Research & Testing services to public and private sector clients in the state, <u>identifying any significant weaknesses and the factors underlying those weaknesses</u>, and assessing the extent to which those weaknesses may each be overcome within the present GERI ‘business model’ and within the normal mechanisms and resources of the GOG;</p> <p>iii. Preparing a <u>high-level Discussion Paper for presentation to a (consultant-facilitated) Workshop for GOG senior officials and key external stakeholders on two forward scenarios</u> for GERI, being (a) ‘strengthening the “as is” GERI model incrementally and modestly within existing GOG administrative and funding parameters, but outlining that scenario’s pros and cons; or (b) offering a more strategic medium-term Development Strategy for GERI, centered on a new ‘business model’ aiming for better financial viability, improved responsiveness to industry needs, more commercially-oriented in its services and charges, more administrative autonomy and more capability for state-level leadership in the Materials and Quality testing / investigation fields, but outlining any major new funding required (in broad terms) and the areas of possible risk in reaching planned results and outcomes;</p> <p>iv. Taking account of Workshop feedback and results, preparing and submitting a <u>proposed ‘medium-term GERI Development Strategy’</u> (fully detailed and costed) for GOG decision;</p> <p>v. Providing advice to the Irrigation and R&B Departments (as the key stakeholders) and the GERI on the key actions likely to be required in the event of affirmative <u>GOG decision(s)</u>; and</p> <p>vi. Preparing a viable <u>phased, time-bound and comprehensive action program for implementation of the GERI Development Strategy</u> (in anticipation of affirmative GOG decisions), that includes provision for a Steering body, an effective Progress Monitoring framework, a GERI-centered ‘change-management’ staff training and development program, and measures for ongoing sustainability of the Development Strategy results and benefits.</p> |
| | Deliverables: |
| | <p>a) Report on “As Is” Assessment of GERI;</p> <p>b) Discussion Paper for stakeholder Workshop on optional GERI development scenarios; and</p> <p>c) Task Completion Report ‘package’ detailing (at least) the finalized GERI Development Strategy, the implementation action and management arrangements, and the sustainability actions.</p> |

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| Task 7 | <p>Development Study for Engineering Staff College (ESC):</p> <p>Complete a Study of the ESC to determine its current functions, capacity, strengths, weaknesses and potential readiness for a widened sector-oriented Training & HRD role, and to outline a viable medium-term ESC Development Strategy for GOG consideration/decision/action. This will at least involve:</p> <ol style="list-style-type: none"> i. Studying the functions, capacity, operations and outputs of the ESC, its current organizational environment, its funding and its role as per the GOG rules of business, and identify the strengths, weaknesses and constraints of <u>the present ESC ‘business model’</u>; ii. Reviewing any <u>previous ‘intra-R&BD’ proposals for enhancing the College’s technical, financial and operational capacity</u>, and reviewing the nature of and experiences with varying ‘autonomy’ initiatives taken in other relevant GOG institutions such as SPIPA to determine their potential applicability to - and value for - the ESC situation; iii. Undertaking sample <u>consultations with industry representatives and associations</u> to gather external feedback on existing ESC training ‘products’ and capabilities, and to gauge the potential uptake by industry in Gujarat of future ESC programs (once enhanced / updated); iv. Undertaking sample <u>consultations and/or surveys of middle-to-senior staff</u> within the R&BD and the Irrigation Department (IRD), being the key GOG stakeholder entities in the ESC, and a sample of ESC staff, to gather feedback on ESC training experiences, impacts and priorities for enhancement; v. Preparing for R&BD / IRD review / endorsement (including via a consultant-facilitated Workshop), a (draft) <u>new strategic ‘Mission’ for the ESC</u> as a more sector-oriented, industry-accessible and collaborative entity, dedicated to both the <u>ongoing delivery of high-quality in-service technical courses / programs</u> and the <u>provision</u> (on-site or elsewhere, in collaboration with other institutes/partners/experts) <u>of advanced technical and management training (contents and techniques) for GOG engineering staff and industry participants</u>, to meet emerging challenges in infrastructure planning and financing; project design, preparation and construction- readiness; environment & social ‘safeguards’ planning and compliance; road safety engineering; procurement and contract-management; construction supervision and quality control; road maintenance and asset management strategies; budget and financial management; performance monitoring / management, governance and public information. vi. Outlining in broad terms a <u>medium-term ESC Development Strategy based on the proposed ‘Mission’</u>, with particular highlighting of any additional (transitional) funding requirements and/or any significant capital procurements anticipated as being essential for the future ESC ‘business model’ (also for Workshop review/resolution, as per (v) above); vii. Preparing (after R&BD / IRD agreement on the proposed new ‘ESC Mission’ and |

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| | <p>broadly-stated Development Strategy) <u>a comprehensive plan for ESC transition to a substantially-changed ‘business model’</u> and operational framework, summarized in a detailed, phased, time-bound and broadly-costed implementation program for execution of the proposed ESC Development Strategy, to be submitted to GOG for decision / endorsement;</p> <p>viii. Subject to GOG endorsement, facilitating the <u>launch of implementation action on the ESC Development Strategy</u>, including initiation of a Steering body, effective Progress Monitoring arrangements, an ESC ‘change-management’ staff training Workshop, and a set of ESC-managed sustainability measures to strengthen the Development Strategy results.</p> <p>training initiatives and proposed ‘sustainability’ measures.</p> |
| | Deliverables: |
| | <p>a) Mid-Task Report on ‘as is’ assessment of the ESC, on draft ESC Mission statement, on R&BD / IRD officials’ Workshop reviewing the draft ESC Mission, and on the proposed ‘medium-term ESC Development Strategy’;</p> <p>b) Draft R&BD / IRD submission to GOG on ESC Development Strategy and comprehensive ESC transition & implementation program seeking GOG endorsement; and</p> <p>c) Comprehensive Task Completion Report ‘package’ on the new ESC Mission, Development Strategy, plans for transition & implementation Steering, monitoring and management, ‘change-management’</p> |

- 8) In each of the abovementioned **Tasks** of these services, the consultant may also be required to provide expert drafting assistance to the R&BD and the GOG in developing official submissions and/or drafting outputs such as Policy statements, proposed new/amended legislation, draft Rules or Orders and other statutory documents and notices, where these are needed by the client to achieve and/or enact GOG decisions on proposals arising from these services.
- 9) The consultant shall also submit monthly and quarterly progress reports to the R&BD Project Implementation Unit (PIU) in a standard PIU-determined format for inclusion in the PIU monitoring of and reporting on IDAP implementation progress.

Approach to Delivery of the Services

- 10) Approach to Delivery of the Services During the Inception Period (immediately following mobilisation) the consultant shall - in consultation with the client - finalize a viable Work Program covering all the above-mentioned Tasks, and to therein also document any major newly-identified ‘content’, ‘approach’ or methodology issues that may become risks to the satisfactory execution of the services, for resolution by the client.

- 11) Given the GOG's commitment to good governance and observance of the Right to Information (RTI) legislative provisions, the consultant shall - in developing that Work Program - make due allowance wherever appropriate for open access to their outputs. This shall at least take the form of: (a) facilitation of R&BD and/or GOG information to and/or interactions with external stakeholders and civil society entities during individual Tasks; and (b) facilitation of 'internal' communications to staff of R&BD, IRD and any other involved GOG agencies about the Tasks. The consultant's substantive Reports during these services also shall (except where decided otherwise by R&BD) typically be lodged on the R&BD and Project websites.
- 12) The consultant's personnel shall in performing these services be required to actively facilitate a process of 'skills / knowledge transfer' to nominated R&BD and IRD counterpart staff in those elements of the abovementioned Tasks involving the introduction or enhancement of concepts / processes / methodologies that will be become part of the ongoing functions and operations of the R&BD and/or the IRD, via customized local training and other 'on-the-job exposure' methods. The consultant shall also liaise regularly with other IDAP-related consultancy teams – both directly and through the nominated PMC point in the PIU – to ensure an effective two-way flow of information about activities in the respective consultants' assignments that may have 'cross-cutting' effects between various IDAP targets and hence may benefit from active harmonization between the consultants and the Client.

Duration & Location of the Services

- 13) The services shall be completed over ***approximately thirty six (36) months***, with phasing of mobilization of personnel and other inputs over that period as per the agreed Work Program, which is expected to commence before end-January 2013 and be completed before end-January 2016.
- 14) The principal location for the execution of these services will be the R&BD headquarters' offices in Gandhinagar, Gujarat. However some of the Task activities will necessarily involve the consultants working 'off-site' with R&BD field units and/or with other participating entities, such as the GERI and the ESC, hence the consultant's personnel shall be required to undertake some Task-related travel to / from such R&BD and/or IRD 'field' locations units as part of the services. While this will be resolved in due course between the R&BD and the Consultant on a case-by-case basis, in framing their proposals (and given the range and nature of these Tasks) the consultants should anticipate approximately 15-20 such 'intra-state' travel instances being required during the services.

Key Personnel Requirements

- 15) The consultant shall mobilize and maintain a team of suitably qualified and experienced ‘key personnel’ to undertake the assignment on (as far as practical) a ‘multi-Tasking’ basis, and shall provide an appropriate complement of supporting administrative / office operations staff. The expected ‘key personnel’ are shown in the Table below with a *non-binding* estimate of the likely person-months’ input in each case. It is anticipated that overall, the consultant would be expected to provide approximately **155 person-months of ‘key personnel’ inputs** over the **36 months’ period** of the assignment. However, these estimates of ‘key personnel’ inputs are only indicative and interested consultants shall make their own estimations in this regard in their proposals.
- 16) The expected qualifications for the “key personnel” positions only are summarized at *Appendix 1*. While interested consultants may choose to include in their proposals information about possible nominees for proposed supporting staff roles and capacity, any such details are **not** required to be part of a consultant’s proposal(s) and therefore any such details will **not** be taken into account in the **evaluation** of proposals / bids for these services.

Table of Estimated ‘Key Personnel’ Inputs

| Key Personnel | Tasks Expected to Require Input | Inputs* (person-months) |
|--|--|--------------------------------|
| Roads Management Specialist & Team Leader (TL) | All | 30 |
| Business Process Reform & Management Specialist & Deputy TL | 1, 2, 5, 6, 7 | 24 |
| Domain Specialist (Public Sector, State & National) | All | 12 |
| Senior Highways Engineer (Planning & Management) | 1, 2, 3, 4 | 12 |
| Transport Planning (Road Infrastructure) Specialist | 1, 3, 4, 5 | 6 |
| Transport Economics (Road Infrastructure) Specialist | 3, 4, 5 | 4 |
| GIS Applications Specialist | 3, 4, 5 | 4 |
| Quality Assessment & Materials Testing Specialist | 5, 6, 7 | 6 |
| PPP / PSP (Development & Management) Specialist | 1, 3, 4 | 6 |
| Financial Planning & Management Specialist | All | 6 |
| Performance Management (incl. M&E) Specialist | 2, 5, 6, 7 | 12 |
| Senior Training & HRD (Planning) Specialist | All | 12 |
| Change-Management (Training & Support) Specialist | All | 9 |
| Communications (Media / Web / Intranet) Specialist | All | 6 |
| Legislative / Statutory Drafting Specialist | All but 2 & 4 | 6 |
| Estimated Total ‘Key Personnel’ Inputs Over Assignment Period | | 155 |
| * <i>These estimated person-month inputs are indicative only. Interested consultants will need to make their own determination of the nature and quantum of inputs required to perform these services.</i> | | |

Periodic Deliverables & Milestones

- 17) In addition to completion of the Task elements outlined at Paragraph 7 (Tasks 1-7), the following ‘standard’ deliverables are also required from the consultant during these services.
- An ***Inception Report***, presenting the Consultant’s post-mobilization approach to the requirements of the main task elements, finalization of both the phasing of inputs and the overall work program for the services period, and outlining any key issues needing further resolution by the client for efficient execution of the overall assignment.
 - ***Monthly Reports*** and ***Quarterly Progress Reports*** (MRs & QPRs) in standard format, due at the end of each month and each quarter during the services.

- A **Mid-Term Status Report** (MTSR) outlining the results and achievements in each major element of these services and detailing (i) any significant unforeseen challenges or problems for R&BD / GOG consideration and (ii) any need for further refinement to (e.g.) the inputs and/or the work schedule in these services for overall efficiency and effectiveness.
- Various **Workshops** to be facilitated on R&BD's behalf by the consultant at important stages in each Task, expected to require at least one (1) Workshop per Task.
- A **Draft Final Report** (DFR) to be submitted one month before the completion date of the services as per contract, which shall report comprehensively on the consultant's activities, outputs, results and achievements against the substantive requirements in these TOR.
- A **Final Report** (FR) to be submitted within two weeks of receipt of R&BD / GOG comments on the DFR and/or in any event no later than the contracted date of completion of the services.

Reporting, Review & Overall Deliverables-cum-Payment Schedule

- 18) The Gujarat Roads & Buildings Department (R&BD) will be the contractual client for the services and will manage these services through its Project Implementation Unit (PIU), which has overall charge of the new Second Gujarat State Highway Project (GSHP-II). The PIU is expected to be assisted in its GSHP-II responsibilities by an externally-sourced Project Management Consultant (PMC) who *inter alia* will assist the R&BD in the general oversight, coordination and integration of all IDAP implementation activities, including those to be performed in Tasks 1-7 of these services.
- 19) The deliverables under the assigned tasks of the consultant shall upon their initial 'draft' submission be reviewed by a Review Committee established by the R&BD (the R&BD has yet to decide whether this will be a 'standing committee' or convened 'as / when required'). The Review Committee will be responsible for determining any modifications or changes considered necessary from the Client's perspective in the outputs submitted by the consultant and the consultant shall incorporate these modifications or changes in finalizing the outputs. The membership of the Review Committee will typically be at least comprised of an R&BD Chief Engineer (as chairperson), a senior staff member from of the Wing / unit / entity (i.e., of R&BD, GSRDC and/or IRD) most directly concerned with the submitted Task output(s), and two nominees of the Secretary-R&DB, being (i) a Superintending Engineer (SE) from a major field office and (ii) a senior-level R&BD officer of the GOG Administrative cadre.
- 20) The required standard-format Monthly Reports (MPs) and Quarterly Progress Reports (QPRs) required from the consultant, as mentioned at Paragraphs 9 and 16 (above),

also shall be prepared sufficiently in advance to enable their advance tabling at a meeting of the Review Committee, who will review progress over the preceding quarter and (if warranted) provide any related comments or perspectives in the course of onforwarding the Report to the PIU by the due time. The MPs and QPRs will also be shared with the World Bank, as per the agreed GSHP-II monitoring arrangements.

- 21) The acceptance by the R&BD as the Client of each of the scheduled deliverables and outputs will mark completion of those Task elements of the agreed Work Program for these services. Such completion / acceptance may also be chosen as the basis for contractual payment milestones.
- 22) All finalized deliverables due in the form of documents, IT-based presentations, materials and associated files being submitted to the Client are to be supplied in at least the quantities indicated in the Table below, together with full electronic 'soft' copies of the material in each case imprinted on CD / DVD (rendered in Microsoft WORD, PowerPoint and/or EXCEL formats, or otherwise via other software if specifically agreed during contract negotiations).
- 23) Overall, the total of the outputs and deliverables due in these services from the consultant and the tentative 'due timing' for these, are as follows.

Table of All Expected Deliverables & Milestones:

| Deliverable / Output Per Contract | Related Task | Tentative 'Due Timing' | Quantity of Copies of Due Doc's | Percentage of Contract Payment |
|---|---------------------|-------------------------------|--|---------------------------------------|
| Inception Report (IR) with Work Program (WP) | Reporting | End of month 1 | 10 | 5% |
| Monthly Reports (MRs) in standard format (x 28*) | Reporting | End of each calendar month | 7 | (0.25% each) 7.0% |
| Quarterly Progress Reports (QPRs) in standard format (x 8**) | Reporting | End of each calendar quarter | 7 | (0.5% each) 4.0% |
| Workshops (including Presentations / Notes / Materials): estimate = eight (8) workshops | Reporting | Timings as per agreed WP | 10 | (0.5% each) 4.0% |
| Technical Report on status/gaps, scoping and indicators/measures for M&E / Performance Mgt. | Reporting | End of month 4 | 7 | 3% |
| Technical Report on (roads) PPP 'capacity assessment' and proposed Action Plan | Reporting | End of month 5 | 7 | 3% |
| Submission post-Workshop of Draft State Road Sector Policy and Workshop report | Reporting | End of month 7 | 7 | 3% |
| Technical Report on study of R&BD Wings / major units' roles/functions/structure/capacity | Reporting | End of month 8 | 7 | 3% |
| Technical Report on preparations and Workshop results for Road Network Master Planning | Reporting | End of month 10 | 7 | 3% |
| Report on GERI 'As Is' Assessment | Reporting | End of month 12 | 7 | 3% |
| Submission on individual R&BD Wings / major units' proposed Development Plans | Reporting | End of month 14 | 7 | 3% |
| Discussion Paper on GERI Development Scenarios | Reporting | End of month 16 | 7 | 3% |
| Report on ESC 'As-Is' Assessment and proposed Mission & Development Strategy | Reporting | End of month 17 | 7 | 3% |
| Mid-Term Status Report (MTR) | Reporting | Mid-month 18 | 10 | 4% |

Gujarat State Highway Project-II (GSHP-II)
Selection Of Consulting Services For Road Sector Policy &
Institutional Development Studies & Action Planning

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| Draft Submission on ESC Development Strategy (etc.) for R&BD-IRD to submit to GOG | Reporting, Task 2 | End of month 20 | 7 | 3% |
| Completion Report on (roads) PPP 'nodal capacity' Action Plan implementation | Task 3 | End of month 21 | 7 | 4% |
| Submission of draft Inaugural Road Network Master Plan for Gujarat major road network | Task 4 | End of month 22 | 7 | 3% |
| Completion Report on M&E and Performance Management implementation | Task 2 | End of month 24 | 7 | 4% |
| Completion Report on final State Road Sector Policy | Task 1 | End of month 26 | 7 | 4% |
| | | | Sub-total | 69% |

[*Not including months 18 and 36. **Not including the final quarter (months 33-36)]

Table of Total Expected Deliverables & Milestones (continued)

| Deliverable / Output Per Contract | Related Task | Tentative 'Due Timing' | Quantity of Copies of Due Doc's | Percentage of Contract Payment |
|--|--------------|---|---------------------------------|--------------------------------|
| Submission of Discussion Paper on Integrated Multi-modal Transport Development Planning | Reporting | End of month 26 | 7 | 2% |
| Completion Report on establishment of roads master planning for Gujarat in R&BD | Task 4 | End of month 28 | 7 | 4% |
| Completion Report on overall R&BD Wings Development Program | Task -5 | End of month 30 | 7 | 4% |
| Completion Report on GERI Development Strategy and planning for implementation | Task -6 | End of month 32 | 7 | 4% |
| Completion Report on ESC Development Strategy and implementation planning | Task -7 | End of month 34 | 7 | 4% |
| a) Post-Task (initial) Implementation Assistance (Tasks 5, 6 & 7 only – subject to affirmative GOG decisions on Study recommendations) Task-5 Completion Report comprehensively documenting the overall R&BD Wings' Development Program , its constituent Plans and the main features of the agreed implementation, monitoring and management arrangements, Task-6 Completion Report 'package' detailing (at least) the finalized GERI Development Strategy, the implementation action and management arrangements, and the sustainability actions and Task-7 Completion Report 'package' on the new ESC Mission, Development Strategy, plans for transition & implementation Steering, monitoring and management, 'change-management'. | Out put | End-of-Task/s timing, above (as applicable) | N/A | (3 x 1% each) 3% |
| Draft 'Final Report' (DFR) | Reporting | End of month 35 | 7 | 4% |
| Final Report (after Client response to DFR) | Reporting | End of month 36 | 10 | 6% |
| | | | Total | 100% |

Responsibilities of the Client

- 24) The Client (represented primarily by the R&BD) will be responsible for providing the consultant's team promptly with necessary documents and materials wherever available, particularly relevant GOG documents related to the structure and functioning of the roads sector in Gujarat, on the main GOG policies, plans and/or strategies in the roads sector, on the IDAP and the GAAP, and concerning the Gujarat State Roads Development Corporation (GSRDC). The R&BD shall also arrange access to other necessary records and data (wherever available) on being so requested with adequate notice by the consultant's Team Leader.
- 25) The R&BD (usually via the acknowledged Review Committee, in the first instance) shall be responsible for reviewing, providing feedback on and /or advising acceptance of the consultant's outputs and/or reports. This shall be done by the R&BD within the consultant's requested timing wherever possible, but in any event shall be done within no more than three (3) weeks of the date of presentation / submission to the Client of such materials by the consultant requesting review/clearance. Where multi-agency and/or higher-level GOG consideration and responses are required, R&BD management will facilitate that on a case-by-case basis, with some adjustment to the 'turnaround' timing needing to be accepted by both consultant and Client in these circumstances.
- 26) The Client will nominate suitably-experienced counterpart staff for ongoing direct liaison with the consultant's team for the main Tasks in these services, and will also arrange for the nomination of similar counterpart staff from the IRD (when appropriate) for liaison regarding the GERI study. The Client will also arrange access to relevant R&BD staff in HQ and field units, and shall facilitate introductions where appropriate for the consultant's personnel to relevant GOG officials and staff in other GOG entities. Any other consultant needs for operational support during these services will need to be resolved in case-by-case consultations between the consultant and the Client.

Responsibilities of the Consultant

- 27) The consultant will be responsible for securing / maintaining suitable office accommodation for their team and its operational requirements, within reasonable proximity to the R&BD headquarters and PIU premises in Gandhinagar, Gujarat. The Client may consider providing space for a modest-size 'liaison office' at PIU for the consultant's periodic use when working closely with PIU and R&BD management (e.g.) during mobilization and/or on particular Task activities.
- 28) The consultant shall make their own arrangements for all start-up 'operating' needs, such as power, communications and transport. The consultant shall also be fully responsible for the provision and maintaining of all facilities, resources and/or services required in execution of the assignment, such as office and IT equipment, communications, support services, consumables, all utilities, vehicles and/or transportation / logistics services. The consultant shall also be fully responsible for all other operational costs and 'overheads' incurred by the consultant's team during the services.
- 29) Travel from the main R&BD headquarters in Gandhinagar for IDAP / Task related activities to various R&BD and/or IRD 'field' establishments (both mainstream units and specialized entities such as the GERI and the ESC) will be required for some parts of these services. The instances, nature, timing and participants in such travel will be resolved on a case-by-case basis and in the Work Program context progressively between the R&BD and the consultant. However, in framing their proposals, consultants shall plan for approximately 15-20 such travel instances as an integral part of their responsibility for all personnel mobility and transport / logistics during the period of the services.
- 30) The consultant's 'key personnel' team members shall at all times satisfy the technical 'Qualifications & Experience' requirements stipulated in these TOR (at *Appendix 1*).
- 31) The consultant shall also apply their own internal 'quality assurance' processes to all outputs under these services, before submitting such outputs to the Client for review / acceptance.
- 32) The consultant shall consult with the R&BD regarding relevant departmental and GOG systems, procedures and statutory requirements, including relevant GOG security processes and protocols affecting access to official premises, to inform the approach of the consultant's personnel during these services and to ensure their compliance with relevant official policies / requirements.

APPENDIX -1
QUALIFICATION AND EXPERIENCE REQUIREMENTS FOR KEY PERSONNEL

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|--|---|---|---|
| Roads Management Specialist (Team Leader (TL)) | Graduate qualifications in Civil Engineering, plus post- graduate qualifications in Management or Business Administration | 15 | Extensive international-standard experience in senior managerial and technical roles in an advanced Road Agency and/or as Senior Consultant leading major ‘road sector reform’ and ‘capacity development’ assignments in a developing country. High-level strategic and technical advising skills. Proven skills in leadership and management of multi-disciplinary teams, and in coordination of multi-agency action in a public sector context. Substantial professional experience and skills in engineering and implementation of modern road transport infrastructure works / projects. Proven high-level oral and written communication skills and inter-personal skills. |
| Business Process Reform & Management Specialist (Deputy TL) | Graduate qualification in Engineering (any discipline) or Masters level qualification in Management &/or Business Administration, with added professional specialization in Business Process Reform, Management and/or Organizational Development | 12 | Extensive senior-level experience as Analyst and Adviser on development / enhancement of business structures, functions, processes and resources in public and private sector entities. Extensive knowledge and experience of capability/performance assessment and in execution of capacity-development and re-organization / re-structuring plans in the public sector context in India. Proven capacity for effective innovation and results in ‘organizational development’ assignments. Demonstrated team leadership skills and capacity. |

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|--|--|---|---|
| Domain Specialist (Public Sector, State & National) | Graduate in Administration, Management, Economics &/or Engineering (any relevant field or discipline), with additional higher-level qualifications in related fields also being desirable. | 15 | Extensive experience serving in senior roles in Government/ quasi-Government entities at state and/or national levels in India. Wide experience and skills in policy development, implementation and administration functions in the public sector in India. Sound direct knowledge of typical frameworks, machinery and processes of public sector agencies, particularly those with technical and services roles such as Public Works Departments. Proven ability to contribute to innovation and improvement in technical and administrative processes, capability and performance in public sector entities. Sound inter-personal and oral and written communication skills, proven in complex multi-disciplinary environments. |
| Senior Highways Engineer (Planning & Management) | Graduate qualifications in Civil Engineering with post- graduation specialization in highway engineering | 15 | Extensive professional experience and skills in infrastructure planning and development for major road networks and associated transport infrastructure. Sound experience in establishing medium-to-longer-term master planning in public sector environments for road network development and management. Proven skills at technical and professional capacity building in roads sector contexts. Extensive background in highway engineering responsibilities and operations. Completion of at least two major comparable assignments. |
| Transport Planning (Road) | Graduate qualifications in | 12 | Extensive professional skills and international-standard experience in road |

Gujarat State Highway Project-II (GSHP-II)
Selection Of Consulting Services For Road Sector Policy &
Institutional Development Studies & Action Planning

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|--|---|---|--|
| Infrastructure) Specialist | Civil Engineering, plus post-graduate specialization in Planning and/or Transportation | | transport analysis, modeling and facility/infrastructure planning, including inter-modal optimization, corridor and network development, and master planning. Completion of at least one major comparable assignment. |
| Transport Economics (Road Infrastructure) Specialist | Graduate qualifications in Economics, plus post-graduate qualifications in Transportation and Econometrics | 12 | Extensive professional skills and international-standard experience in undertaking economic studies for road transport infrastructure assessment, planning and provision, including analyses of demand, choice, performance, cost-benefit and investment-return aspects. Completion of at least one major comparable assignment in a developing country. |
| GIS Applications Specialist | Graduate qualifications in Computer Science, Information Sciences and/or Information Management, plus specialization in GIS software applications | 12 | Sound experience in use of modern GIS applications to enhance wide-scale IT-based mapping and planning and associated databases for road assets and road networks. Proven skills in use of GPS-based technology and GIS-linked data-capture via contemporary applications such as ArcView, ArcInfo, Civil 3D and Map 3D. Completion of at least one comparable Transport sector assignment. |
| Quality Assessment & Materials Testing Specialist | Graduate qualification in Engineering with specialization in Civil Engineering, with added professional qualifications relevant to (works) Quality Management / Assurance / | 12 | Extensive experience in senior roles in Quality Management / Assurance / Control, particularly as related to materials testing for physical infrastructure construction and management. Proven expertise and effectiveness in advising on and developing Quality testing / verification functions, policy, processes, operations and management capacity at HQ and field levels. Wide experience in modern Quality testing concepts, standards |

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|---|--|---|---|
| | Control, Quality Systems &/or (infrastructure) Materials Testing | | and technology, and of their operationalization in providing cost-effective Quality Testing / Control services to industry and public sector clients. Completion of at least one comparable major assignment. |
| Public-Private-Partnerships (PPP) & Public Sector Participation (PSP) [Road Infrastructure] Specialist | Graduate qualifications in Civil Engineering &/or Management, Finance / Accounting, plus extra qualifications related to private sector infrastructure project financing | 10 | Extensive ‘practitioner’ skills and experience in PPP-based project development, financing and implementation. Sound knowledge of PPP-style activities and innovations in the roads sector in India at national and state levels. Proven skills at advising on and/or undertaking the formulation of contracts and financial agreements for PPP-based infrastructure developments and packages. Demonstrated skills at capacity building of staff in this field. Completion of a major comparable assignment. |
| Finance (Planning & Management) Specialist | Graduate qualifications in Accounting, Finance, Management, and/or Business Administration (or the equivalent) | 15 | Extensive experience and skills in the Finance aspects of infrastructure works and maintenance planning and management, particularly in public sector ‘utility & services’ contexts such as PWDs in India. Sound knowledge of typical roads funding at state level in India. Extensive experience in financial modelling and budget development, and experience in applying this to longer-term road sector planning. Proven skill in advising on agency-level FM strategy and ‘process’ issues. Completion of at least two comparable major assignments. |
| Performance Management | Graduate qualifications in | 10 | Extensive experience and skills in developing and applying |

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|---|--|---|---|
| and Monitoring & Evaluation Specialist | Management, Economics, Business &/or Engineering, with additional specialist qualifications relevant to Performance Monitoring and Evaluation | | computerised monitoring and reporting systems to planning, project and program management, preferably in public sector contexts. Extensive experience in project-based monitoring of progress, performance and results, and in appraisal / evaluation of outputs and outcomes. Expertise in development of operational frameworks for IT-supported Monitoring and Evaluation (M&E) processes, with multi-level reporting capacity and integrated with corporate MIS systems, to support technical, operational and administrative 'end-users'. Completion of at least two comparable major assignments. |
| Senior Training & Human Resources Development (HRD) Specialist | Graduate qualifications in Management, Education, Business and/or Engineering, with specialization in Human Resource Development (HRD), Training &/or Adult Learning | 12 | Extensive experience in managerial and advisory roles in modern Human Resources Management, HR Development and Training, particularly in planning, development and delivery of 'skills & capacity development' programs for both industry and public sector needs. Expertise in strategic planning, 'business modelling' and organizational development for entities delivering HRD and Training services and programs to a multi-sector clientele. Effective communication skills. Completion of at least two major comparable assignments. |
| Change-Management (Training & Support) Specialist | Graduate qualifications in Management, Education, Business Administration or Engineering | 10 | Extensive experience in applying modern Management, HR, Social Sciences and/or (applied) Psychology concepts and techniques to 'change-management' plans and activities in organizations to support major business, operational and/or |

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|---|---|---|--|
| | (any discipline), with additional qualifications in HR, Social Sciences &/or Psychology | | workplace change. Extensive experience also in applying contemporary HRM / HRD and Training techniques and practices to enhance the implementation process and outcomes of structural, business and/or workplace changes aimed at sustained improvements in services, performance and capacity. Effective oral and written communications and presentational skills, essential. Effective interpersonal, process-facilitation and conflict-mitigation skills, very desirable. Sound knowledge of the Indian public sector framework and the typical workplace norms and dynamics therein at state and sub-state levels, highly desirable. Completion of at least one major comparable assignment in India. |
| Communications (Media / Web / Intranet) Specialist | Graduate qualifications in fields related to Media, Public Relations, Communications and/or Public Information Management | 10 | Extensive experience in developing and facilitating strategies and plans for information dissemination and communication by public sector bodies in India. Significant experience in developing and executing ‘conventional media’ and IT-based/Web-enabled information, awareness-raising and strategic communication initiatives aimed at employees, industry, government and/or civil society groups. Sound knowledge of current “public disclosure” and/or “right to information” provisions, and experience in complying with these in mounting specific-purpose information and awareness strategies. Completion of at least one comparable major assignment in India. |

| Position | Minimum qualifications | Minimum years of professional experience | Specific Required Expertise |
|-------------------------|--|---|---|
| Legal Specialist | Graduate qualifications in Law, preferably with post-graduate specializations in Corporate Law and/or Legislative Drafting | 15 | Extensive experience as legal practitioner in public, administrative and contract law. Sound knowledge and experience of India's legal framework and processes, particularly as this relates to change in public legislation, statutes and Rules affecting functions, responsibilities and powers of public sector entities. Proven skills at legal drafting in relation to preparation of new bills, legislative amendments, regulations, Rules, statutory notices and/or Government Orders and announcements. |

APPENDIX 2
SUMMARY MATRIX OF INSTITUTIONAL DEVELOPMENT ACTION PLAN
(IDAP) 2013-2019

| No. | Objective | Key Result(s) Expected |
|---|---|--|
| Sector Policy & Planning | | |
| | Updated long-term road sector policy framework | State Road Sector Policy (1996) comprehensively updated and published by R&BD |
| | | State 'road classification & responsibility' framework updated |
| | Enhanced road network planning & development | Comprehensive medium-term GOG strategy for road network planning and development in alignment with state economic and social targets and needs |
| | Dedicated capacity for Road Safety policy / strategy | GOG 'Project Steering Committee' established |
| | | State 'lead agency' functions and capacity in place |
| | | Determination of medium-term state Road Safety Management policy, strategy and priorities |
| | Updated framework of works policies, authority & rules | Comprehensively updated R&BD works Code & Manual (with new Safety and E&SM sections) endorsed by GoG and published |
| | New mechanisms & capacity for governance and accountability in place | Medium-term Governance & Accountability Action Plan (GAAP) initiated |
| | | R&BD-wide Monitoring & Evaluation (M&E) process and Performance Management tools established |
| | | Center Of Excellence for Roads Development & Management initiated with local 'faculty partner' |
| | Nodal capacity for roads PPP policy and management | Lead capacity established in R&BD / GSRDC for state-level roads PPP policy development, monitoring and implementation assistance |
| R&BD-Centered Capacity Development | | |
| | R&BD-centered HR Planning & Management Strategy in place | Study-based development and implementation of new R&BD strategy for HR 'demand, supply and development' management in key staffing categories |
| | | 'Pilot' of 'twinning' and 'staff interchange' programs with overseas advanced roads agencies, underway |
| | Enhanced R&BD capacities in project planning, design, road safety, E&SM, | Enhanced capacity of R&BD staff in works project planning and in managing pre-construction activities |
| | | Training-supported R&BD-wide implementation of standard Project Management system and guidelines |

| No. | Objective | Key Result(s) Expected |
|-----|--|---|
| | pre-construction actions, contract management | <p>Training-supported R&BD-wide strengthening of works Contract Management process and skills</p> <p>Training-supported capacity building in R&BD in road safety engineering concepts / standards / skills</p> <p>Enhanced capacity and resources of R&BD in Design and Design-review functions at HQ level</p> <p>E&SM Cell re-staffed and operational in R&BD with updated functions and policies and dedicated resources</p> <p>Training-supported, phased ‘mainstreaming’ of Environment & Social Management (E&SM) functions</p> <p>Integration of activity progress / performance reporting and of M&E processes in mainstream R&BD functions</p> |
| | Strengthened sector functions and capacity for Quality Control & Management | <p>Capacity-building / training for QC Wing functions and accountabilities in R&BD works, completed</p> <p>Upgraded technology for field QC testing acquired and deployed by QC Wing (with staff training)</p> <p>Pilot ISO ‘QM’ Certification program completed</p> <p>Study on re-development strategy / options for Gujarat Engineering Research Institute (GERI)</p> <p>Study-based re-development of GERI for enhanced sector role in Works Quality Research & Testing services and support (maybe Center Of Excellence)</p> |
| | Strengthening / reform of non-roads R&BD Wings’ capacities, services delivery and governance | <p>Study of reform / development options to improve capacity and performance of other R&BD Wings, completed and proposals endorsed by GOG / R&BD</p> <p>Major study-based GOG-endorsed reform measures and capacity building/strengthening actions, underwa0079</p> |
| | Strengthened IT and ICT facilities and capacity to support RBD planning, asset and works management, MIS and governance | <p>IT-ICT-MIS strategic needs assessment done and prioritized R&BD-specific Plan established</p> <p>R&BD-dedicated Data Center(s) established and supporting networked operations, agency-wide</p> <p>Lead IT unit established and staffed in R&BD for Data Center(s) management and other IT-ICT functions</p> <p>Upgrading key software in GRMS and other tools</p> <p>External (transitional) resources for field level IT-ICT user support, data collection (etc.), in place</p> |

| No. | Objective | Key Result(s) Expected |
|------------|--|---|
| | Enhanced R&BD staff Training & Development program scope and delivery | Updating of RBD 'core skills / capacities' training policy and program planning for new and ongoing priorities in knowledge, skills and 'awareness' fields Updated / enhanced Program confirmed and underway |

**STANDARD FORM
OF
CONTRACT**

**Consultant's Services for
Road Sector Policy & Institutional
Development Studies & Action Planning**

Lump-Sum

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Preface

1. The standard Contract form consists of four parts: the Form of Contract to be signed by the Client and the Consultant, the General Conditions of Contract (GCC), including Attachment 1 (Bank's Policy – Corrupt and Fraudulent Practices); the Special Conditions of Contract SCC); and the Appendices.

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

**CONTRACT FOR CONSULTANT'S
SERVICES**

**Lump-
Sum**

Project Name *“Consultancy Services for Road Sector Policy &
Institutional Development Studies & Action
Planning”*

[Loan/Credit/Grant] No. _____

Contract No. _____

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”).]

WHERE
AS

- (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 “Bank Policy – Corrupt and Fraudulent Practices); (b) The Special Conditions of Contract; (c) Appendices:

Appendix A: Terms of Reference
Appendix B: Key Experts
Appendix C: Breakdown of Contract Price
Appendix D: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: the Special Conditions of Contract; the General Conditions of Contract, including Attachment 1; Appendix A; Appendix B; Appendix C; Appendix D. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Client and the Consultant shall be as set forth in the Contract, in particular:
 - (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and
 - (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

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

For and on behalf of *[Name of Client]*

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

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

[Authorized Representative of the Consultant – name and signature]

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

For and on behalf of each of the members of the Consultant *[insert the Name of the Joint Venture]*

[Name of the lead member]

[Authorized Representative on behalf of a Joint Venture] [add signature blocks for each member if all are signing]

II. General Conditions of Contract

A. GENERAL PROVISIONS

1. Definitions

- 1.1. Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:
- (a) “Applicable Guidelines” means Guidelines for Selection and Employment of consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011.
 - (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 **Special Conditions of Contract (SCC)**, 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 financing agreement with the Bank.
 - (e) “Client” means the implementing agency that signs the Contract for the Services with the Selected Consultant.
 - (f) “Consultant” means a legally-established professional consulting firm or 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.
- (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) “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.
- (v) “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.
- 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. Corrupt and Fraudulent Practices** 10.1. The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in **Attachment 1** to the GCC.
- a. Commissions and Fees** 10.2. The Client requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or

fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract and/or sanctions by the Bank.

B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

- 11. Effectiveness of Contract** 11.1. This Contract shall come into force and effect on the date (the “Effective Date”) of the Client’s notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the **SCC** have been met.
- 12. Termination of Contract for Failure to Become Effective** 12.1. If this Contract has not become effective within such time period after the date of Contract signature as specified in the **SCC**, either Party may, by not less than twenty two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect hereto.
- 13. Commencement of Services** 13.1. The Consultant shall confirm availability of Key Experts and begin carrying out the Services not later than the number of days after the Effective Date specified in the **SCC**.
- 14. Expiration of Contract** 14.1. Unless terminated earlier pursuant to Clause GCC 19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the **SCC**.
- 15. Entire Agreement** 15.1. This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.
- 16. Modifications or Variations** 16.1. Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposals for modification or variation made by the other Party.
- 16.2. In cases of substantial modifications or variations, the prior written consent of the Bank is required.
- 17. Force Majeure**
- a. Definition** 17.1. For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party’s performance of its obligations hereunder impossible or so impractical as reasonably to

be considered impossible under the circumstances, and subject to those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.

17.2. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party's Experts, Sub-consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract, and avoid or overcome in the carrying out of its obligations hereunder.

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

b. No Breach of Contract

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

c. Measures to be Taken

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

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

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

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

- (a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and

necessarily incurred, and, if required by the Client, in reactivating the Services; or

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

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

18. Suspension

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

19. Termination

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

a. By the Client

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

- (a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;
- (b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;
- (c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 45.1;

- (d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;
- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- (f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

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

b. By the Consultant

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

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 45.1.
- (d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant's notice specifying such breach.

c. Cessation of Rights and Obligations

19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in

Clause GCC 22, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records set forth in Clause GCC 25, and (iv) any right which a Party may have under the Applicable Law.

d. Cessation of Services

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

e. Payment upon Termination

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

- (a) payment for Services satisfactorily performed prior to the effective date of termination; and
- (b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

C. OBLIGATIONS OF THE CONSULTANT

20. General

a. Standard of Performance

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

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

20.3 The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the

Client. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.

- b. Law Applicable to Services**
- 20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.
- 20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in the Client's country when
- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country; or
 - (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.
- 20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

21. Conflict of Interests

- 21.1. The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.
- a. Consultant Not to Benefit from Commissions, Discounts, etc.**
- 21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 38 through 42) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.
- 21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Bank's Applicable Guidelines, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.

- b. Consultant and Affiliates 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, unless otherwise indicated in the **SCC**.
- 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. Confidentiality** 22.1 Except with the prior written consent of the Client, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or as a result of, the Services.
- 23. Liability of the Consultant** 23.1 Subject to additional provisions, if any, set forth in the **SCC**, the Consultant's liability under this Contract shall be provided by the Applicable Law.
- 24. Insurance to be Taken out by the Consultant** 24.1 The Consultant (i) shall take out and maintain, and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage specified in the **SCC**, and (ii) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC 13.

- 25. Accounting, Inspection and Auditing**
- 25.1 The Consultant shall keep, and shall make all reasonable efforts to cause its Sub-consultants to keep, accurate and systematic accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.
- 25.2 The Consultant shall permit and shall cause its Sub-consultants to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or all accounts and records relating to the performance of the Contract and the submission of the Proposal to provide the Services, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Consultant's attention is drawn to Clause GCC 10 which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under this Clause GCC25.2 constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility under the Bank's prevailing sanctions procedures.)
- 26. Reporting Obligations**
- 26.1 The Consultant shall submit to the Client the reports and documents specified in **Appendix A**, in the form, in the numbers and within the time periods set forth in the said Appendix.
- 27. Proprietary Rights of the Client in Reports and Records**
- 27.1 Unless otherwise indicated in the **SCC**, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Client in the course of the Services shall be confidential and become and remain the absolute property of the Client. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Client.
- 27.2 If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Client's prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the **SCC**.
- 28. Equipment, Vehicles and Materials**
- 28.1 Equipment, vehicles and materials made available to the Consultant by the Client, or purchased by the Consultant wholly or partly with funds provided by the Client, shall be the property of the Client and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the

Client an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance with the Client's instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by the Client in writing, shall insure them at the expense of the Client in an amount equal to their full replacement value.

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

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

- 29. Description of Key Experts** 29.1 The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant's Key Experts are described in **Appendix B**.
- 30. Replacement of Key Experts** 30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.
- 30.2 Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant's written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall forthwith provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.
- 31. Removal of Experts or Sub-consultants** 31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or shall the Client determine that Consultant's Expert or Sub-consultant have engaged in corrupt, fraudulent, collusive, coercive or obstructive practice while performing the Services, the Consultant shall, at the Client's written request, provide a replacement.
- 31.2 In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Client to be incompetent or incapable in discharging assigned duties, the Client, specifying the grounds therefore, may request the Consultant to provide a replacement.
- 31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.
- 31.4 The Consultant shall bear all costs arising out of or incidental

to any removal and/or replacement of such Experts.

E. OBLIGATIONS OF THE CLIENT

32. Assistance and Exemptions

32.1 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.
- (c) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
- (d) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in the Client's country according to the applicable law in the Client's country.
- (e) Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in the Client's country, of bringing into the Client's country reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- (f) Provide to the Consultant any such other assistance as may be specified in the SCC.

33. Access to Project Site

33.1 The Client warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The Client will be responsible for any damage to the project site or any property

thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of the Consultant or any Sub-consultants or the Experts of either of them.

34. Change in the Applicable Law Related to Taxes and Duties

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

35. Services, Facilities and Property of the Client

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

36. Counterpart Personnel

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

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

37. Payment Obligation

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

41. Mode of Billing and Payment

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

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

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

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

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

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

42. Interest on Delayed Payments

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

G. FAIRNESS AND GOOD FAITH

43. Good Faith

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

H. SETTLEMENT OF DISPUTES

44. Amicable Settlement

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

44.2 If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 49.1 shall apply.

45. Dispute Resolution

45.1 Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the **SCC**.

II. General Conditions

Attachment 1: Bank's Policy – Corrupt and Fraudulent Practices

(the text in this Attachment 1 shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011:

“Fraud and Corruption

1.23 It is the Bank's policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, 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 party¹⁷;
- (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 obligation¹⁸;
- (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party¹⁹;
- (iv) “coercive practices” 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 party²⁰;

¹⁷ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

¹⁸ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

¹⁹ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other's bid prices or other conditions.

- (v) “obstructive practice” is
- (aa) 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
 - (bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services 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) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation 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 they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing Bank’s sanctions procedures²¹, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated²² sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.
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²⁰ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

²¹ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank’s sanctions proceedings as per its sanctions procedures, including inter alia: cross- debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

²² A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant’s proposal for the particular services; or (ii) appointed by the Borrower.

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 | Amendments of, and Supplements to, Clauses in the General Conditions of Contract |
|----------------|--|
| 1.1(b) and 3.1 | The Contract shall be construed in accordance with the law of India |
| 4.1 | The language is: <u>English</u> |
| 6.1 and 6.2 | <p>The addresses are:</p> <p>Office of the Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010 Gujarat. Tel.: + 91 79 23252986 Fax: + 91 79 23251915 e-mail: se-piu-rnb@gujarat.gov.in</p> <p>Consultant : _____</p> <p>Attention : _____</p> <p>Facsimile : _____</p> |
| 8.1 | <p><i>[If the Consultant consists only of one entity, state “N/A”; OR If the Consultant is a Joint Venture consisting of more than one entity, the name of the JV member whose address is specified in Clause SCC6.1 should be inserted here.]</i></p> <p>The Lead Member on behalf of the JV is <i>[insert name of the member]</i></p> |
| 9.1 | <p>For the Client:</p> <p style="text-align: center;">The Superintending Engineer, Project Implementation Unit, Ground Floor, Nirman Bhavan, Sector 10/A, Gandhinagar. 382010, Gujarat.</p> <p>For the Consultant:</p> <p style="text-align: center;">“Consultancy Services for Road Sector Policy & Institutional Development Studies & Action Planning”</p> |

| | |
|--------------|--|
| 11.1 | The effectiveness conditions are the following: <u>Approval of the contract by the Bank.</u> |
| 12.1 | Termination of Contract for Failure to Become Effective: The time period shall be <u>90 days</u> |
| 13.1 | Commencement of Services: The number of days shall be <u>30 days (Thirty days)</u> 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 <u>36 months</u> |
| 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 <i>Yes</i> |

23.1

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

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

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

and

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

(b) This limitation of liability shall not

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

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

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

To be acceptable to the Bank, any limitation of the Consultant’s liability should at the very least be reasonably related to (a) the damage the Consultant might potentially cause to the Client, and (b)

| | |
|--------------------|--|
| | <p><i>the Consultant's ability to pay compensation using its own assets and reasonably obtainable insurance coverage. The Consultant's liability shall not be limited to less than a multiplier of the total payments to the Consultant under the Contract for remuneration and reimbursable expenses. <u>A statement to the effect that the Consultant is liable only for the re-performance of faulty Services is not acceptable to the Bank.</u> Also, the Consultant's liability should never be limited for loss or damage caused by the Consultant's gross negligence or wilful misconduct.</i></p> <p><i>The Bank does not accept a provision to the effect that the Client shall indemnify and hold harmless the Consultant against Third Party claims, except, of course, if a claim is based on loss or damage caused by a default or wrongful act of the Client to the extent permissible by the law applicable in the Client's country.]</i></p> |
| <p>24.1</p> | <p>The insurance coverage against the risks shall be as follows:</p> <ul style="list-style-type: none"> a) Professional liability insurance, with a minimum coverage of <i>two times of contract price</i> b) <i>Third party motor vehicle liability insurance in respect of motor vehicles operated in the Government's country by the Consultant or its Personnel or any Sub-Consultants or their Personnel, with a minimum coverage as per Motor Vehicles Act 1988.</i> c) <i>(Third Party liability insurance, with a minimum coverage of Rs.40 lacs (Rupees Forty Lacs.)(After each occurrence the Consultant shall repay premium necessary to make insurance valid for this amount always);</i> 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. |
| <p>27.1</p> | <p>No exceptions</p> |

| | |
|-------------------------|--|
| 27.2 | The Consultant shall not use these all documents and software/s for purposes unrelated to this Contract without the prior written approval of the Client. |
| 32.1 (a) through (f) | 32.1(a),(b),(c),(e)and (f) are deleted. The client will provide details specified in Appendix-D to the consultant at no cost. |
| 38.1 | <p>The Contract price is: _____ [insert amount and currency for each currency as applicable] [indicate: inclusive or exclusive] of local indirect taxes.</p> <p>Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall [insert as appropriate: “be paid” or “reimbursed”] by the Client [insert as appropriate:” for “ or “to”] the Consultant.</p> |
| | <p>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.</p> |
| 39.1 and 39.2 | The client will reimburse service tax paid by the consultant. However consultant shall have to produce all relevant original documents of payment of such tax to the client at the time of raising the claim / invoice for the same. |

41.2

The payment schedule:

| Deliverable / Output Per Contract | Related Task | Tentative 'Due Timing' | Quantity of Copies of Due Doc's | Percentage of Contract Payment |
|---|---------------------|-------------------------------|--|---------------------------------------|
| Inception Report (IR) with Work Program (WP) | Reporting | End of month 1 | 10 | 5% |
| Monthly Reports (MRs) in standard format (x 28*) | Reporting | End of each calendar month | 7 | (0.25% each) 7.0% |
| Quarterly Progress Reports (QPRs) in standard format (x 8**) | Reporting | End of each calendar quarter | 7 | (0.5% each) 4.0% |
| Workshops (including Presentations / Notes / Materials): estimate = eight (8) workshops | Reporting | Timings as per agreed WP | 10 | (0.5% each) 4.0% |
| Technical Report on status/gaps, scoping and indicators/measures for M&E / Performance Mgt. | Reporting | End of month 4 | 7 | 3% |
| Technical Report on (roads) PPP 'capacity assessment' and proposed Action Plan | | End of month 5 | 7 | 3% |

Gujarat State Highway Project-II (GSHP-II)
Selection Of Consulting Services For Road Sector Policy &
Institutional Development Studies & Action Planning

| | Deliverable / Output Per Contract | Related Task | Tentative 'Due Timing' | Quantity of Copies of Due Doc's | Percentage of Contract Payment |
|--|--|-------------------|---|---------------------------------|--------------------------------|
| | Submission post-Workshop of Draft State Road Sector Policy and Workshop report | Reporting | End of month 7 | 7 | 3% |
| | Technical Report on study of R&BD Wings / major units' roles/functions/structure/capacity | Reporting | End of month 8 | 7 | 3% |
| | Technical Report on preparations and Workshop results for Road Network Master Planning | Reporting | End of month 10 | 7 | 3% |
| | Report on GERI 'As Is' Assessment | Reporting | End of month 12 | 7 | 3% |
| | Submission on individual R&BD Wings / major units' proposed Development Plans | Reporting | End of month 14 | 7 | 3% |
| | Discussion Paper on GERI Development Scenarios | Reporting | End of month 16 | 7 | 3% |
| | Report on ESC 'As-Is' Assessment and proposed Mission & Development Strategy | Reporting | End of month 17 | 7 | 3% |
| | Mid-Term Status Report (MTSR) | Reporting | Mid-month 18 | 10 | 4% |
| | Draft Submission on ESC Development Strategy (etc.) for R&BD-IRD to submit to GOG | Reporting, Task 2 | End of month 20 | 7 | 3% |
| | 3 Completion Report on (roads) PPP 'nodal capacity' Action Plan implementation | Task | End of month 21 | 7 | 4% |
| | Submission of draft Inaugural Road Network Master Plan for Gujarat major road network | Task 4 | End of month 22 | 7 | 3% |
| | Completion Report on M&E and Performance Management implementation | Task 2 | End of month 24 | 7 | 4% |
| | Completion Report on final State Road Sector Policy | Task 1 | End of month 26 | 7 | 4% |
| | | | Sub-total | | 69% |
| | Submission of Discussion Paper on Integrated Multi-modal Transport Development Planning | Reporting | End of month 26 | 7 | 2% |
| | Completion Report on establishment of roads master planning for Gujarat in R&BD | Task 4 | End of month 28 | 7 | 4% |
| | Completion Report on overall R&BD Wings Development Program | Task 5 | End of month 30 | 7 | 4% |
| | Completion Report on GERI Development Strategy and planning for implementation | Task 6 | End of month 32 | 7 | 4% |
| | Task 7 Completion Report on ESC Development Strategy and implementation planning | Task 7 | End of month 34 | 7 | 4% |
| | Post-Task (initial) Implementation Assistance (Tasks 5, 6 & 7 only – subject to affirmative GOG decisions on Study recommendations) Task-5 Completion Report comprehensively documenting the overall R&BD Wings' Development Program , its constituent Plans and the main features of the agreed implementation, monitoring and management arrangements, | Out put | End-of-Task/s timing, above (as applicable) | N/A | (3 x 1% each) 3% |

Gujarat State Highway Project-II (GSHP-II)
Selection Of Consulting Services For Road Sector Policy &
Institutional Development Studies & Action Planning

| | | | | | |
|---------------|---|------------|---|--------------|---------------------|
| | <p>Task-6 Completion Report 'package' detailing (at least) the finalized GERI Strategy, sustainability actions and the implementation action and management arrangements, and the Development</p> <p>Tsk-7 Completion Report 'package' on the new ESC Mission, Development Strategy, plans for transition & implementation Steering, monitoring and management, 'change-management'</p> | Out put | End-of-Task/s timing, above (as applicable) | N/A | (3 x 1% each) 3% |
| | Draft 'Final Report' (DFR) | Reporting | End of month 35 | 7 | 4% |
| | Final Report (after Client response to DFR) | Reportinga | End of month 36 | 10 | 6% |
| | | | | Total | 100% |
| 41.2.1 | Not applicable | | | | |
| 41.2.4 | <p>The accounts are:</p> <p>for foreign currency: <i>[insert account]</i>.</p> <p>for local currency: <i>[insert account]</i>.</p> | | | | |
| 42.1 | <p>The interest rate is: <i>9% per annum for Payment in INR.</i></p> <p><i>The interest rate is: LIBOR+1.5 % per annum for Payment in US\$</i></p> | | | | |

| | |
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| 45.1 | <p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> 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:</p> <p style="margin-left: 40px;">(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate international professional body, e.g., the Federation Internationale des Ingenieurs-Conseil (FIDIC) of Lausanne, Switzerland]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request</p> |
|-------------|---|

| | |
|--|--|
| | <p>of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate international appointing authority, e.g., the Secretary General of the Permanent Court of Arbitration, The Hague; the Secretary General of the International Centre for Settlement of Investment Disputes, Washington, D.C.; the International Chamber of Commerce, Paris; etc.]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p> |
| | <p>2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> 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.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties]</i> or of the Government's country. For the purposes of this Clause,</p> |

| | |
|--|--|
| | <p>“home country” means any of:</p> <ul style="list-style-type: none">(a) the country of incorporation of the Consultant [<i>If the Consultant consists of more than one entity, add: or of any of their members or Parties</i>]; 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. |
| | <p>5. <u>Miscellaneous</u>. In any arbitration proceeding hereunder:</p> <ul style="list-style-type: none">(a) proceedings shall, unless otherwise agreed by the Parties, be held in _____(b) the <i>English</i> language shall be the official language for all purposes; and(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement. |

IV. Appendices

APPENDIX A – TERMS OF REFERENCE

[This Appendix shall include the final Terms of Reference (TORs) worked out by the Client and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Client’s input, including 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.

Should these representations be found by the Client (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially

incomplete or inaccurate, the Client shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially incomplete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Client before any such modification, (i) the Client shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Client to the Consultants, the Consultants shall reimburse to the Client any excess payment within thirty (30) days of receipt of a written claim of the Client. Any such claim by the Client for reimbursement must be made within twelve (12) calendar months after receipt by the Client of a final report and a final statement approved by the Client in accordance with Clause GCC 45.1(d) of this Contract.”]

Model Form I
Breakdown of Agreed Fixed Rates in Consultant's Contract

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

(Expressed in [insert name of currency])*

| 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: _____

APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE

[See Clause GCC 41.2.1 and SCC 41.2.1]

Bank Guarantee for Advance Payment

_____ *[Bank's Name, and Address of Issuing Branch or Office]*

Beneficiary: _____ *[Name and Address of Client]*

Date: _____

ADVANCE PAYMENT GUARANTEE No.: _____

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") as entered into Contract No. _____ *[reference number of the contract]* dated _____ with you, 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 _____ *[amount in figures]* (_____) *[amount in words]* is to be made against an advance payment guarantee.

At the request of the Consultant, we _____ *[name of bank]* hereby irrevocably undertake to pay you any sum or sums not exceeding in total an amount of _____ *[amount in figures]* (_____) *[amount in words]*¹ upon receipt by us of your first demand in writing accompanied by a written statement stating that the Consultant are in breach of their obligation under the Contract because the Consultant have 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 copies of certified monthly statements which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the monthly payment certificate indicating that the Consultant has made full repayment of the amount of the advance payment, or on the day of , 2 ,²

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.

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, ICC Publication No. 458.

[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.

Annexure-I

| Key Personnel | Tasks Expected to Require Input | Inputs* (person-months) |
|--|--|--------------------------------|
| Roads Management Specialist & Team Leader (TL) | All | 30 |
| Business Process Reform & Management Specialist & Deputy TL | 1, 2, 5, 6, 7 | 24 |
| Domain Specialist (Public Sector, State & National) | All | 12 |
| Senior Highways Engineer (Planning & Management) | 1, 2, 3, 4 | 12 |
| Transport Planning (Road Infrastructure) Specialist | 1, 3, 4, 5 | 6 |
| Transport Economics (Road Infrastructure) Specialist | 3, 4, 5 | 4 |
| GIS Applications Specialist | 3, 4, 5 | 4 |
| Quality Assessment & Materials Testing Specialist | 5, 6, 7 | 6 |
| PPP / PSP (Development & Management) Specialist | 1, 3, 4 | 6 |
| Financial Planning & Management Specialist | All | 6 |
| Performance Management (incl. M&E) Specialist | 2, 5, 6, 7 | 12 |
| Senior Training & HRD (Planning) Specialist | All | 12 |
| Change-Management (Training & Support) Specialist | All | 9 |
| Communications (Media / Web / Intranet) Specialist | All | 6 |
| Legislative / Statutory Drafting Specialist | All but 2 & 4 | 6 |
| Estimated Total 'Key Personnel' Inputs Over Assignment Period | | 155 |
| * <i>These estimated person-month inputs are indicative only. Interested consultants will need to make their own determination of the nature and quantum of inputs required to perform these services.</i> | | |

Annexure- II
Illustration of Deduction on Replacement of Foreign / Local staff

(Rs. In Lacs)

| | Particular | Amount | Deduction | Remarks |
|---|---|---------------|------------------|-----------------|
| | Total contract value | 120 Lac | | |
| | remuneration of foreign and local staff | 72 Lac | | |
| | Total assignment period | 36 Month | | |
| | Deduction | | | |
| | Average remuneration of foreign and local staff / month | 2 Lac | | |
| A | Deduction of 1 % of average remuneration of foreign and local staff on every month on 4th replacement at 9th month | 0.02 Lac | | 4th replacement |
| | Total deduction due to 4th replacement (up to 36 month) (0.02*28) | | 0.56 Lac | |
| B | Deduction of 2 % of average remuneration of foreign and local staff on every month on 5th replacement at 13th month | 0.04 Lac | | 5th replacement |
| | Total deduction due to 5th replacement (up to 36 month) (0.04*24) | | 0.96 Lac | |
| C | Deduction of 3 % of average remuneration of foreign and local staff on every month on 6th replacement at 15th month | 0.06 Lac | | 6th replacement |
| | Total deduction due to 5th replacement (up to 36 month) (0.06*22) | | 1.32 Lac | |
| D | Deduction of 4 % of average remuneration of foreign and local staff on every month on 7th replacement at 18th month | 0.08 Lac | | 7th replacement |
| | Total deduction due to 6th replacement (up to 36 month) (0.08*18) | | 1.44 Lac | |
| | Total deduction | | 4.28 Lac | |

Note:-

1. *Such type of deduction shall be made up to 3rd replacement such deducted amount will be with held up to final bill, if total number of replacement does not exceed 3*
2. *Such type of deduction shall be made for each replacement from 4th replacement up to maximum 5% of contract value (INR) i.e up to 6 Lac*