

# **Request for Proposals**



## **Selection of Consultants**

**for**

**Risk Assessment and Disaster Management Plan for National  
Waterway-1**

**CANW-1/JMV/IWAI/36**

**November-2017**



**SELECTION OF CONSULTANTS**

**REQUEST FOR PROPOSALS**

**RFP No.: CANW-1/JMV/IWAI/36**

**Selection of Consulting Services for: Risk Assessment and Disaster  
Management Plan for National Waterway-1**

**Client: Inland Waterways Authority of India, Ministry of Shipping,  
Government of India**

**Country: INDIA**

**Project: Capacity Augmentation of National Waterway – 1 (Jal Marg  
Vikas)**

**Issued on: November / 2017**



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## PART I

### Section 1. Letter of Invitation

**RFP No. CANW-1/JMV/IWAI/36**  
Noida, 14/11/2017

**Loan/Credit/Grant No. N/A**

Dear Mr. /Ms.:

1. The Government of India (hereinafter called “Borrower”) has applied for financing from the International Bank for Reconstruction and Development (IBRD) (the “Bank”) in the form of a “loan” (hereinafter called “loan” toward the cost of Capacity Augmentation of National Waterway – 1 (Jal Marg Vikas). The Inland Waterways Authority of India *on behalf of the Government of India*, intends to apply a portion of the proceeds of this loan to eligible payments under the contract for which this Request for Proposals is issued. Payments by the Bank will be made only at the request of the Government of India and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the loan<sup>1</sup> 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 Client now invites proposals to provide the following consulting services (hereinafter called “Services”): for Risk Assessment and Disaster Management Plan for National Waterway-1. More details on the Services are provided in the Terms of Reference (Section 7).
3. This Electronic Request for Proposals (RFP) has been addressed to the following shortlisted Consultants:
  1. Arkitechno Consultants (India) Pvt. Ltd.
  2. EQMS Infrastructure Group (Unit of EQMS India Pvt. Ltd.)
  3. Indian Register of Shipping
  4. KITCO Ltd.
  5. Marine Corporation of India (Anand Ship Care Institute Pvt. Ltd.)
4. It is not permissible to transfer this invitation to any other firm.
5. A firm will be selected under QCBS procedures and in a Full Technical Proposal (FTP) format as described in this RFP, in accordance with the policies of the Bank detailed in

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<sup>1</sup>[ “loan agreement” term is used for IBRD loans; “financing agreement” is used for IDA credits; and “grant agreement” is used for Recipient-Executed Trust Funds administered by IBRD or IDA]

the Consultants' Guidelines which can be found at the following website:  
[www.worldbank.org/procure](http://www.worldbank.org/procure).

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)

6. This RFP is available online at <https://eprocure.gov.in/eprocure/app> for the short-listed consultants only. The short-listed consultants are required to register on this website at no cost and prior to the submission of proposals. Consultant is also required to have a Digital Signature (DSC) from one of the Government of India authorized Certifying Authorities in order to submit a proposal on line at the web address indicated above. The list of the authorized Certifying Authorities can be found at [www.cca.gov.in](http://www.cca.gov.in).
7. Please inform us by 23/11/2017, in writing at Project Management Unit, Capacity Augmentation of the National Waterway – 1 Project (Jal Marg Vikas) Inland Waterways Authority of India (Ministry of Shipping, Government of India) Head Office: A-13, Sector – 1, Noida - 201301, by facsimile: +91 120 2543976, or by E-mail: [vc.iwai@nic.in](mailto:vc.iwai@nic.in) and [samir@iwai.gov.in](mailto:samir@iwai.gov.in):
  - (a) 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 Clause 17 of the ITC.

Yours sincerely,

Project Director, Project Management Unit and  
Vice Chairman, Inland Waterways Authority of India

## Section 2. Instructions to Consultants and Data Sheet

### A. General Provisions

#### 1. Definitions

- (a) “Affiliate(s)” means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.
- (b) “Applicable Guidelines” means the policies of the Bank governing the selection and Contract award process as set forth in this RFP.
- (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.
- (d) “Bank” means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).
- (e) “Borrower” means the Government, Government agency or other entity that signs the loan<sup>2</sup> agreement with the Bank.
- (f) “Client” means the implementing agency that signs the Contract for the Services with the selected Consultant.
- (g) “Consultant” means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.
- (h) “Contract” means a legally binding written agreement signed between the Client and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices).
- (i) “Data Sheet” means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific country and assignment conditions to supplement, but not to over-write, the provisions of the ITC.
- (j) “Day” means a calendar day.

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<sup>2</sup>[“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]

- (k) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).
- (l) “Government” means the government of the Client’s country.
- (m) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.
- (n) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant’s proposal.
- (o) “ITC” (this Section 2 of the e-RFP) means the Instructions to Consultants that provides the shortlisted Consultants with all information needed to prepare their Proposals.
- (p) “LOI” (this Section 1 of the e-RFP) means the Letter of Invitation being sent by the Client to the shortlisted Consultants.
- (q) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.
- (r) “Proposal” means the Technical Proposal and the Financial Proposal of the Consultant.
- (s) “RFP” means the Request for Proposals to be prepared by the Client for the electronic selection of Consultants, based on the SRFP.
- (t) “SRFP” means the trial version of Standard Request for Proposals for the use in electronic procurement issued by the Bank, which must be used by the Client as the basis for the preparation of the RFP.

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

## 2. Introduction

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**.

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

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

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

## 3. Conflict of Interest

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

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

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

**a. Conflicting activities**

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

**b. Conflicting assignments**

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

**c. Conflicting relationships**

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

**4. Unfair Competitive Advantage**

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

**5. Corrupt and Fraudulent Practices**

5.1 The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section 6.

5.2 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:

**a. Sanctions**

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**.

**b. Prohibitions**

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

- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country, provided that the Bank is satisfied that such exclusion does not preclude effective competition for the provision of Services required; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

**c. Restrictions for Government-owned Enterprises**

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 influence or control over it.

**d. Restrictions for public employees**

6.3.4 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts 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

(i) are on leave of absence without pay, or have resigned or retired;

(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 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

(iii) their hiring would not create a conflict of interest.



## **B. Preparation of Proposals**

7. **General Considerations** 7.1 In preparing the Proposal, the Consultant is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.
8. **Cost of Preparation of Proposal** 8.1 The Consultant shall bear all costs associated with the preparation and submission of its Proposal, and the Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Consultant.
9. **Language** 9.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Consultant and the Client, shall be written in the language(s) specified in the **Data Sheet**.
10. **Documents Comprising the Proposal** 10.1 The Proposal shall comprise the documents and forms listed in the **Data Sheet**.
- 10.2 If specified in the **Data Sheet**, the Consultant shall include a statement of an undertaking of the Consultant to observe, in competing for and executing a contract, the Client country's laws against fraud and corruption (including bribery).
- 10.3 The Consultant shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).
11. **Only One Proposal** 11.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude Sub-consultant, or the Consultant's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the **Data Sheet**.
12. **Proposal Validity** 12.1 **The Data Sheet** indicates the period during which the Consultant's Proposal must remain valid after the Proposal submission deadline.

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

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

**a. Extension of Validity Period**

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, by notifying all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals' validity. Mode of notifications is specified in the **Data Sheet**.

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.

12.6 The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.

**b. Substitution of Key Experts at Validity Extension**

12.7 If any of the Key Experts become unavailable for the extended validity period, the Consultant shall 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.

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.

**c. Sub-Contracting**

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

**13. Clarification and Amendment of RFP**

13.1 The Consultant may request an online clarification of any part of the RFP during the period and in accordance with the procedure indicated in the **Data Sheet** before the Proposals' submission deadline. The Client will respond online by uploading

the response on portal, (including an explanation of the query but without identifying its source) for information of all shortlisted Consultants. Should the Client deem it necessary to amend the e-RFP as a result of a clarification, it shall do so following the procedure described below:

13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment online in accordance with procedure described in Data Sheet The amendment shall be binding on all short listed consultants.

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

13.2 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline, online, in accordance with the procedure described in the **Data Sheet** No modifications to the Technical or Financial Proposal shall be accepted after the deadline.

**14. Preparation of Proposals – Specific Considerations**

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

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

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

14.1.3 If stated in the **Data Sheet**, the Consultant shall include in its Proposal at least the same time input (in the same unit as indicated in the **Data Sheet**) of Key Experts,

failing which the Financial Proposal will be adjusted for the purpose of comparison of proposals and decision for award in accordance with the procedure in the **Data Sheet**.

14.1.4 For assignments under the Fixed-Budget selection method, the estimated Key Experts' time input is not disclosed. Total available budget, with an indication whether it is inclusive or exclusive of taxes, is given in the **Data Sheet**, and the Financial Proposal shall not exceed this budget.

**15. Technical Proposal Format and Content**

15.1 The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.

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

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

**16. Financial Proposal**

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

**a. Price Adjustment**

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

**b. Taxes**

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

**c. Currency of Proposal**

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

**d. Currency of Payment**

16.5 Payment under the Contract shall be made in the currency or currencies in which the payment is requested in the Proposal.

### C. Submission, Opening and Evaluation

- 17. Submission, of Proposals**
- 17.1 The Consultant shall submit a digitally signed, encrypted and complete Proposal comprising the documents and forms in accordance with Clause 10 (Documents Comprising Proposal). The submission can be done electronically through the website and in accordance with the procedures specified in the **Data Sheet**. Proposals submitted by any other means will be rejected.
- 17.2 An authorized representative of the Consultant shall digitally sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal. The authorization shall be in the form of a written power of attorney scanned and uploaded together with the Technical Proposal.
- 17.2.1 In case of a Joint Venture, submission letters shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a written power of attorney signed by each member's authorized representative. The submission letters and the power of attorney shall then be scanned and uploaded together with the Technical Proposal
- 17.3 Consultants should be aware that the electronic procurement system does not allow for any interlineations, erasures, or overwriting. Any modifications or revisions to the Proposal shall be done in accordance with Clause ITC 13.2.
- 17.4 The Proposal or its modifications must be uploaded on the portal no later than the deadline indicated in the **Data Sheet**, or any extension to this deadline. The electronic system will not accept any Proposal or its modification for uploading after the deadline.
- 17.5 Once the Proposal is uploaded on the portal, the system will generate a unique identification number with the stamped submission time. The unique identification number with the time stamp represents an acknowledgement of the Proposal submission. Any other system's functionality requirements are specified in the **Data Sheet**.
- 18. Confidentiality**
- 18.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultant should not contact the Client

on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Consultants who submitted the Proposals or to any other party not officially concerned with the process, until the publication of the Contract award information.

18.2 Any attempt by shortlisted Consultants or anyone on behalf of the Consultant to influence improperly the Client in the evaluation of the Proposals or Contract award decisions may result in the rejection of its Proposal, and may be subject to the application of prevailing Bank's sanctions procedures.

18.3 Notwithstanding the above provisions, from the time of the Proposals' opening to the time of Contract award publication, if a Consultant wishes to contact the Client or the Bank on any matter related to the selection process, it should do so only in writing.

**19. Online Opening of Technical Proposals**

19.1 The Client's evaluation committee shall conduct the opening of the Technical Proposals online immediately after the Proposals' submission deadline and following the procedure described in the **Data Sheet**. The folder with the Financial Proposal shall remain unopened, encrypted and shall be securely stored on the portal.

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

**20. Proposals Evaluation**

20.1 Subject to provision of 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.

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.

- 21. Evaluation of Technical Proposals**
- 21.1 The Client’s evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet**. Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated in the **Data Sheet**.
- 22. Financial Proposals for QBS**
- 22.1 Following the ranking of the Technical Proposals, when the selection is based on quality only (QBS), the top-ranked Consultant is invited to negotiate the Contract.
- 22.2 If Financial Proposals were invited together with the Technical Proposals, only the Financial Proposal of the technically top-ranked Consultant is opened by the Client’s evaluation committee. All other Financial Proposals are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed.
- 23. Online Opening of Financial Proposals (for QCBS, FBS, and LCS methods)**
- 23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score by sending a notification through the means indicated in the **Data Sheet**. The notification shall also include Consultant’s overall technical score, as well as scores obtained for each criterion and sub-criterion. Financial Proposals of those Consultants whose Technical Proposals did not meet the minimum qualifying score shall not be opened. In such case, a notification to that effect will be sent to the Consultant. The Client shall simultaneously notify those Consultants that have achieved the minimum overall technical score and inform them of the date, time and, if indicated in the **Data Sheet**, location for online opening of the Financial Proposals. The Consultant’s attendance at the opening of the Financial Proposals (online, or in person, if such option is indicated in the **Data Sheet**) is optional and is at the Consultant’s choice. If the Data Sheet provides an option of attending in person, the opening date should allow the Consultants sufficient time to make arrangements for attending the opening.
- 23.2 The Financial Proposals shall be opened online by the Client’s evaluation committee as described in data sheet. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud first and recorded online simultaneously. The Financial Proposals shall be then opened, the total prices read aloud and

recorded online simultaneously. The records of the opening shall remain on the portal for the information of the Consultants who submitted Proposals and the Bank unless the **Data Sheet** provides for other means of sending notifications and the results of the financial opening.

**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 e-RFP, the e-procurement system automatically calculates the amount in words from the amount in figures and automatically calculates the total amount. 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. The evaluation committee will also adjust the prices if they fail to reflect all inputs included for the respective activities or items in the Technical Proposal.

**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 ITC25 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**.



**27. Combined Quality  
and Cost Evaluation**

**a. Quality- and  
Cost-Based  
Selection (QCBS)**

27.1 In the case of QCBS, the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the **Data Sheet**. The Consultant 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**

**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. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.

**c. Financial negotiations**

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

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

28.8 In the case of a Time-Based contract, unit rates negotiations shall not take place, except when the offered Key Experts and Non-Key Experts' remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Client may ask for clarifications and, if the fees are very high, ask to change the rates after consultation with the Bank.

The format for (i) providing information on remuneration rates in the case of Quality Based Selection; and (ii) clarifying remuneration rates' structure under Clause 28.8 above, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.

## **29. Conclusion of Negotiations**

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

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

## **30. Award of Contract**

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; promptly notify the other shortlisted Consultants and publish the award information as per the instructions in the **Data Sheet**.

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

## Instructions to Consultants

### E. Data Sheet

<b>A. General</b>	
<b>ITC Clause Reference</b>	
<b>1 (c)</b>	India
<b>2.1</b>	<p><b>Name of the Client:</b> Inland Waterways Authority of India, Ministry of Shipping, Government of India</p> <hr/> <p><b>Method of selection:</b> Quality and Cost Based Selection as per</p> <p><b>Applicable Guidelines:</b> Selection and Employment of Consultants under IBRD Loans and IDA Credits &amp; Grants by World Bank Borrowers, dated January 2011 revised July, 2014 available on <a href="http://www.worldbank.org/procure">www.worldbank.org/procure</a></p>
<b>2.2</b>	<p><b>Financial Proposal to be submitted together with Technical Proposal:</b> Yes</p> <p><b>The name of the assignment is:</b> Risk Assessment and Disaster Management Plan for National Waterway-1</p>
<b>2.3</b>	<p><b>A pre-proposal conference will be held:</b> Yes Date of pre-proposal conference: 23/11/2017 Time: 1500 hrs Address: A-13, Sector-1, Noida, UP – 201301, India Telephone: 0120- 2544004 <i>Facsimile: +91 1202543976 E-mail: <a href="mailto:vc.iwai@nic.in">vc.iwai@nic.in</a></i> Contact person/conference coordinator: <i>Shri Pravir Pandey</i> <i>Project Director, Project Management Unit</i></p>
<b>2.4</b>	<b>The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals:</b> N/A
<b>4.1</b>	N/A
<b>6.3.1</b>	<b>A list of debarred firms and individuals is available at the Bank's external website:</b> <a href="http://www.worldbank.org/debarr">www.worldbank.org/debarr</a>

<b>B. Preparation of Proposals</b>	
<b>9.1</b>	<p><b>This RFP has been issued in the English language.</b></p> <p><b>Proposals shall be submitted in English language.</b></p> <p><b>All correspondence exchange shall be in English language.</b></p>
<b>10.1</b>	<p><b>The Proposal shall comprise the following:</b></p> <p><b><u>For FULL TECHNICAL PROPOSAL (FTP):</u></b></p> <p><b>1<sup>st</sup> Inner Envelope with the Technical Proposal:</b></p> <ol style="list-style-type: none"> <li>(1) Power of Attorney to sign the Proposal</li> <li>(2) TECH-1 (Technical Proposal Submission Form)</li> <li>(3) TECH-2 (Consultant's Organization and Experience)</li> <li>(4) TECH-3 (Comments and Suggestions)</li> <li>(5) TECH-4 (Approach &amp; Methodology and Work Plan)</li> <li>(6) TECH-5 (Work Schedule and Planning for deliverables)</li> <li>(7) TECH-6 (Team composition, assignment, and key experts' inputs)</li> <li>(8) TECH-7 Code of Conduct (ESHS) <i>[The Consultant shall submit the Code of Conduct that will apply to the Consultant's Key Experts and Non-Key Experts, to ensure compliance with good Environmental, Social, Health and Safety (ESHS) practice. In addition, the Consultant shall submit an outline of how this Code of Conduct will be implemented. The successful Consultant shall be required to implement the agreed Code of Conduct upon contract award.]</i></li> </ol> <p>AND</p> <p><b>2<sup>nd</sup> Inner Envelope with the Financial Proposal (if applicable):</b></p> <ol style="list-style-type: none"> <li>(1) FIN-1 (Financial Proposal Submission Form)</li> <li>(2) FIN-2 (Summary of Costs)</li> <li>(3) FIN-3 (Breakdown of Remuneration)</li> <li>(4) FIN-4 (Breakdown of Reimbursable expenses)</li> <li>(5) Statement of Undertaking (if required under Data Sheet 10.2 below)</li> </ol>
<b>10.2</b>	<p><b>Statement of Undertaking is required</b></p> <p>Yes</p>
<b>11.1</b>	<p><b>Participation of Key Experts and Non-Key Experts in more than one Proposal is permissible</b></p>

	Yes
<b>12.1</b>	<b>Proposals must remain valid for 120 calendar days after the proposal submission deadline.</b>
<b>12.4</b>	<i>The Consultants shall be notified about the validity extensions by email.</i>
<b>13.1</b>	<p><b>Clarifications may be requested till the pre-proposal conference date as mentioned above in 2.3</b></p> <p><b>All requests for clarifications shall be made online through the portal <a href="https://eprocure.gov.in/eprocure/app">https://eprocure.gov.in/eprocure/app</a></b></p> <p><b>Clarifications sent through any other medium shall not be accepted.</b></p>
<b>13.2</b>	<p><b>The process of submitting modifications online shall be:</b></p> <p><b>All the clarifications required from the consultants shall be uploaded on the portal within the deadline for submission of the clarifications.</b></p> <p><b>The consultant shall submit the modifications on the portal in the manner as explained in 17.1 below</b></p>
<b>14.1.1</b>	<p><b>Shortlisted Consultants may associate with</b></p> <p><b>(a) non-shortlisted consultant(s): Yes</b></p> <p><b>Or</b></p> <p><b>(b) other shortlisted Consultants: No</b></p>
<b>14.1.2</b> (do not use for Fixed Budget method)	<p><b>Estimated input of Key Experts' time-input: 27 person-months.</b></p> <p>Key Personnel – 27 man months</p>
<b>14.1.3</b> for time-based contracts only	Not applicable
<b>14.1.4 and 27.2</b>	Not applicable

use for Fixed Budget method	
<b>15.2</b>	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.
<b>16.1</b>	(1) <i>Cost of travel by the most appropriate means of transport and the shortest direct practicable route; under a ceiling of airfare being economy class; For local travel by road as INR 1600/- for hatchback and INR 2200/- for sedan; travel by rail is by 2nd Class AC.</i>  (2) <i>cost of office accommodation, including overheads and back-stop support;</i>  (3) <i>Communication costs;</i>  (4) <i>cost of reports production (including printing) and delivering to the Client;</i>
<b>16.2</b>	<b>A price adjustment provision applies to remuneration rates:</b> No
<b>16.3</b>	The client will only reimburse GST, as applicable. All other taxes and duties are to be borne by the consultant. <b>“Information on the Consultant’s tax obligations in the Client’s country can be found at Ministry of Finance website (<a href="http://www.finmin.nic.in">www.finmin.nic.in</a>)</b>
<b>16.4</b>	<b>The Financial Proposal shall be stated in the following currencies:</b>  Consultant may express the price for their Services in any fully convertible currency, singly or in combination of up to three foreign currencies.  ..... <b>The Financial Proposal should state local costs in the Client’s country currency (local currency): Yes</b>
<b>C. Submission, Opening and Evaluation</b>	
<b>17.1</b>	<b>The Consultants shall have the option of submitting their Proposals electronically by downloading them on the portal</b> <a href="https://eprocure.gov.in/eprocure/app">https://eprocure.gov.in/eprocure/app</a>

	<p><b><i>The electronic submission procedures shall be:</i></b></p> <p>The Bidder shall upload the bid on the e-Procurement Portal <a href="https://eprocure.gov.in/eprocure/app">https://eprocure.gov.in/eprocure/app</a> following the system described below.</p> <ol style="list-style-type: none"><li>1. Possession of valid Digital Signature Certificate (DSC) and enrolment / registration of the Bidder on the e-Procurement portal are prerequisites for Electronic submission of bid.</li><li>2. Bidder should do the enrolment in the e-Procurement site at <a href="https://eprocure.gov.in/eprocure/app">https://eprocure.gov.in/eprocure/app</a> as per option available on the home page. Portal enrolment is free of charge. During enrolment / registration, the Bidder should provide the correct / true information including valid e-mail ID; all related correspondence shall be made directly with the Bidder through e- mail ID provided by him.</li><li>3. Bidder needs to login to the site through its user ID / password chosen during enrolment / registration.</li><li>4. Then the Digital Signature Certificate (Class II or Class III Certificates with signing key usage) issued by the authorized Certifying Authority licensed by the Controller of Certifying Authorities, Government of India should be registered.</li><li>5. The DSC that is registered only should be used by the Bidder and he must ensure its security and confidentiality.</li><li>6. The bidder should download the required bidding documents and then moves it to the 'My Favourites' folder.</li><li>7. Bidder should go through the bidding documents carefully and prepare the required documents stipulated therein which are required to be submitted along with the bid electronically.</li></ol> <p>These documents could be in any of the formats, like PDF / xls / rar / jpg formats.</p> <p>The documents can be clubbed together and submitted in the required format. Size of each document to be uploaded online shall not exceed 2 MB.</p> <p>If the size of any document is more than 2MB, it may be reduced through zip / rar and the then uploaded.</p>
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	<p>8. For any queries regarding electronic bidding process, Bidders are advised to contact the Employer through any of the modes given below:</p> <p>E mail:- vc.iwai@nic.in, samir@iwai.gov.in,  Web Site:- www.iwai.gov.in  Tel. Nos: 0120- 2544004, Fax No. – 0120-2543976  In person: Shri. Pravir Pandey,  Vice Chairman (IWAI) &amp; Project Director  (Jal Marg Vikas Project)</p>						
<b>17.4</b>	<p><b>The Proposals must be submitted no later than:</b>  <b>Date:</b> 04/12/2017  <b>Time:</b> 15:00 Hour IST</p> <p>Consultants are required to ensure that following documents in original are submitted before the opening of technical proposals in the manner specified here under:</p> <ol style="list-style-type: none"> <li>Original Power of Attorney of the signatory of the Bid and documents submitted with the bid and also the Power of Attorney in favour of the partner-in-charge in case of the JV ( as applicable)</li> <li>Original Affidavit</li> </ol>						
<b>17.5</b>	<i>No other requirement</i>						
<b>19.1</b>	<p><b>An online option of the opening of the Technical Proposals is offered:</b>  Yes</p> <p><b>The opening shall take place at:</b>  same as the Proposal submission address</p> <p><b>Date:</b> 1 day after proposal submission deadline indicated in 17.4.  <b>Time:</b> 15:30 Hrs IST</p>						
<b>19.2</b>	No additional information						
<b>21.1</b> (for FTP)	<p>Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;"></th> <th style="text-align: right; width: 20%;"><u>Points</u></th> </tr> </thead> <tbody> <tr> <td>(i) <b>Specific experience of the Consultant (as a firm) relevant to the Assignment:</b></td> <td style="text-align: right;"><b>[15]</b></td> </tr> <tr> <td style="padding-left: 20px;">a) a minimum of 5 projects of similar nature to be submitted. Each project shall be awarded 3 marks.</td> <td style="text-align: right;"><b>[15]</b></td> </tr> </tbody> </table>		<u>Points</u>	(i) <b>Specific experience of the Consultant (as a firm) relevant to the Assignment:</b>	<b>[15]</b>	a) a minimum of 5 projects of similar nature to be submitted. Each project shall be awarded 3 marks.	<b>[15]</b>
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	<p><b>ii) Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs):</b> [30]</p> <p>a) Approach and methodology (15)  b) Work Plan (10)  c) Organization and staffing (5)</p> <p><i>[Notes to Consultant: the Client will assess whether the proposed methodology is clear, responds to the TORs, work plan is realistic and implementable; overall team composition is balanced and has an appropriate skills mix; and the work plan has right input of Experts]</i></p> <p><b>(iii) Key Experts’ qualifications and competence for the Assignment:</b>  <i>{Notes to Consultant: each position number corresponds to the same for the Key Experts in Form TECH-6 to be prepared by the Consultant}</i></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><i>Name</i></th> <th style="text-align: right;"><i>Points</i></th> </tr> </thead> <tbody> <tr> <td><i>a) Team Leader</i></td> <td style="text-align: right;"><i>[15]</i></td> </tr> <tr> <td><i>b) Disaster Risk assessment and mitigation expert</i></td> <td style="text-align: right;"><i>[8]</i></td> </tr> <tr> <td><i>c) Environmental Expert</i></td> <td style="text-align: right;"><i>[8]</i></td> </tr> <tr> <td><i>d) Hazardous risk assessment expert</i></td> <td style="text-align: right;"><i>[8]</i></td> </tr> <tr> <td><i>e) Navigation expert</i></td> <td style="text-align: right;"><i>[8]</i></td> </tr> <tr> <td><i>f) Occupational health and safety expert</i></td> <td style="text-align: right;"><i>[8]</i></td> </tr> </tbody> </table> <p style="text-align: right;"><b>Total points for criterion (iii):</b> [55]</p> <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> <ol style="list-style-type: none"> <li>1) General qualifications (general education, training, and experience): [10 %]</li> <li>2) Adequacy for the Assignment (relevant education, training, experience in the sector/similar assignments ) : [80%]</li> <li>3) Relevant experience in the region (working level fluency in local language(s)/knowledge of local culture or administrative system, government organization, etc. [10 %]</li> </ol> <p style="text-align: right;">Total weight: 100%</p> <p><b>Total points for the three criteria: 100</b></p>	<i>Name</i>	<i>Points</i>	<i>a) Team Leader</i>	<i>[15]</i>	<i>b) Disaster Risk assessment and mitigation expert</i>	<i>[8]</i>	<i>c) Environmental Expert</i>	<i>[8]</i>	<i>d) Hazardous risk assessment expert</i>	<i>[8]</i>	<i>e) Navigation expert</i>	<i>[8]</i>	<i>f) Occupational health and safety expert</i>	<i>[8]</i>
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	<p>.....</p> <p><b>The minimum technical score (St) required to pass is: 75</b></p>
<b>21.1</b> [for STP]	Not applicable
<b>23.1</b>	<p><b>An online option of the opening of the Financial Proposals is offered:</b> Yes.</p> <p>Following the completion of the evaluation of the Technical Proposals, the Client will notify all Consultants of the location, date and time of the public opening of Financial Proposals.</p>
<b>23.2</b>	<p><b>The online opening procedure shall be same as in ITB 23.2</b></p> <p><b>The procedure for notifying the Consultants on the results of the Financial opening shall be as following: same as in ITB 23.2</b></p> <p><i>If the Consultants choose to attend the financial proposal opening, it may be done by sending no more than 2 participants per consultant to the place of opening of financial proposals.</i></p>
<b>25.1</b>	<p>For the purpose of the evaluation, the Client will include basic cost and GST.</p> <p>For the purpose of the evaluation, the Client will exclude: (a) all taxes such as GST, or similar taxes levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in the Client's country. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant.</p>
<b>26.1</b>	<p><b>The single currency for the conversion of all prices expressed in various currencies into a single one is: INR (Indian Rupees)</b></p> <p><b>The official source of the selling (exchange) rate is:</b> <a href="https://www.rbi.org.in/">https://www.rbi.org.in/</a> (Reserve Bank of India)</p> <p><b>The date of the exchange rate is: 7 days prior to submission of Technical Proposal</b></p>
<b>27.1</b> (QCBS only)	<b>The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.</b>

	<p><b>The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:</b></p> <p><math>Sf = 100 \times Fm / F</math>, in which “Sf” is the financial score, “Fm” is the lowest price, and “F” the price of the proposal under consideration.</p> <p><b>The weights given to the Technical (T) and Financial (P) Proposals are:</b>  <b>T = 80, and</b>  <b>P = 20</b></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 = 100) as following: <math>S = St \times T\% + Sf \times P\%</math>.</p>
	<b>D. Negotiations and Award</b>
<b>28.1</b>	<p><b>Expected date and address for contract negotiations:</b>  <b>Date:</b> 20/12/2017  <b>Address:</b> IWAI Office, A-13, Sector – 1, Noida – 201301, Uttar Pradesh, India</p>
<b>30.1</b>	<p><b>The publication of the contract award information following the completion of the contract negotiations and contract signing will be done as following: <a href="http://www.iwai.nic.in">www.iwai.nic.in</a></b></p> <p>The publication will be done within <b>14 days after the contract signing.</b></p>
<b>30.2</b>	<p><b>Expected date for the commencement of the Services:</b>  <b>Date:</b> 21/12/2017  a.</p>

## Section 3. Technical Proposal – Standard Forms

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

### CHECKLIST OF REQUIRED FORMS

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

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

## FORM TECH-1

### TECHNICAL PROPOSAL SUBMISSION FORM

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{Location, Date}

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To: Project Director,  
Project Management Unit,  
Capacity Augmentation of the National Waterway – 1 Project (Jal Marg Vikas),  
Inland Waterways Authority of India,  
(Ministry of Shipping, Government of India)  
Head Office: A-13, Sector – 1, Noida – 201301, India

Dear Sirs:

We, the undersigned, offer to provide the consulting services for “Risk Assessment and Disaster Management Plan for National Waterway-1” in accordance with your Request for Proposals dated 14/11/2017 and our Proposal. “We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in 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 (FOR FULL TECHNICAL PROPOSAL ONLY)**

### **CONSULTANT’S ORGANIZATION AND EXPERIENCE**

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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**

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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.



<b>Duration</b>	<b>Assignment name/&amp; brief description of main deliverables/outputs</b>	<b>Name of Client &amp; Country of Assignment</b>	<b>Approx. Contract value (in US\$ equivalent)/ Amount paid to your firm</b>	<b>Role on the Assignment</b>
{ 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 mil }	{ e.g., Lead partner in a JV A&B&C }
{ e.g., Jan-May 2008 }	{ e.g., “Support to sub-national government.....” : drafted secondary level regulations on..... }	{ e.g., municipality of....., country }	{ e.g., US\$0.2 mil/US\$0.2 mil }	{ e.g., sole Consultant }

## **FORM TECH-3 (FOR FULL TECHNICAL PROPOSAL)**

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

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

#### **A - On the Terms of Reference**

{improvements to the Terms of Reference, if any}

#### **B - On Counterpart Staff and Facilities**

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

## FORM TECH-4 (FOR FULL TECHNICAL PROPOSAL ONLY)

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

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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(FOR FTP AND STP)**

**WORK SCHEDULE AND PLANNING FOR DELIVERABLES**

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

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



**FORM TECH-6(FOR FTP AND STP)**

**TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS’ INPUTS**

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

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)**

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

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

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

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

**Membership in Professional Associations and Publications:**

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**Language Skills (indicate only languages in which you can work):** \_\_\_\_\_

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**Adequacy for the Assignment:**

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

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

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available 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



## **FORM TECH-7**

*[Note to Client: include this requirement for supervision of civil works contracts.]*

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

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

1. *[the Terms of Reference described in Section 7];*
2. *[Environmental and Social Impact Assessment (ESIA)];*
3. *[Environmental and Social Management Plan (ESMP)];*
4. *[Consent Conditions (regulatory authority conditions attached to any permits or approvals for the project)]; and*
5. *[specify any other relevant document/s]*

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## **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”
- FIN-4 Breakdown of Reimbursable expenses

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

{Location, Date}

To: Project Director,  
Project Management Unit,  
Capacity Augmentation of the National Waterway – 1 Project (Jal Marg Vikas),  
Inland Waterways Authority of India,  
(Ministry of Shipping, Government of India)  
Head Office: A-13, Sector – 1, Noida – 201301, India

Dear Sirs:

We, the undersigned, offer to provide the consulting services for “Risk Assessment and Disaster Management Plan for National Waterway-1” in accordance with your Request for Proposal dated 14/11/2017 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 {In full and initials}: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

In the capacity of: \_\_\_\_\_

Address: \_\_\_\_\_

E-mail: \_\_\_\_\_

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

**FORM FIN-2 SUMMARY OF COSTS**

Item	Cost			
	{Consultant must state the proposed Costs in accordance with Clause 16.4 of the Data Sheet; delete columns which are not used}			
	{Insert Foreign Currency # 1}	{Insert Foreign Currency # 2, if used}	{Insert Foreign Currency # 3, if used}	{Insert Local Currency, if used and/or required (16.4 Data Sheet)}
<b>Cost of the Financial Proposal</b>				
Including:				
(1) Remuneration				
(2) Reimbursables				
<b>Total Cost of the Financial Proposal:</b> {Should match the amount in Form FIN-1}				
<b>Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded</b>				
(i) GST				
<u>Total Estimate for Indirect Local Tax:</u>				

**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

<b>A. Remuneration</b> _____								
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}
<b>Key Experts</b> _____								
K-1			[Home]					
			[Field]					
K-2								
<b>Non-Key Experts</b> _____								
N-1			[Home]					
N-2			[Field]					
<b>Total Costs</b>								

**FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES**

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

B. Reimbursable Expenses								
N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	{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 reports}				_____			
	{e.g., Office rent}				_____			
	.....				_____			
	{Training of the Client’s personnel – if required in TOR}				_____			
Total Costs								

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

---

## Section 5. Eligible Countries

**In reference to ITC6.3.2**, for the information of shortlisted Consultants, at the present time firms, goods and services from the following countries are excluded from this selection:

Under the ITC 6.3.2 (a): \_\_\_\_\_None\_\_\_\_\_

Under the ITC 6.3.2 (b): \_\_\_\_\_None\_\_\_\_\_



## **Section 6. 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**

1.23 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 party<sup>3</sup>;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation<sup>4</sup>;
- (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 party<sup>5</sup>;

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<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> 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.

- (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 party<sup>6</sup>;
- (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 procedures<sup>7</sup>, 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 nominated<sup>8</sup> sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

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<sup>6</sup>For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

<sup>7</sup> 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.

<sup>8</sup> 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.



**Terms of Reference**  
**For**  
**Risk Assessment and Disaster Management Plan for National Waterway-1**



## **EXECUTIVE SUMMARY**

Inland Waterways Authority of India (IWAI) is developing National Waterway-1 (NW-1) under the *Jal Marg Vikas Project*, with assistance from the World Bank. NW-1 refers to 1620 km Haldia-Allahabad stretch of River Ganga.

IWAI recognizes the need to preserve and protect human health and the natural environment from the ever-present risk of oil and chemical spills, accidents and other natural hazards. The movement of vessels along the inland waterways of the country (existing and proposed) may have impact on the natural environment and eco-system along rivers.

Therefore, it is critically important that precautionary and preventive measures are undertaken to avoid an emergency, including but not limited to, oil pollution in the first instance, as well as that, in the event of an emergency incident, prompt and effective action is essential in order to minimize the damage, which may result from such an incident. The importance of effective preparation for combating a wide spectrum of potential disaster incidents and the important role, which the inland water transport sector has in this regard cannot be overemphasized.

Therefore, as part of its commitment, a set of Terms of Reference (TOR) have been developed for the development of a Disaster Management Plan (DMP) to combat any eventualities of handling an emergency incident along NW-1.

The proposed study will assess the risks associated with ongoing and proposed cargo & passenger movement and other navigational activities through NW-1. The DMP will identify abatement measures towards developing a proposal for integration of IWT related disasters into existing District Disaster Management Plan (DDMP) in line with the wider National Disaster Management Plan along with identifying best management practices and international standards applicable to NW-1.

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## 1. Project Background

Inland Waterways Authority of India (IWAI) is a statutory body under Ministry of Shipping, Govt. of India. IWAI is primarily responsible for development, maintenance and regulation of Inland Water Transport (IWT) in the country specifically on National Waterways. In this context, the Ganga-Bhagirathi-Hooghly river system from Allahabad to Haldia has been declared as National Waterway-I (NW-I). It is a natural waterway of about 1620 km in length and passes through the states of Uttar Pradesh, Bihar, Jharkhand and West Bengal. IWAI has proposed the Capacity Augmentation of navigational infrastructure of NW-I between Allahabad to Haldia with technical and financial assistance from the World Bank.

The Jal Marg Vikas Project (JMVP), with support from the World Bank, is aimed at creating the required infrastructure, connectivity and institutional support for market development on NW-1 focusing on the stretch between Haldia and Varanasi. The project will also contribute to (i) reducing the growth of transport-related greenhouse gas emissions by rebalancing the freight mode shares and by promoting a new and supplementary mode of transportation; (ii) national as well as international trade, and regional integration through the Indo-Bangladesh protocol route to and from Haldia/Kolkata, and thereafter by inland waterways and road transport to Nepal, Bhutan, and north-eastern Indian states; (iii) economic integration of West Bengal, Jharkhand, Bihar and Uttar Pradesh and augmentation with Eastern Dedicated Freight Corridor; (iv) socio-economic improvement of local communities and stakeholders by providing better connectivity along and between the north and south banks of river Ganga; (v) cheap and bulk passenger transport to the historical and religious places along the river Ganga; (vi) generation of employment opportunity; and (vii) improved safety and environmental protection in IWT minimizing the negative effects of water transport on the river environment.

## 2. Description of Jal Marg Vikas Project

The project area includes the entire reach of the River Ganga from Haldia to Varanasi including the areas proposed for development of project related facilities and infrastructure, i.e. Multimodal terminals, Navigation Ship Lock, Ro-Ro jetties and other planned developments. Map showing location of NW-1 stretch from Haldia to Allahabad is depicted in **Figure 1**. The following interventions have been proposed and planned under the Jal Marg Vikas Project.

- Construction of Multimodal Terminals at Varanasi, Sahibganj and Haldia.
- Construction of intermodal terminals at Ghazipur, Tribeni/ Kalyani and Kalughat.
- Construction of a new Navigational Lock at Farakka to facilitate rehabilitation of the existing lock and to allow two-way navigation by the vessels.
- Fairway development to provide the following LAD through maintenance dredging, river training works and re-engineering of river channel bends:
  - ✓ LAD of 3 m on Haldia-Barh stretch;
  - ✓ LAD of 2.5 m on Barh-Ghazipur stretch.
  - ✓ LAD of 2.2 m on Ghazipur-Varanasi stretch.
- Provision of Navigational Aids, such as channel markings, night navigational aids, including deployment of GPS, and river maps and charts for navigation.

- Provision of River Information System (RIS) and Vessel Traffic Management System (VTMS).
- Construction of Ro-Ro Jetties at ten suitable locations.
- Construction of Integrated Ship Repair and Maintenance Complexes at two locations. Likely locations are Kolkata and Patna, depending on availability of land.
- Bank protection works at the sites of the proposed new multimodal/intermodal terminals, existing ten terminals and jetties, Farakka Navigational Lock, Farakka Feeder Canal and Integrated Barge Repair & Maintenance Complexes.

The project also envisages the creation and improvement of integration opportunities with other surface transport modes such as roads and railways, so as to improve the overall efficiency of the logistics chain by linking the waterways through various well equipped terminals and jetties. The salient features of JMVP has been given in **Table 1**.

Cargo being transported on NW-1 includes cement, fly ash, iron ore, iron ore fines, coal, steel shed, tyres, iron fines, iron ingots, galvanized steel plain sheets, stone chips, furnace oil, high speed diesel, lube oil, boulders, pulses, aluminium block, sand, chips, ship block, food grains, Manganese ore, Petroleum, Coke, Cooking coal, Rock Phosphate, Timber, Peas, Slag oil, and Non-cooking coal. The fairway may also be used for transportation of hazardous goods on NW-1 and the vessels operating will be powered by LNG and/or carrying LNG. Traffic projections for the planned infrastructure site are given in **Table 1**.



Figure 1: Location Map of NW-1

**Table 1: Salient Features of Jal Marg Vikas Project**

<b>Salient Features</b>	<b>Capacity/Quantity/Nos.</b>			
Facilities Planned	3 Multi-modal terminal sites (Sahibganj, Varanasi &Haldia) 1 new Navigation lock- Farakka River bank protection works at planned terminal sites and along Feeder canal			
Facilities under Planning Stage	3 additional terminal sites (at Ghazipur & Kalughat-site finalized and at Tribeni-under consideration) 5 pair of ro-ro crossings Barge repair and maintenance facilities River training works River bank protection works at the proposed civil intervention sites			
Designed capacity of Terminals	Infrastructural Facility	Projected Cargo-2015 (MTPA)	Projected Cargo-2030 (MTPA)	Projected Cargo-2045 (MTPA)
	Sahibganj Terminal	2.24	4.39	9.00
	Varanasi Terminal (with current land)	0.54	1.22	1.22
	Haldia Terminal	3.18 MTPA		
Navigation Channel	Channel Width-45 m LAD-3 m from Haldia (0 Km) to Barh ( 980 Km) , 2.5 m from Barh to Ghazipur ( 1250 Km) and 2.2 m from Ghazipur to Varanasi ( 1360 Km)			
Design Vessel Specifications	Vessels of maximum length of 110 m, beam of 11.4 m, draught of 2.5 m-2.8 m and air draught of 9 m will be required in NW-1.			
Size of Vessels	1500-2000 dWT			
River Slope	Haldia to Farakka-1 in 11000 Farakka downstream-1 in 18000 Farakka to Allahabad-1 in 17,000			
Maintenance Dredging	Within Navigation Channel-14,850,000 cum/year*			
Type of Dredgers	Cutter Suction dredgers (CSD), Water Injection dredgers, Agitation/Plough dredgers and Back-hoe dredgers			
Dredge disposal	Preferably off-shore, onshore only if sediments are found to be contaminated			
Cargo being transported on NW-1 includes	Cement, fly ash, iron ore, iron ore fines, coal, steel shed, tyres, iron fines, iron ingots, galvanized steel plain sheets, stone chips, furnace oil, high speed diesel, lube oil, boulders, pulses, aluminium block, sand, chips, ship block, food grains, Manganese ore, Petroleum, Coke, Cooking coal, Rock Phosphate, Timber, Peas, Slag oil, and Non-cooking coal. The fairway may also be used for transportation of hazardous goods on NW-1 and the vessels operating will be powered by LNG and/or carrying LNG. Traffic projections for the planned infrastructure site			

\* Quantities are tentative and subject to change with revision in planning

### **3. Risk Assessment and Disaster Management – Treat and Responses**

Developing sustainable inland water transportation (IWT) requires transit risk analyses of waterways components and relationship between factors such as environmental conditions, vessel characteristics, operators' information about the waterway, as well as

the incidence of groundings and collisions, using available data. Data on the calamities in inland waterways are limited and consultant may need to source the relevant data from national and international database agencies. [References: (i) O.S. Olanrewaju (2013) *Apply Safety Risk and Reliability Analysis of Marine System*, Xlibris Corporation LLC. (ii) O. O.Sulaiman, A.S.A. Kader (2015) *Techniques of Safety and Environmental Risk and Reliability Modelling for Sustainable Inland Water Transportation System. Danubius*. <http://danube-cooperation.com>].

Damage to water transport occurs as a result of accidents, spills of oily water and low levels of protection at work. Apart from infrastructure impairment, it also creates hindrance and financial losses for waterway users. According to the statistics of the American Waterway Organization (AWO), most damage during the voyage on inland waterways is caused by human error. In order to reduce the damage and the number of accidents, the analysis of the occurrence of accidents on inland waterways and their possible causes is required.

A risk assessment should entail a careful examination of what, in the range of operations, could cause harm, with a view to deciding whether the precautions are adequate, or whether more should be done to minimise accidents. The risk assessment should first establish the hazards that are currently present on NW1 and then identify the significant risks arising out of expected short and long-term developments in waterways transport. The assessment should take into account any existing precautions to control the risk, such as permits to work, restricted access, use of warning signs, agreed procedures and personal protective equipment.

The consultant should develop protocols as per the national and international standards. The protocol shall have a decision making tree or matrices, a flowchart for action to be taken during emergency situations like oil spill, vessel – collisions, obstruction of waterways and any problem(s) during (un)loading.

Similarly, the plan shall also have a risk analyses for the onshore activities resulting from any day to day operations at terminals, besides an action plan for emergency response and abatement measures. These measures should be on the basis of permits and (E)IAs.

During operation phase where a number of vessels and barge movement is expected near the loading and unloading platforms, at least the following Off-Shore and On-Shore scenarios are envisaged and should be further elaborated:

**3.1 Off-Shore emergencies** such as major incident on-board a vessel such as fire, flooding or cargo related; collision between vessels or between a vessel and a fixed object; grounding and drowning of a Vessel; major oil spillage from a Vessel or Jetty; major oil spill at river or oil entering the bay from a source upriver; major incident involving small craft within the ports and terminals jurisdiction; security incident, involving vessels, which has the potential to escalate into an emergency situation. Special attention should be given to emergency protocols in case of groundings and collisions of or with passenger (cruise) vessels.

**3.2 On-Shore Emergencies** such as major fire; spill of oil and hazardous material.

Assessment of risks to waterway transport and infrastructure as a result of hydrological events, and natural and environmental disasters, such as:



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- 3.2.1 *Cyclone*: Cyclone originates in the Bay-of-Bengal which is most vulnerable to this type of hazards. It causes damage to terminal infrastructure, vessels/ships, jetties and launches/ boats etc.
  - 3.2.2 *Flood*: The monsoon rain and sometimes cyclone causes flood in the river which may create scouring of foundation of water front structures such as jetties, damages approach road. In case of extreme or high water discharge and extreme low water discharge, the consultant also needs to determine till what level on NW-1, safe navigation is guaranteed and at which water levels NW1 will need to be closed for commercial waterway transport.
  - 3.2.3 *Earthquake*: It may cause damages/collapses the terminal infrastructures and jetties according to its severity.
  - 3.2.4 *Tsunami or a tidal bore*: It may damage/ collapse terminal infrastructure, jetties, vessels/ships, launches/ boats etc.
  - 3.2.5 *Oil Spill*: It may pollute the water body which affects aquatic life, birds, animals, banks of the river.
  - 3.2.6 *Toxic cloud dispersion*
  - 3.2.7 *Emission flammable liquid*
  - 3.2.8 *Toxic contamination of surface water*

### **3.3 Purpose of Disaster Management Plan:**

- 3.3.1 Design contingency plan, taking into account the accident scenario and natural disasters;
- 3.3.2 Safeguard people to prevent injuries or loss of life by protecting them from the hazard and evacuating from the site on short notice or from the affected area;
- 3.3.3 Obtain early warning of emergency conditions so as to prevent or minimize the impact on human life, assets and environment, both offshore and onshore;
- 3.3.4 Minimise impact on people, protect the environment and safeguard commercial considerations;
- 3.3.5 Ensure immediate response to emergency situation with effective communication network and organized procedures;
- 3.3.6 Provide guidance (Do's and Don'ts, flowchart etc.) to help stakeholders to take appropriate action to reduce risks of accidents and to mitigate adverse effects of accidents that do nevertheless occur; and
- 3.3.7 Minimize overall impact of an adverse event on the waterway and associated infrastructure (including terminals, locks, weirs, bridges, etc).

The preparation of the Disaster Management Plan (DMP) is therefore an essential initiative in the Jal Marg Vikas Project to research, prepare, train and support the commitment of IWAI to strengthening good practices and sharing a common commitment in responses. IWAI is committed to integral mission, and this includes working alongside local communities to ensure the relationship and capacity is there to foster a united response.

### **3.4 Key Elements of Disaster Management Plan:**

- Identification and assessment of hazards is crucial for on-site emergency planning and it is therefore necessary to identify what emergencies could arise pertaining to the waterway and vessels in the navigable waters of NW-1 including various products / cargoes and their storage. Hazard analysis or consequence analysis gives the required results.
- Activities during emergencies require coordination of higher order than for planned activities carried out according to fixed time schedule or on a routine day-to-day basis. To effectively coordinate emergency response activities, an organizational approach to planning is required. The important areas of emergency planning are Organization and Responsibilities, Procedures, Communication, Transport, Resource requirements and Control Centre. Offsite emergency requires additional planning over and above those considered under onsite plans, which should be properly integrated to ensure better coordination.
- On-site Disaster Management Plan and Off-site Disaster Management Plan should be prepared for the activities / incidents anticipated during assessment.
- The emergency planning includes anticipatory action for emergency, maintenance and streamlining of emergency preparedness and ability for sudden mobilization of all forces to meet any calamity.

#### **4. Objective**

Objective of the study is to assess the risk associated with ongoing and proposed cargo & passenger movement and other navigational activities including maintaining fairway through NW-1 and identify abatement measures towards developing a proposal for integration of IWT related disasters into existing District Disaster Management Plan (DDMP). This should be in line with National Disaster Management Act, 2005 along with identifying best (management) practices and international standards applicable to waterways, ports and coastal shipping as far as possible and applicable.

The Emergency Preparedness and Response Strategy will outline the potential foreseeable emergency scenarios, classification, resources, incident command structure, and a documented emergency management plan encompassing prevention, control, recovery and remediation measures to deal with any emergency event that may occur within the project during construction and operation phase. The consultant should provide a clear overview of identified hazards and risks, including responsibilities of stakeholders in the level of response and communication protocols (e.g. by means of decision trees).

#### **5. Scope of Work**

The main objective of the present assignment is to prepare a detailed Disaster Management Plan for NW-1 in compliance with the recommended project.

The study will be made in two parts:

- (i) for the waterway activities (offshore)
- (ii) for the waterway activities (onshore) activities/interventions

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*(i.e., Jetties, terminals, RIS/DGPS stations, ship repair facilities, lock gate, other assets etc) for National Waterway -1.*

The consultant will evaluate each aspect of NW-1; independently based on its respective vulnerabilities to find and declare “**hot spots**” along NW-1 and will make a recommendation to the IWAI to identify the more promising development of the DMP, which will include allocation and stockpile of resources at the designated hot spots. For this project, the consultant will:

- i. Review and adopt the international standards used in the DMP for inland waterways;
- ii. Analyse the IWT operational profile of NW - 1 with respect to all potential cargo movement;
- iii. Risk Assessment:
  - a. Identify all HOT SPOT related risks under construction, operation and maintenance activities for NW-1;
  - b. Examine the stakeholders affected by these risks;
  - c. Determine retained and transferable risk; and quantify each risk.
- iv. Identify practically possible safeguard options for integration to IWT operational procedure, this shall include but not be limited to potential offshore & onshore emergencies during construction, maintenance & operation phase of the waterway, river/marine accidents like grounding, collisions, capsizing etc., oil spill disaster contingency plan along NW-1, including plan for hazardous goods and vessels operating and/or carrying LNG/CNG as define by law in India.
- v. Develop an emergency preparedness and response strategy which shall outline the potential foreseeable emergency scenarios, classification, resources, incident command structure and a management plan encompassing prevention, control, recovery and remediation measures to deal with any emergency event that may occur within the project during construction, maintenance & operation phases.
- vi. Preparation of Standard Operating Procedures (SOPs) in line with the Inland Vessels Acts, 1917 as amended from time to time.
- vii. Development and update of following protocol:
  - a. Protocol for speed control, monitoring, and vessel tracking.
  - b. Protocol of waste management for barge operations and terminals.
  - c. Biodiversity protection including accident reporting with aquatic mammals.
  - d. Oil spills reporting and control and remediation.
  - e. Hazardous chemicals as define by law in India.
  - f. Lessons learned and corrective actions programme.
  - g. Risk assessment procedures to assess and manage risks to personnel, vessels and the environment.
  - h. Internal and external audit procedures and frequency.
- viii. Delineate a methodology for integration of operational risk abetment measures to existing District Disaster Management Plan and coordinate with all nodal agencies on behalf of IWAI.
- ix. Formulate capacity building and training strategy for effective implementation of comprehensive Disaster Management Plan.
- x. The Disaster Management Plan for NW-1 shall lay down clear guidelines for execution of mock drills of the plans.

- xi. Validate the cost estimate for each segment of the DMP (i.e. infrastructure cost, equipment cost, and training cost) based on the information collected for the NW-1. If any relevant costs are missing in the studies, the consultant is responsible to make the proper estimates. The IWAI will facilitate the access of the consultant to the relevant documentation;
- xii. Confirm that each part of the DMP substantially complies with local, state and national international safety, environmental and social requirements, and if not, what additional steps need to be taken in this regard.
- xiii. The DMP for NW-1 therefore will cover all phases of a disaster and therefore will have three plans - Mitigation Plan, Preparedness Plan and Response Plan.
- xiv. Assistance of any statutory clearance/approvals for proposed Disaster Management Plan for NW-1.

## 6. Methodology

An indicative series of tasks as presented below shall be executed & covered under proposed study however all such works which needs to be executed in order to achieve IWAI's objective shall form part of scope of this assignment. The consultant shall adopt standard approach & methodology which will be evaluated based on IWAI's expectations and interactions for mutual agreement on way forward.

- **Task One:** Establish all types of emergencies, including but not limited to oil pollution contingencies, passenger vessel contingencies, local storms, grounding, dredging for which preparedness is necessary along NW-1. Subsequently plan the list of emergencies and accidents;
- **Task Two:** The emergencies concluded in task one will be applicable for and between the inland vessels and the cargo terminals along NW-1 as a consequences of (un)loading and other natural/manmade activities. Taking in to account such emergencies concluded in task one and suggest the regulatory aspect for the effective development and use of the Disaster Management Plan (DMP) so developed;
- **Task Three:** Completed a baseline assessment on the existing capacity of the waterway and terminals in disaster preparedness and ability to handle any emergency.
- **Task Four:** Baseline analysis and survey of identified high risk areas (HOT-SPOTS) along NW-1. Map the hot spots and the key hazards along with the stakeholders need to be engaged with.
- **Task Five:** Outline what capacity building interventions should be provided.
- **Task Six:** Prepare a plan on the basis of this assessment to augment the capacity in consultations with various stakeholder.

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- **Task Seven:** Design a project implementation plan [based on the Disaster Management (DM) proposal and baseline findings].
  - **Task Eight:** Capacity Building of stakeholders and awareness campaigns among local communities along NW-1:
    - Capacity and expertise to respond to emergencies and reduce the risk of disasters.
    - Capacity and ability to respond through an integral mission approach.
  - **Task Nine:** Promote and support the stakeholders to advocate for actions to reduction of risk and impact (link to disaster risk reduction) and improve the post disaster response and recovery management.
  - **Task Ten:** Promote and support learning, good practice and international quality standards in inland waterways disaster management.

**A. Some items to consider that could be included or mentioned more explicitly:**

- a) Prospective view of ongoing studies and expected innovations in calamity abatement and emergency response (technologies);
- b) Summary of the findings in the form of a ‘best practices’ overview, and first idea on possible implementation of innovative systems.

**B. The analysis will at least contain the following topics:**

- a. River Information Services
- b. Dynamic sensing
- c. Public information service platforms
- d. Analyses and protocols for transport of Dangerous goods ([https://www.unece.org/trans/danger/publi/adn/adn\\_e.html](https://www.unece.org/trans/danger/publi/adn/adn_e.html))

### ***6.1 Data Collection and Review of Operation***

Cargo movement through NW-1 system has various components playing key roles in operation including technical aspects of vessels, infrastructure facilities, transport of goods and people, operational management etc. Starting from the storage or transit of cargo at terminal, the risks should be identified for all activities associated with handling of cargo in the IWT terminals and through the waterways which include storage, loading and unloading and movement of all such cargo.

As an initial step towards the risk assessment, data related with the existing operational profile for IWT through NW1 shall be collected and analyzed which shall include but not be limited to the following:

- a) The channel details such as length, width, depth, traffic management and infrastructure facilities available.

- b) The existing user profile of NW-1 in terms of cargo and passenger vessels, time and operational aspects in detail.
- c) Other dependent activities in the project region viz. utilization of the water body for activities such as fisheries, irrigation/agricultural use, industrial purposes, tourism etc.
- d) Literature on the ecological and environmental setting of project region.
- e) Various rules & regulations at national and state level applicable for IWT and river sea vessels operation for safe and efficient transport.

***Outputs:***

- I. Understand the operational profile of NW-1 i.e., cargo and other dependent activities in detail.
- II. Understand the ecological and environmental sensitivity of project area.
- III. Advantages and limitations of utilizing waterway for proposed cargo movements considering the channel characteristics, operational profile and other water dependent activities in the project region.

***6.2 Detailing of the Cargo Movement***

Data related to cargo movement statistics including quantity, quality, origin-destination, types of vessels operation, time of operation, fleet time, etc. shall be collected and analyzed to understand the existing cargo movement pattern for NW-1. Physical characteristics of the cargo transported shall be collected along with details of vessels under operation. The cargo packaging, loading, transport and unloading practices shall be reviewed to understand the activity and identify the risk elements involved.

The expansion plans of the existing users for transport of cargo shall be collected in consultation with respect to their planned utilisation of NW-1. Socio economic profile of the project area along the proposed stretch shall also be collected from the secondary sources.

***Outputs:***

- ✓ Understand the existing and expected cargo movement pattern in detail — delineate the risk elements involved in the present operational profile.

***6.3 Risk Assessment and Proposal on Risk Abatement Measures***

Risk associated with cargo movement causing unreasonable damage or harm to property, the assets of IWAI/stakeholders, the environment/ causing death or injury to human life shall be analyzed in detail.

In order to analyse the risk involved in the movement of the cargo, the intrinsic properties of the cargo transported need to be studied carefully. The cargo characteristics shall be analysed for inter compatibility while transporting through the same channel to understand the safety gaps. The existing cargo characteristics and operation profile shall be compared with the proposed cargo movement pattern and based on the same, a comprehensive risk assessment study shall be commissioned.

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While conducting risk assessment for dangerous goods, it will be important to also consider the chemical and physical properties of goods and the critical activities and operations associated with their storage, handling and transportation.

***A. In order to understand the risks associated with the operation, detailed evaluation shall be carried out for:***

- a) Identifying the risk related to storage and transit at terminals and movement through IWT.
- b) For each risk the likelihood/probability of the same turning to an incident.
- c) Identifying extent of harm to people, property and environment that might result from Incident.

**B. The risk assessment would be carried out for**

- a) Channel related risks in river
- b) Cargo related risks
- c) Vessel related risks
- d) Maintenance dredging related risks

The channel characteristics can contribute for risks associated with operation due to limitations in channel width, depth and changes accrued due to weather conditions such as tide, wind, rainfall, obstructions (fishing net etc.), multipurpose utilisation of NW-1 channels (e.g.: passenger vessel operations in parallel to hazardous cargo transport) etc.

While assessing cargo related risk, the critical factors to be considered include type and quantity of goods transported, storage and/or handling requirements of those goods and their compatibility issues due to the inherent nature of the goods transported etc.

While accessing vessel related risks, critical factors to be considered include technical aspects of the vessels operated, non-compliance with the safe operating procedure which include standard process while refuelling, loading and unloading of cargo, operation and maintenance aspects etc.

This study would also include preparation of Standard Operating Procedures (SOPs) in line with The Inland Vessels Acts, 1917 as amended from time to time.

By considering the activity/ operation in detail, all possible risks and consequences shall be assessed. Considering the severity of the consequences, risk level shall be determined and prevention and emergency response measure requirements shall be delineated. Through preparation of risk matrix, the risk priority levels (low/medium/medium high/high) shall be identified.

***Outputs:***

- I. Identify risk, analyse the consequences of risk on environmental and socio economic aspects and provide a mitigation road map for various stakeholders to avoid the risks associated with the IWT operation.
- II. Formulate plans to enhance disaster preparedness for effective response if and when a disaster happens.
- III. Formulate robust recovery, rehabilitation and reconstruction plans.
- IV. Conduct risk workshops for all the relevant stakeholders to communicate about the risk management and risk mitigation process.

#### ***6.4 Delineation of Best Practices in IWT for NW-1***

The global best practices on the type of vessels, handling of cargo, supportive infrastructure facilities, and traffic management systems shall be identified. Regulatory systems in place for traffic movement through IWT, essential prerequisites (related to regulatory mechanism) for the owner and user of IWT systems shall be reviewed to understand the best practices.

##### ***Output:***

- ✓ Identify & integrate the best practices in IWT aligned to regulatory requirements for traffic movement through NW1 in order to ensure safe and environmental friendly navigation.

#### ***6.5 Integration of IWT related disasters risks in to existing disaster management plan***

As per the National Disaster Management Act, 2005 and updated from time to time the disaster management system has been formulated at various levels — national, state, district, local levels etc. The study will delineate the stakeholder participation and responsibility allocation in case of any accidental risks during IWT operation. The emergency handling skill enhancement requirement for the owner (IWAI) and user (operator) shall be proposed post analyzing key requirements which include (but not limited to) the vessels, operational crew profile, the type of cargo handled etc. The study shall propose suitable mechanisms for integrating the existing infrastructure and district administration facility (to be utilised during emergency situations) along with specific recommendations on type, size, number and location of minimum hardware/infrastructure and communication requirements to be established in IWAI and district administration facility to mitigate emergency situations. The study shall also include Institutional arrangement for Disaster preparedness along with key role and responsibilities of IWAI nodal representatives, State Disaster Response Force (SDRF) and National Disaster Response Force (NDRF), adopting best practices available already in States. The study shall propose the priority of the various measures to be implemented for avoiding the risk related with IWT operation on NW-1. The study shall also include a proposal for improving the awareness level among the communities along NW-1 on safe cargo movement related risk and their respective abatement measures.

Identification of the Government Departments / Organizations, which have a role to perform in a given disaster situation along with the effective structures for time-bound coordination with one another.



The roles and responsibilities of each department of the government of the State in relation to the preparedness, mitigation and preventive measures and also with regard to responding to any threatening disaster situation or disaster.

**Outputs:**

- I. Formulate a feasible plan for ensuring the integration of prevailing disaster management facilities as per IWT operational requirements.
- II. Formulate institutional and coordination arrangement for Disaster preparedness along with key role and responsibilities of IWAI nodal representatives, State Disaster Response Force (SDRF) and National Disaster Response Force (NDRF).
- III. Proposal for risk abatement measures implementation priority and community awareness program along the project influence area.
- IV. Build a Capacity Development plan on following theme areas for different stakeholders in the influence area
  - Prevention or mitigation for disaster risk
  - Effective preparedness and response
  - Recover Action Plan

**7. Timelines & Deliverables**

Study period and deliverable details are presented as below:

S. No.	Activity	Content of Deliverable	Deliverable	Time span period
1	<u>Inception Report:</u>	Appreciation of task, detailed work plan and methodology	3 Hard copies with one soft copy within two weeks from date of award of work	(D+2 week)
2	<u>Preliminary Report:</u>	Review of literature, risk assessment and abatement measures	3 Hard copies with one soft copy in CD within 3 months from date of award of work	(D+3 months)
3	<u>Final Report:</u>	Selected best practices for NW-1 and route map for integration of IWT operational risks to existing	5 Hard copies with one soft copy in CD within 6 months from date of award of work	(D+6 months)

S. No.	Activity	Content of Deliverable	Deliverable	Time span period
		disaster management system achieved through – <ul style="list-style-type: none"> <li>• Identification of practically possible safeguard options for integration to IWT Operational Procedure</li> <li>• Delineation of methodology for integration of operational risks to existing District Disaster Management Plan</li> </ul>		

*D: Date of Award of work*

## 8. Key Experts

➤ Key experts and their qualifications for the proposed study are given below:

S No	Key Expert	Qualification	Experience
1.	Team Leader	M.A /M.Sc. in Disaster Management/ Master's Degree in Engineering along with diploma in Disaster Management or an relevant officer of Armed/Para military forces/NDRF or equivalent	10 – 12 years of relevant experience  15 years of service experience
2.	Disaster Risk Assessment and Mitigation Expert	Master's Degree along with qualification in Risk and Disaster Management or an officer/JCO/Member of Armed/NDRF/Para military forces or equivalent	8 – 10 years of service experience with exposure of Disaster / Contingency Plans for navigation/ shipping/ port and river terminal
3.	Environmental Expert	Master's Degree in Environmental Science / Engineering / Ecological Science / Botany / Zoology or an officer/JCO/Member of Armed/NDRF/SDRF or equivalent	5 – 10 years of relevant environmental experience in preparation of Risk Assessment, Contingency plan and other oil spill response including NEBA studies
4.	Hazardous Risk Assessment Experts	Master's Degree in Engineering /Science along with diploma in Risk Assessment or an officer/JCO/Member of Armed/SDRF or equivalent	5 – 8 years of relevant experience. Must have prepared at least 10 to 15 different

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<b>S No</b>	<b>Key Expert</b>	<b>Qualification</b>	<b>Experience</b>
			Risk assessment and Contingency Plans of Port / harbours and Offshore installations.
5.	Navigation Expert	Master Mariner or an Officer/JCO of Navy/Coast Guard. Must have commanded ship navy/ Coast guard ship or equivalent	5 – 8 years of relevant experience in marine oil spill response
6.	Occupational Health and Safety Expert	Master's Degree along with qualification in Occupational Health and Safety or an Officer/JCO/ NDRF of navy/ Coast Guard with qualified supervisor duties onboard certified water crafts as an officer or equivalent	10 – 15 years of experience in relevant field of health and safety.

### **Annex-1**

#### **Possible Format of DMP – *Only a Guideline and not limited to !***

Section 1: Introduction to Plan

Section 2: The Principal Response Agency and its Functional Area

Section 3: Risk Assessment for the Area

Section 4: Resources for Emergency Response

Section 5: Preparedness for Major Emergency Response

Section 6: The Generic Command, Control and Co-ordination Systems

Section 7: The Common Elements of Response

- Declaring a Major Emergency
- Initial Mobilisation
- Command, Control and Communication Centres
- Co-ordination Centres
- Communications Facilities
- Exercising the Lead Agency's Co-ordination Roles
- Public Information
- The Media
- Site Management Arrangements
- Mobilising Additional Resources
- Casualty and Survivor Arrangements
- Emergencies involving Hazardous Materials
- Protecting Threatened Populations
- Early and Public Warning Systems
- Emergencies arising on Inland Waterways
- Threatened/ actual Emergencies in the Indian Maritime Zone, including riverine Region
- Safety, Health and Welfare Considerations
- Logistical Issues/ Protracted Incidents
- Investigations
- Community/ VIPs/ Observers
- Standing-Down the Major Emergency
- Plan for update through software, provision for incorporate data from IMD/CWC, circulation of incidents and actions through SMS/ other quickest ways

Section 8: Agency Specific Sub Plans

Section 9: Plan for State Level Co-ordination

Section 10: Links with National Disaster Management Plan

Section 11: Severe Weather Plans for NW-1

Section 12: Site and Event-Specific Arrangements and Plans

Section 13: The Recovery Phase

Section 14: Review of the DMP

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***Section 15: Appendices ( Appendix 1 to Appendix 5)***

*Appendix 1: Major Emergency Mobilisation Procedure*

*Appendix 2: Major Emergency Local Co-ordination Group Mobilisation Procedure and List of Sub-Plans/Procedures/Code Instructions*

*Appendix 3: Data Directory - Maps/charts*

- River facilities, access roads, telephones, hotels, etc.;
- NW-1 charts, currents, tidal information (ranges and streams), prevailing winds;
- Risk locations and probable effect of the emergency;
- River-bank resources for priority protection;
- Demarcation of zones and response strategies; and
- Zones along NW-1 and clean-up strategies.

*Appendix 4: Lists*

- Primary oil spill/ cargo containment equipment
- Auxiliary equipment
- Support equipment
- Sources of manpower
- Experts and advisors
- Local, state and national government contacts

*Appendix 5: References & Codes*

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## **PART II**

### **Section 8. Conditions of Contract and Contract Forms**

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STANDARD FORM OF CONTRACT

# Consultant's Services

## Lump-Sum





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## Preface

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

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## CONTRACT FOR CONSULTANT'S SERVICES

### Lump-Sum

**Project Name** \_\_\_\_\_

**[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”).]*

#### WHEREAS

- (a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);
- (b) the Consultant, having represented to the Client that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- (c) the Client has received *[or has applied for]* a loan *[or credit or grant]* from the *[insert as relevant, International Bank for Reconstruction and Development (IBRD) or International Development Association (IDA)]*: toward the cost of the Services and intends to apply a portion of the proceeds of this *[loan/credit/grant]* to eligible payments under this Contract, it being understood that (i) payments by the Bank will be made only at the request of the Client and upon approval by the Bank; (ii) such payments will be subject, in all respects, to the terms and conditions of the *[loan/financing/grant]* agreement, including prohibitions of withdrawal from the *[loan/credit/grant]* account for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import, to the knowledge of the Bank, is prohibited by the decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations; and (iii) no party other than the Client shall derive any rights from the *[loan/financing/grant]* agreement or have any claim to the *[loan/credit/grant]* proceeds;

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
  - (a) The General Conditions of Contract (including Attachment 1 “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 GCC 25.2 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 of 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.

**F. PAYMENTS TO THE CONSULTANT**

**38. Contract Price**

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

38.2 Any change to the Contract price specified in Clause 38.1 can be made only if the Parties have agreed to the revised scope of Services

pursuant to Clause GCC 16 and have amended in writing the Terms of Reference in **Appendix A**.

### 39. Taxes and Duties

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

39.2 As an exception to the above and as stated in the **SCC**, all local identifiable indirect taxes (itemized and finalized at Contract negotiations) are reimbursed to the Consultant or are paid by the Client on behalf of the Consultant.

### 40. Currency of Payment

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

### 41. Mode of Billing and Payment

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

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

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

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

41.2.3 *The Final Payment.* The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The

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

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

**42. Interest on Delayed Payments**

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

**G. FAIRNESS AND GOOD FAITH**

**43. Good Faith**

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

**H. SETTLEMENT OF DISPUTES**

**44. Amicable Settlement**

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

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

**45. Dispute Resolution**

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



## II. General Conditions

### Attachment 1: 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 party<sup>9</sup>;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation<sup>10</sup>;
- (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 party<sup>11</sup>;

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<sup>9</sup> 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.

<sup>10</sup> 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.

<sup>11</sup> 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.

- (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 party<sup>12</sup>;
- (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 procedures<sup>13</sup>, 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 nominated<sup>14</sup> sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

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<sup>12</sup> For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

<sup>13</sup> 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.

<sup>14</sup> 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 Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(b) and 3.1	<b>The Contract shall be construed in accordance with the law of Republic of India</b>
4.1	<b>The language is: English.</b>
6.1 and 6.2	<p><b>The addresses are:</b></p> <p>Client : Project Director, Project Management Unit</p> <p>Attention : Shri Pravir Pandey</p> <p>Facsimile : + 91 120 2543976</p> <p>E-mail: vc.iwai@nic.in</p> <p>Consultant : _____</p> <p>Attention : _____</p> <p>Facsimile : _____</p> <p>E-mail : _____</p>
8.1	<p><i>[If the Consultant consists only of one entity, state “N/A”;</i>  <i>OR</i>  <i>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><b>The Lead Member on behalf of the JV is _____</b>  <i>[insert name of the member]</i></p>
9.1	<p><b>The Authorized Representatives are:</b></p> <p><b>For the Client:</b> Project Director, Project Management Unit, IWAI, A-13, Sector – 1, NOIDA – 201301, Uttar Pradesh, India</p> <p><b>For the Consultant:</b> <i>[name, title]</i> _____</p>

11.1	<b>The effectiveness conditions are the following:</b> <i>On signing of contract by both parties</i>
12.1	<b>Termination of Contract for Failure to Become Effective:</b>  <b>The time period shall be <u>2 months</u>.</b>
13.1	<b>Commencement of Services:</b>  <b>The number of days shall be Fifteen (15) days.</b>  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	<b>Expiration of Contract:</b>  <b>The time period shall be 6 Months</b>
21 b.	<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</b>  Yes

23.1	<b>No additional provisions.</b>
24.1	<p><b>The insurance coverage against the risks shall be as follows:</b></p> <p><i>[Delete what is not applicable except (a)].</i></p> <p><b>(a) Professional liability insurance, with a minimum coverage of equivalent to twice the amount of the contract for a period of 5 years beyond the currency of the contract.;</b></p> <p>(b) Third Party motor vehicle liability insurance in respect of motor vehicles operated in the Client’s country by the Consultant or its Experts or Sub-consultants, with a minimum coverage as per Motor Vehicles Act 1988 or any amendment thereof.;</p> <p>(c) Third Party liability insurance, with a minimum coverage of <i>Rs. 10 Lacs (Rupees Ten Lacs) (After each occurrence the Consultant shall repay premium necessary to make insurance valid for this amount always);</i></p> <p>(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</p> <p>(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	No exceptions
27.2	<b>The Consultant shall not use these “all reports, data, documents provided by IWAI and provided by other Government agencies for the purpose of this consultancies” for purposes unrelated to this Contract without the prior written approval of the Client.</b>
32.1 (a) through (e)	<i>32.1 (a), (b), (c) and (e) are agreeable within the law of the land. However, 32.1 (d) is not applicable</i>
38.1	<b>The Contract price is: _____ [insert amount and currency for each currency as applicable] [indicate: <b>inclusive</b> or <b>exclusive</b>] of local indirect taxes.</b>

	<p><b>Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall be “reimbursed” by the Client to the Consultant.</b></p> <p><b>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.</b></p>																												
<p><b>39.1 and 39.2</b></p>	<p><i>The Client shall reimburse the Consultant GST paid by them. 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.</i></p>																												
<p><b>41.2</b></p>	<p><b>The payment schedule:</b></p> <table border="1" data-bbox="464 880 1278 1406"> <thead> <tr> <th>S. No.</th> <th>Activity</th> <th>Time span period</th> <th>Payment</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>Advance Payment</td> <td>D+0</td> <td>5%</td> </tr> <tr> <td>2.</td> <td><u>Inception Report:</u></td> <td>(D+2 week)</td> <td>10%</td> </tr> <tr> <td>3.</td> <td><u>Preliminary Report:</u></td> <td>(D+3 months)</td> <td>15%</td> </tr> <tr> <td>4.</td> <td><u>Acceptance of Preliminary Report</u></td> <td></td> <td>20%</td> </tr> <tr> <td>5.</td> <td><u>Draft Final Report:</u></td> <td>(D+5 months)</td> <td>20%</td> </tr> <tr> <td>6.</td> <td><u>Acceptance of Final Report:</u></td> <td>(D+6 months)</td> <td>30%</td> </tr> </tbody> </table> <p>Where D is date of signing of contract</p> <p><i>[Total sum of all installments shall not exceed the Contract price set up in SCC38.1.]</i></p>	S. No.	Activity	Time span period	Payment	1.	Advance Payment	D+0	5%	2.	<u>Inception Report:</u>	(D+2 week)	10%	3.	<u>Preliminary Report:</u>	(D+3 months)	15%	4.	<u>Acceptance of Preliminary Report</u>		20%	5.	<u>Draft Final Report:</u>	(D+5 months)	20%	6.	<u>Acceptance of Final Report:</u>	(D+6 months)	30%
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<p><b>41.2.1</b></p>	<p>The following provisions shall apply to the advance payment and the advance bank payment guarantee:</p> <p>(1) An advance payment of 5% in respective currency shall be made against the receipt of an advance bank payment guarantee of equivalent amount. The advance payment will be set off by the Client in equal portions against first three payment milestones as mentioned in the payment schedule above.</p>																												



	<p>(2) The advance bank payment guarantee shall be in the amount and in the currency of the currency(ies) of the advance payment.</p> <p>(3) The bank guarantee will be released when the advance payment has been fully set off.</p>
<b>41.2.4</b>	<p><b>The accounts are:</b></p> <p>for foreign currency: <i>[insert account]</i>.</p> <p>for local currency: <i>[insert account]</i>.</p>
<b>42.1</b>	<p><b>The interest rate is:</b></p> <p><b>For Foreign currency:</b> LIBOR + 2%</p> <p><b>For Local Currency:</b> SBI Prime Lending Rate + 2% per annum.</p>
<b>45.1</b>	<p><i>[In contracts with foreign consultants, the Bank requires that the international commercial arbitration in a neutral venue is used.]</i></p> <p><b>Disputes shall be settled by arbitration in accordance with the following provisions:</b></p> <ol style="list-style-type: none"> <li>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: <ol style="list-style-type: none"> <li>(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 President, Institution of Engineers India, New Delhi 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, President, Institution of Engineers India, New Delhi shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</li> <li>(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</li> </ol> </li> </ol>

	<p>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 Secretary, the Indian Council of Arbitration, New Delhi;</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 Secretary, the Indian Council of Arbitration, New Delhi 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> For domestic Consultant, Arbitration proceedings shall be conducted in accordance with procedure of the Arbitration &amp; Conciliation Act 1996, of India. For foreign consultants (including JV where lead partner is foreign), arbitration 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>Note: 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, "home country" means any of:</p> <p>(a) the country of incorporation of the Consultant [<i>Note: If the Consultant consists of more than one entity, add: or of any of their members or Parties</i>]; or</p> <p>(b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or</p>

	<ul style="list-style-type: none"> <li>(c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or</li> <li>(d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.</li> </ul>
	<p>5. <u>Miscellaneous</u>. In any arbitration proceeding hereunder:</p> <ul style="list-style-type: none"> <li>(a) proceedings shall, unless otherwise agreed by the Parties, be held (i) For Foreign Consultants, in <i>a neutral venue</i> or as agreed mutually during negotiations; (ii) For Domestic Consultants, in Delhi or as agreed mutually during negotiations;</li> <li>(b) the English language shall be the official language for all purposes; and</li> <li>(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 Delhi court of jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.</li> </ul>



## 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 <sup>1</sup>	Overhead <sup>1</sup>	Subtotal	Profit <sup>2</sup>	Away from Home Office Allowance	Agreed Fixed Rate per Working Month/Day/Hour	Agreed Fixed Rate per Working Month/Day/Hour <sup>1</sup>
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]*

*{Guarantor letterhead or SWIFT identifier code}*

**Bank Guarantee for Advance Payment**

**Guarantor:** \_\_\_\_\_ *[insert commercial Bank's Name, and Address of Issuing Branch or Office]*

**Beneficiary:** \_\_\_\_\_ *[insert Name and Address of Client]*

**Date:** \_\_\_\_\_ *[insert date]*\_\_\_\_\_

**ADVANCE PAYMENT GUARANTEE No.:** \_\_\_\_\_ *[insert number]*\_\_\_\_\_

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

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

At the request of the Consultant, we, as Guarantor, hereby irrevocably undertake to pay the Beneficiary any sum or sums not exceeding in total an amount of \_\_\_\_\_ *[amount in figures]* (\_\_\_\_\_) *[amount in words]*<sup>1</sup> upon receipt by us of the Beneficiary's complying demand supported by the Beneficiary's a written statement, whether in the demand itself or in a separate signed document accompanying or identifying the demand, stating that the Consultant is in breach of their obligation under the Contract because the Consultant:

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

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

<sup>1</sup> The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency(ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Client.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in certified statements or invoices marked as “paid” by the Client which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the \_\_ day of [month], [year],<sup>2</sup> whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

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

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*[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.}*

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