

SELECTION OF CONSULTANTS

REQUEST FOR PROPOSALS
(DIRECT RFP)

RFP No.: 01/A-8/SERVICES/SHELTERS/PIU-USDMA/U-PREPARE/2024-25

Consulting Services for

**Multipurpose Disaster Shelter Needs Assessment, Development plan,
Shelter Designs, and Operational Assistance in Uttarakhand State under
U-PREPARE Project**

Client

Program Manager,
Project Implementation Unit (PIU)- USDMA,
U-PREPARE

Country: India

Project:

Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE)

Issued on:

16th May, 2025

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PART -I

SECTION 1. LETTER OF INVITATION

Letter of Invitation

Consulting Services

Name of Assignment: Hiring of Consultancy firm for Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project

RFP Reference No.: 01/A-8/SERVICES/SHELTERS/PIU-USDMA/UPREPARE/2024-25

Loan No.:9654-IN

Country: India

Date:

Dear Mr. /Ms.:

1. The *Government of India* (hereinafter called “Borrower”) has received financing from the World Bank (the “Bank”) in the form of a Loan (hereinafter called Loan) toward the cost of Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE). The *Project Implementation Unit (PIU)- USDMA, U-PREPARE of Uttarakhand*, an implementing agency of the Client, intends to apply a portion of the proceeds of this credit to eligible payments under the contract for which this Request for Proposals is issued. The Project Implementation Unit (PIU)- USDMA, U-PREPARE of Uttarakhand intends to apply the funds to eligible payments under the contract for which this Request for Proposals is issued. Payments by the Bank will be made only at the request of the *Government of India* and upon approval by the Bank, and will be subject, in all respects, to the terms and conditions of the *loan* agreement. The financing agreement prohibits a withdrawal from the credit 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 financing agreement or have any claims to the proceeds of the credit
2. The Project Implementation Unit (PIU)- USDMA, U-PREPARE now invites online proposals to provide the following consulting services (hereinafter called “Services”): **Hiring of Consultancy firm for Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project.**
3. More details on the Services are provided in the Terms of Reference (Section-7).

4. A firm will be selected under Quality Cost Based Selection (QCBS) procedures (Direct RFP without REoI) and in a Full Technical Proposal (FTP) format as described in this RFP, in accordance with the Bank's "Procurement Regulations for IPF Borrowers September 2023" ("Procurement Regulations"), as amended time to time, which can be found at the following website: www.worldbank.org
5. The RFP includes the following documents:
 - Section 1 – Request for Proposals Letter
 - Section 2 – Instructions to Consultants and Data Sheet
 - Section 3 – Technical Proposal - Standard Forms
 - Section 4 – Financial Proposal - Standard Forms
 - Section 5 – Eligible Countries
 - Section 6 – Fraud and Corruption
 - Section 7 – Terms of Reference
 - Section 8 – Standard Forms of Contract (Lump-Sum)
6. Details on the proposal's submission date, time and address are provided in ITC 17.7 and ITC 17.9.

Yours sincerely,

Anand Swaroop, IAS
Program Manager,
Project Implementation Unit (PIU)- USDMA
Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE)
5th Floor, USDMA Building,
36, IT Park, Sahastradhara Road,
Dehradun-248013, Uttarakhand.
Contact No.: +91 9456622571; 9557605120, 9758088688
Email: piiusdma.uprepare@gmail.com ; procurement.piiusdma@gmail.com
Website: www.usdma.gov.in & www.uprepare.com

Section 2. Instructions to Consultants and Data Sheet

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Instructions to Consultants

A. General Provisions

1. Definitions

- (a) **“Affiliate(s)”** means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.
- (b) **“Applicable Law”** means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the **Data Sheet**, as they may be issued and in force from time to time.
- (c) **“Bank”** means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA)/ World Bank.
- (d) **“Borrower”** means the Government, Government agency or other entity that signs the *[loan/financing/grant¹]* agreement with the Bank.
- (e) **“Client”** means the implementing agency that signs the Contract for the Services with the selected Consultant.
- (f) **“Client’s Personnel”** is as defined in Clause GCC 1.1 (e).
- (g) **“Consultant”** means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.
- (h) **“Contract”** means a legally binding written agreement signed between the Client and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices etc.).
- (i) **“Data Sheet”** means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific country and assignment conditions to supplement, but not to over-write, the provisions of the ITC.
- (j) **“Day”** means a calendar day, unless otherwise specified as **“Business Day”**. A Business Day is any day that is an official working day of the Borrower. It excludes the Borrower’s official public holidays.

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

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- (k) **“Experts”** means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).
 - (l) **“Government”** means the government of the Client’s country.
 - (m) **“in writing”** means communicated in written form (e.g. by mail, e-mail, fax, including, if specified in the Data Sheet, distributed or received through the electronic-procurement system used by the Client) with proof of receipt.
 - (n) **“Joint Venture (JV)”** means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.
 - (o) **“Key Expert(s)”** means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant’s proposal.
 - (p) **“ITC”** (this Section 2 of the RFP) means the Instructions to Consultants that provides the Consultants with all information needed to prepare their Proposals.
 - (q) **“Non-Key Expert(s)”** means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.
 - (r) **“Proposal”** means the Technical Proposal and the Financial Proposal of the Consultant.
 - (s) **“RFP”** means the Request for Proposals to be prepared by the Client for the selection of Consultants, based on the SPD - RFP.
 - (t) **“Services”** means the work to be performed by the Consultant pursuant to the Contract.
 - (u) **“SPD - RFP”** means the Standard Procurement Document - Request for Proposals, which must be used by the Client as the basis for the preparation of the RFP.
 - (v) **“Sub-consultant”** means an entity to whom the Consultant intends to subcontract any part of the Services while the Consultant remains responsible to the Client during the whole performance of the Contract.
 - (w) **“Terms of Reference (TORs)”** (this Section 7 of the RFP) means the Terms of Reference that explains the objectives,

scope of work, activities, and tasks to be performed, respective responsibilities of the Client and the Consultant, and expected results and deliverables of the assignment.

2. Introduction

- 2.1 The Client named in the **Data Sheet** intends to select a Consultant from those listed in the Request for Proposals (RFP), in accordance with the method of selection specified in the **Data Sheet**.
- 2.2 The 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 Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.

5. Fraud and Corruption

- 5.1 The Bank requires compliance with the Bank's Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the WBG's Sanctions Framework, as set forth in Section 6.
- 5.2 In further pursuance of this policy, Consultants shall permit and shall cause their agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit the Bank to inspect all accounts, records and other documents relating to any shortlisting process, Proposal submission, and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank.

6. Eligibility

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

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

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

a. Sanctions

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

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

**d. Restrictions
for Public
Employees**

6.3.4 Government officials and civil servants of the Borrower's country are not eligible to be included as Experts, individuals, or members of a team of Experts in the Consultant's Proposal unless:

- (i) the services of the government official or civil servant are of a unique and exceptional nature, or their participation is critical to project implementation; and
- (ii) their hiring would not create a conflict of interest, including any conflict with employment or other laws, regulations, or policies of the Borrower.

B. Preparation of Proposals

**7. General
Considerations**

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

**8. Cost of
Preparation of
Proposal**

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

9. Language

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

**10. Documents
Comprising the
Proposal**

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

10.2 If specified in the **Data Sheet**, the Consultant shall include a statement of an undertaking of the Consultant to observe, in competing for and executing a contract, the Client country's laws against fraud and corruption (including bribery).

10.3 The Consultant shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).

**11. Only One
Proposal**

11.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in

more than one proposal, all such proposals shall be disqualified and rejected. This does not, however, preclude a Sub-consultant, or the Consultant's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the **Data Sheet**.

12. Proposal Validity

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

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

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

a. Extension of Proposal Validity

12.4 The Client will make its best effort to complete the negotiations and award the contract prior to the date of expiry of the Proposal validity. However, should the need arise, the Client may request, in writing, all Consultants who submitted Proposals prior to the submission deadline to extend the Proposals' validity.

12.5 If the Consultant agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal and with the confirmation of the availability of the Key Experts, except as provided in ITC 12.7.

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

b. Substitution of Key Experts at Validity Extension

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

12.8 If the Consultant fails to provide a substitute 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.

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| <p>c. Sub-Contracting</p> | <p>12.9 The Consultant shall not subcontract any part of the contract or the whole of the contract/services.</p> |
| <p>13. Clarification and Amendment of RFP</p> | <p>13.1 The Consultant may request a clarification of any part of the RFP during the period indicated in the Data Sheet before the Proposals' submission deadline. Any request for clarification must be sent in writing, email or by standard electronic means, to the Client's address indicated in the Data Sheet. The Client will respond in writing, or email or by standard electronic means, and will send written copies of the response (including an explanation of the query but without identifying its source) to all Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:</p> <p style="padding-left: 40px;">13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment in writing or by standard electronic means or by publishing corrigendum/Addendum on Department's Website and/or E-Portal website i.e., www.uktenders.gov.in. The amendment will be binding on them. The Consultants may acknowledge receipt of all amendments in writing.</p> <p style="padding-left: 40px;">13.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the Consultants reasonable time to take an amendment into account in their Proposals.</p> <p>13.2 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.</p> |
| <p>14. Preparation of Proposals Specific Considerations</p> | <p>14.1 While preparing the Proposal, the Consultant must give particular attention to the following:</p> <p style="padding-left: 40px;">14.1.1 If a 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. (JV/Sub-Consulting etc. is Not Allowed)</p> <p style="padding-left: 40px;">14.1.2 The Client may indicate in the Data Sheet the estimated Key Experts' time input (expressed in person-month) or the Client's estimated total cost of the assignment, but not both. This estimate is indicative and the Proposal shall be based on the Consultant's own estimates for the same.</p> <p style="padding-left: 40px;">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</p> |

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

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

- 15.2 Depending on the nature of the assignment, the Consultant is required to submit a Full Technical Proposal (FTP), 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 etc**.

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**. No Price Adjustment will be done in the contract at any stage except Force Majeure Clause.

b. Taxes

- 16.3 The Consultant and Experts are responsible for meeting all tax liabilities arising out of the Contract unless stated otherwise in the **Data Sheet**. Application of taxes etc. in the Client's country will be applicable.

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 of Client.

C. Submission, Opening and Evaluation

**17. Submission,
Sealing, and
Marking of
Proposals**

- 17.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as “CONFIDENTIAL” information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission can be done by mail or by hand or by courier etc. If specified in the **Data Sheet**, the Consultant has the option of submitting its Proposals electronically.
- 17.2 An authorized representative of the Consultant shall sign the original submission letters in the required format for both the Technical Proposal and the Financial Proposal and shall initial all pages of both preferably. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal. In the absence of Power of Attorney, the proposal shall be summarily rejected.
- 17.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are counter signed or initialed by the person authorized to sign the Proposal.
- 17.4 The signed Proposal shall be marked “ORIGINAL”, and its copies marked “COPY” as appropriate. The number of copies is indicated in the **Data Sheet**. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.
- 17.5 The original and all the copies of the Technical Proposal shall be placed inside a sealed envelope clearly marked “**TECHNICAL PROPOSAL**”, “[Name of the Assignment]”, [reference number], [name and address of the Consultant], and with a warning “**DO NOT OPEN UNTIL [INSERT THE DATE AND THE TIME OF THE TECHNICAL PROPOSAL SUBMISSION DEADLINE].**”
- 17.6 Similarly, the original Financial Proposal and its copies shall be placed inside of a separate sealed envelope clearly marked “**FINANCIAL PROPOSAL**” “[Name of the Assignment], [reference number], [name and address of the Consultant]”, and with a warning “**DO NOT OPEN WITH THE TECHNICAL PROPOSAL.**”
- 17.7 The sealed envelopes containing the Technical and Financial Proposals shall be placed into one outer envelope and sealed.

This outer envelope shall be addressed to the Client and bear the submission address, RFP reference number, the name of the assignment, the Consultant's name and the address, and shall be clearly marked "Do Not Open Before [insert the time and date of the submission deadline indicated in the **Data Sheet**]".

- 17.8 If the envelopes and packages with the Proposal are not sealed and marked as required, the Client will assume no responsibility for the misplacement, loss, or premature opening of the Proposal.
- 17.9 The Proposal or its modifications must be sent to the address indicated in the **Data Sheet** and received by the Client no later than the deadline indicated in the **Data Sheet**, or any extension to this deadline. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.

18. Confidentiality

- 18.1 From the time the Proposals are opened to the time the Contract is awarded, the Consultant should not contact the Client on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposals and award recommendations shall not be disclosed to the Consultants who submitted the Proposals or to any other party not officially concerned with the process, until the Notification of Intention to Award the Contract. Any collusion in this regard with the officials of Client will be liable for Penal Action as per Law. Exceptions to this ITC are where the Client notifies Consultants of the results of the evaluation of the Technical Proposals.
- 18.2 Any attempt by 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. Any collusion in this regard with the officials of Client will be liable for Penal Action as per Law.
- 18.3 Notwithstanding the above provisions, from the time of the Proposals' opening to the time of Contract award publication, if a Consultant wishes to contact the Client or the Bank on any matter related to the selection process, it shall do so only in writing or as written in this RFP.

19. Opening of Technical Proposals

- 19.1 The Client's evaluation committee shall conduct the opening of the Technical Proposals in the presence of the Consultants' authorized representatives who choose to attend (in person, or online if this option is offered in the **Data Sheet**). The opening date, time and the address are stated in the **Data Sheet**.

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- 19.2 At the opening of the Technical Proposals the following shall be read out: (i) the name and the country of the Consultant or, (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; (iii) any modifications to the Proposal submitted prior to proposal submission deadline; and (iv) any other information deemed appropriate or as indicated in the **Data Sheet**.
- 20. Proposals Evaluation**
- 20.1 Subject to provision of ITC 15.1, the evaluators of the Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded and the Bank issues its “no objection”, if applicable.
- 20.2 The Consultant is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under ITC 12.7. While evaluating the Proposals, the Client will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.
- 21. Evaluation of Technical Proposals**
- 21.1 The Client’s evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet**. Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated 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. Public Opening of Financial Proposals (for QCBS, FBS, and LCS methods)**
- 23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following:
- (i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score;

- (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion;
- (iii) their Financial Proposals will be returned unopened after completing the selection process and Contract signing; and
- (iv) notify them of the date, time and location of the public opening of the Financial Proposals and invite them to attend.

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

- (i) their Proposal was responsive to the RFP and TOR and met the minimum qualifying technical score;
- (ii) provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion;
- (iii) their Financial Proposal will be opened at the public opening of Financial Proposals; and
- (iv) notify them of the date, time and location of the public opening and invite them for the opening of the Financial Proposals.

23.3 The opening date shall be no less than ten (10) Business Days from the date of notification of the results of the technical evaluation, described in ITC 23.1 and 23.2. However, if the Client receives a complaint on the results of the technical evaluation within the ten (10) Business Days, the opening date shall be subject to ITC 31.1.

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

23.5 The Financial Proposals shall be opened publicly by the Client's evaluation committee in the presence of the representatives of the Consultants. Any interested party who wishes to attend this public opening should contact the client as indicated in the **Data Sheet**. Alternatively, a notice of the public opening of Financial Proposals may be published on the Client's website &/or uktenders.gov.in . At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be read aloud. These Financial Proposals shall be then opened, and the total prices read aloud

and recorded. Copies of the record may be sent to all Consultants who submitted Proposals and to the Bank.

24. Correction of Errors

24.1 Activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, and no corrections are made to the Financial Proposal. Only Mathematical/ calculation errors may be considered by the Committee for rectification.

a. Lump-Sum Contracts

24.1.1 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 no price adjustments shall be made. The total price, net of taxes understood as per ITC 25, specified in the Financial Proposal (Form FIN-1) shall be considered as the offered price. Where there is a discrepancy between the amount in words and the amount in figures, the amount in words shall prevail.

25. Taxes

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

26. Combined Quality and Cost Evaluation

a. Quality and Cost-Based Selection (QCBS)

26.1 In the case of QCBS, the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the **Data Sheet**. The Consultant with the Most Advantageous Proposal, which is the Proposal that achieves the highest combined technical and financial scores, will be invited for negotiations.

D. Negotiations and Award

27. Contract Negotiations

27.1 The contract 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.

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

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|---------------------------------------|--|
| a. Availability of Experts | <p>27.3 The invited Consultant shall confirm the availability of all Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with ITC 12. Failure to confirm the Key Experts' availability may result in the rejection of the Consultant's Proposal and the Client proceeding to negotiate the Contract with the next-ranked Consultant.</p> <p>27.4 Notwithstanding the above, the substitution of 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 etc. 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 at the same terms & conditions and remuneration as quoted for the equivalent post in the proposal.</p> |
| b. Technical Negotiations | <p>27.5 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" as 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.</p> |
| c. Financial Negotiations | <p>27.6 The negotiations include the clarification of the Consultant's tax liability in the Client's country and how it should be reflected in the Contract.</p> <p>27.7 If the selection method included cost as a factor in the evaluation, the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.</p> <p>27.8 The format for (i) providing information on remuneration rates; and (ii) clarifying remuneration rates' structure under this Clause, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.</p> |
| 28. Conclusion of Negotiations | <p>28.1 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.</p> <p>28.2 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</p> |

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. This process shall continue till final selection.

29. Notification of Award

29.1 Upon expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period, the Client shall, send a notification of award to the successful Consultant, confirming the Client's intention to award the Contract to the successful Consultant and requesting the successful Consultant to sign and return the draft negotiated Contract within fifteen (15) Business Days from the date of receipt of such notification. If specified in the **Data Sheet**, the client shall simultaneously request the successful Consultant to submit, within fifteen (15) Business Days, the Beneficial Ownership Disclosure Form.

Contract Award Notice

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

- (a) name and address of the Client;
- (b) name and reference number of the contract being awarded, and the selection method used;
- (c) names of the consultants that submitted proposals, and their proposal prices as read out at financial proposal opening, and as evaluated;
- (d) names of all Consultants whose Proposals were rejected or were not evaluated, with the reasons therefor;
- (e) the name of the successful consultant, the final total contract price, the contract duration and a summary of its scope; and
- (f) successful Consultant's Beneficial Ownership Disclosure Form, if specified in Data Sheet ITC 32.1.

29.2 The Contract Award Notice shall be published on the Client's website &/or uktenders.gov.in with free access, The Client/Bank shall also publish the contract award notice in UNDB online.

30. Signing of Contract

- 30.1 The Contract shall be signed prior to the expiry date of the Proposal validity and promptly after expiry of the Standstill Period, specified in ITC 30.1 or any extension thereof, and upon satisfactorily addressing any complaint that has been filed within the Standstill Period.
- 30.2 The Consultant is expected to commence the assignment on the date and at the location specified in the **Data Sheet**.

31. Procurement Related Complaint

- 31.1 The procedures for making a Procurement-related Complaint are as specified in the **Data Sheet**.

Section 2. Instructions to Consultants

E. Data Sheet

ITC Reference	A. General
1 (m)	<p>Electronic –Procurement System</p> <p>The Client shall use the following electronic-procurement system to manage this Request for Proposal (RFP) process:</p> <p>www.uktenders.gov.in &/or department’s website.</p> <p>The electronic-procurement system shall be used to manage the following part of the RFP process:</p> <ol style="list-style-type: none"> 1. Issuing/ publication of this RFP 2. Circulation of Pre-bid meeting minutes /Addendum/Corrigendum 3. Opening of Technical Proposals 4. Opening of Financial Proposals 5. Award of Contract
2.1	<p>Name of the Client:</p> <p><u>Program Manager,</u> <u>Project Implementation Unit (PIU)- USDMA,</u> <u>U-PREPARE</u></p> <p>Method of selection:</p> <p>Quality and Cost Based Selection (QCBS) (Direct RFP without REoI) as per the Procurement Regulations for IPF Borrowers dated November 2020 (available on www.worldbank.org)</p>
2.2	<p>Financial Proposal to be submitted together with Technical Proposal:</p> <p>Yes, in a separate envelope (financial envelope) on the e-portal.</p> <p>The name of the assignment is:</p> <p><i>Hiring of Consultancy firm for Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project.</i></p>
2.3	<p>A pre-bid meeting will be held: Virtually & In-Person</p> <p><u>Date of pre-bid meeting:</u> 26th May 2025</p>

	<p><u>Time: 11:00 AM (IST)</u></p> <p><u>Address: 5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand</u></p> <p><u>Link for virtual meeting will be shared on the site before the meeting.</u></p> <p>Contact No.: +91 9456622571; 9557605120; 9758088688</p> <p>E-mail: piuusdma.uprep@piuusdma.com , procurement.piuusdma@gmail.com</p> <p><u>Contact person/conference coordinator:</u></p> <ol style="list-style-type: none"> 1. Dr. Mohit K Puniya, DPM, PIU-USDMA, U-PREPARE 2. Mr. Ankit Bhandari, Procurement Expert, PIU-USDMA, U-PREPARE 3. Mr. Dheeraj Chauhan, Office Manager, PIU-USDMA, U-PREPARE
2.4	The Client will provide the following inputs, project data, reports, etc. to facilitate the preparation of the Proposals: N/A
4.1	Not Applicable.
6.1	Proposal(s) from a Joint Venture/Consortium/Subsidiary/ Subcontracting of any part or whole shall not be accepted
6.3.1	A list of debarred firms and individuals is available at the Bank's external website: www.worldbank.org/debarr
B. Preparation of Proposals	
9.1	<p>This RFP has been issued in the English language.</p> <p>Proposals shall be submitted in English language.</p> <p>All correspondence exchange shall be in English language.</p>
10.1	<p>The Proposal shall comprise the following. The Technical and Financial Proposals shall be submitted online in the e-procurement system in separate folders:</p> <p><u>For FULL TECHNICAL PROPOSAL (FTP):</u></p> <p>The Technical Proposal comprising:</p> <ol style="list-style-type: none"> (1) Power of Attorney to sign the Proposal (2) TECH-1

	<p>(3) TECH-2 (4) TECH-3 (5) TECH-4 (6) TECH-5 (7) TECH-6 AND</p> <p>The Financial Proposal comprising:</p> <p>(1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) BOQ (6) Statement of Undertaking (if required under Data Sheet 10.2 below)</p>
10.2	<p>Statement of Undertaking is required: Yes <i>(Make sure to include para f in form Tech-1)</i></p>
11.1	<p>Participation of consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible: Yes</p> <p><i>Note: All the CVs of proposed key experts must be originally signed by the proposed expert duly countersigned (originally) by the authorized Representative of the firm. If it is not possible to get original signature of any of the experts on CV then it must be supported with the consent of the proposed expert (Copy of e-mail/Declaration Letter).</i></p> <p><i>CVs with scanned signatures will be rejected.</i></p> <p><i>Failing to adhere to the above requirement, the technical proposal shall be deemed as NON-RESPONSIVE</i></p> <p><i>If a bidder submits more than one proposal, then the latest proposal submitted shall be considered for evaluation.</i></p> <p><i>The key experts shall be present (physically or virtually) during the contract negotiation meeting.</i></p>
12.1	<p>Proposals shall be valid for 120 calendar days after the proposal submission deadline i.e. until <u>18th October, 2025.</u></p>

12.4	<p>“However, should the need arise, the request for extension of validity will be e-mailed to each Consultant. The Consultants may send their response through e-mail at the e-mail id given in Data Sheet 2.3.”</p>
12.7	<p>Replace ITC 12.7 with the following:</p> <p>If any of the Key Experts become unavailable for the extended validity period, the Consultant shall seek to substitute another Key Expert. The Consultant shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a substitute Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.</p> <p>No substitution of any expert will be done without taking approval from the competent authority.</p> <p>The remuneration paid to such replaced expert shall be as equivalent to the previous expert.</p>
12.9	<p>Sub-contracting of any part of the contract or whole contract is Not Allowed</p>
13	<p>Replace ITC 13 with the following:</p> <p>“13.1.The e-procurement system specified in ITC 1(m) provides for online clarifications. A Consultant may request an online clarification of any part of the RFP during the period indicated in the Data Sheet before the Pre-Bid Meeting, or raise its inquiries during the pre-proposal conference. The Client will respond online by uploading the response (including an explanation of the query but without identifying its source) for information of all Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described in ITC 13.1.1 and ITC 13.1.2 below. It is the consultant’s responsibility to check on the e-procurement system, for any addendum/ amendment/ corrigendum to the RFP document.</p> <p>13.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment online in accordance with the procedure described in the Data Sheet. The amendment shall be binding on all Consultants. The Client shall not be liable for any information not received by the Consultants. It is the Consultants’ responsibility to verify the website for the latest information related to the RFP.</p> <p>13.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the Consultants reasonable time to take an</p>

	<p>amendment into account in their Proposals, by amending the RFP in accordance with ITC 13.1.1.</p> <p>13.2 A Consultant may modify its Proposal in the following manner, by using the appropriate option for proposal modification on e-procurement portal, before the deadline for submission of proposals. No modifications to the Technical or Financial Proposal shall be accepted after the proposal submission deadline.</p> <p>(a) For proposal modification and consequential re-submission, the Consultant is not required to withdraw the proposal submitted earlier. The last modified proposal submitted by the consultant within the proposal submission time shall be considered as the 'Proposal'.</p> <p>(b) For this purpose, modification/withdrawal by other means will not be accepted.</p> <p>(c) The modification and consequential re-submission of proposals is allowed any number of times.</p> <p>(d) A consultant may withdraw its proposal by using the appropriate option for proposal withdrawal, before the deadline for submission of proposals.</p>
13.1	<p>Clarifications may be requested no later than pre-bid meeting date before 05:00 PM</p> <p>24th May, 2025 upto 1700 Hours.</p> <p>The contact information for requesting clarifications is: Project Implementation Unit (PIU)- USDMA, U-PREPARE, 5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand Contact No.: +91 9456622571; 9557605120 E-mail: piuusdma.uprepare@gmail.com , procurement.piuusdma@gmail.com</p>
13.1.1	<p>The Client will host the amendment to RFP, if any on the e-procurement portal (i.e. www.uktenders.gov.in) &/or department's website at any time prior to the submission deadline.</p> <p>The Consultants shall remain responsible to view amendment to RFP.</p>
14.1.2 (do not use for Fixed Budget method)	Estimated input of Key Experts' time-input: 66 Person-Months
14.1.3	Not applicable

for time-based contracts only	
14.1.4 and 26.2 use for Fixed Budget method	Not applicable
15.1	<p>Delete from the first sentence of ITC 15.1, the following: ‘and shall comprise the documents listed in the Data Sheet 15.2’.</p> <ol style="list-style-type: none"> 1. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information related to the financial proposal shall be declared as NON-RESPONSIVE and no further correspondence in this regard shall be entertained. 2. Consultant shall not propose alternative Key Experts for evaluation purpose. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal as NON-RESPONSIVE and no further correspondence in this regard shall be entertained.
15.2	<p>The format of the Technical Proposal to be submitted is: FTP (Full Technical Proposal):</p> <p>The Technical Proposal comprising:</p> <ol style="list-style-type: none"> (1) Power of Attorney to sign the Proposal (2) TECH-1 (3) TECH-2 (4) TECH-3 (5) TECH-4 (6) TECH-5 (7) TECH-6 <p><u>Note:</u></p> <ol style="list-style-type: none"> 1. Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed as NON-RESPONSIVE to the RFP requirements. 2. The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information related to

	<p>financial proposal shall be declared as <i>NON-RESPONSIVE</i> and no further correspondence in this regard shall be entertained.</p> <p>3. Consultant shall not propose alternative Key Experts for evaluation purpose. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal as <i>NON-RESPONSIVE</i> and no further correspondence in this regard shall be entertained.</p>
16.1	All costs of operating from the city of Dehradun.
16.2	A price adjustment provision applies to remuneration rates: No.
16.3	<p>Information on the Consultant's tax obligations in India can be found from the Ministry of Finance, Government of India/ Uttarakhand</p> <p>Consultants and Experts are responsible for payment of all taxes as applicable in India.</p> <p>The Client will, however reimburse on proof of submission with relevant Government Authority, the Goods & Services Tax (GST) payable on the contract value by the consultant, as per Applicable Law in India. Statutory deductions like taxes at source (TDS) etc., however, shall be made as applicable.</p> <p>The above only are to be shown separately in the financial proposal.</p>
16.4	The Financial Proposal shall be submitted in Indian Rupees only.
16.5	Payments under the Contract shall be made in Indian Rupees only.
C. Submission, Opening and Evaluation	
17	<p>Replace ITC 17 with the following:</p> <p>"17.1 The Consultant shall submit a digitally signed, encrypted, and complete Proposal comprising the documents and forms in accordance with ITC 10 (Documents Comprising Proposal). Consultants shall mark as "CONFIDENTIAL" information in their Proposals which is confidential to their business. This may include proprietary information, trade secrets or commercial or financially sensitive information. The submission shall be done electronically through website http://uktenders.gov.in and in accordance with procedure specified in the Data Sheet. Proposals submitted by any other means will be</p>

	<p>rejected. Detailed guidelines for viewing proposals, and for online submission of proposals are given on the website.</p> <p>17.2 An authorized representative of the Consultant shall digitally sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal and shall initial all pages of both. The authorization shall be in the form of a written power of attorney to be scanned and uploaded together with the Technical Proposal.</p> <p>17.2.1 A Proposal(s) submitted by a Joint Venture shall <i>not be Accepted</i></p> <p>17.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.</p> <p>17.4 The Proposal or its modifications must be uploaded on the e-procurement portal specified in ITC 1(m), no later than the deadline indicated in the Data Sheet, or any extension to this deadline. The electronic system will not accept any Proposal or its modification for uploading after the deadline, as per server time.</p> <p>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."</p>
17.1	<p>The electronic submission procedures shall be as follows:</p> <p>The Consultants shall submit their Proposals (both Technical and Financial) electronically on the e-procurement portal specified in ITC 1(m), following the procedure given below. The consultant shall also submit the original copy of Technical Proposal to the client (by mail or by hand or by courier etc.) before the technical opening deadline. In case of discrepancies between online and offline proposal the online proposal shall prevail.</p> <p>Detailed guidelines for viewing proposals and for online submission are given on the website:</p> <p>(a) To participate in the e-tendering process, it is mandatory for the consultants to have enrolment/registration in the website, and valid Class II/III Digital Signature Certificate (in the name of person who will sign the proposal) in the form of smart card/e-token, obtained from any of the licensed Certifying Agency authorized by the Government of India. Consultants can see the list of licensed CAs from the link www.cca.gov.in</p> <p>(b) The consultant should register in the website using the relevant option available. Then the Digital Signature registration has to be done with the e-token, after logging into the website. The consultant can then login the website through the secured login by entering the password of the e-token & the user id/ password chosen during registration.</p> <p>(c) The consultant must submit technical proposal in the technical envelope in pdf format and financial proposal in financial envelope (BOQ in Excel and Fin forms</p>

	<p>PDF formats). Non submission of above documents shall lead to disqualification of the consultant from the bidding process.</p> <p><i>[Note for Consultants: For online submission of proposals, the Consultants shall fill up online, the forms that are available for online filling on the e-portal. The rest of the forms shall be download by the Consultants and filled up. The filled-up pages shall then be digitally signed, scanned and uploaded on the e-procurement portal along with the scanned copies of the supporting documents.]</i></p>
17.4	<p>The Proposals must be uploaded on the e-procurement portal specified in ITC 1(m) no later than:</p> <p>Date: 20th June, 2025</p> <p>Time: 13:00 Hrs. (01:00 PM) local time</p>
17.5	Not Applicable
19	<p>Replace ITC 19 with the following:</p> <p>“19.1 The Client’s evaluation committee shall conduct the opening of the Technical Proposals online following the procedure described in the Data Sheet and this could be viewed online by the Consultants. The consultants or their authorized representatives may attend the online opening in person if this option is offered in the Data Sheet. The opening date, time and the address are stated in the Data Sheet. The folder with the Financial Proposal shall remain unopened, encrypted, in the e-procurement system until the subsequent public opening in accordance with ITC 23.</p> <p>19.2 At the opening of the Technical Proposals the following shall be read out and recorded online simultaneously:</p> <ul style="list-style-type: none"> (i) the name and the country of the Consultant (<i>Proposal from a Joint Venture/Consortium shall not be Accepted</i>), (ii) the presence or absence of the folder with the Financial Proposal in the portal; and (iii) any other information deemed appropriate or as indicated in the Data Sheet.
19.1	<p>The procedure for online opening of technical proposals shall be: <i>Technical proposal will be opened on the e-procurement portal (i.e. www.uktenders.gov.in) by the Client at the date and time indicated below.</i></p> <p>Date: 20th June, 2025</p> <p>Time: 15:00 Hrs. (03:00 PM) local time</p> <p><i>Consultants have an option to attend the opening of the Technical Proposals in person. The opening shall take place at:</i></p>

	<p>Office of the Program Manager Project Implementation Unit (PIU)- USDMA, U-PREPARE, 5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand</p> <p>Country: India</p> <p>In the event of the specified date of proposal opening being declared a holiday for the Client, the proposals will be opened at the appointed time and location on the next working day.</p>									
19.2	<p>In addition, the following information will be read aloud at the opening of the Technical Proposals: N/A</p>									
	<p>Consultant’s technical proposal shall be evaluated in two parts. Part A (as mentioned below) shall be the mandatory criteria that the consultants must meet. Technical Proposals of Consultants who do not meet the criteria in Part A, shall not be further evaluated, and the proposal shall be rejected.</p> <p>Technical Proposal of Consultants, who meet the criteria in Part A, shall be evaluated further using the scoring scheme contained in Part B below.</p> <p>Part A: Mandatory Criteria:</p> <table><tr><th>S. No.</th><th>Criteria</th><th>Documents Required</th></tr><tr><td>1.</td><td><p>Management Competency:</p><p>The firm should be in existence for 05 years or more</p></td><td><p>Company’s Registration Certificate/ Certificate of Incorporation as per the Companies Act, 2013 (18 of 2013) and Rule 18 of the Companies (Incorporation) Rules, 2014</p><p>OR</p><p>For Proprietor firms/Partnership firms/LLPs etc., the document(s) verifying the establishment of the company must be submitted.</p></td></tr><tr><td>2.</td><td><p>Financial Capacity:</p><p>Average annual turnover of three preceding financial years (2021-22, 2022-23 & 2023-24) from Consultancy contracts only should not be less than INR 150.00 lakh</p></td><td><p>- Turnover Certificate clearly stating the required turnover from consultancy contracts- issued by CA</p><p>- Three years annual report regarding turn over details as per attached format Annexure 1 and certified by CA</p></td></tr></table>	S. No.	Criteria	Documents Required	1.	<p>Management Competency:</p> <p>The firm should be in existence for 05 years or more</p>	<p>Company’s Registration Certificate/ Certificate of Incorporation as per the Companies Act, 2013 (18 of 2013) and Rule 18 of the Companies (Incorporation) Rules, 2014</p> <p>OR</p> <p>For Proprietor firms/Partnership firms/LLPs etc., the document(s) verifying the establishment of the company must be submitted.</p>	2.	<p>Financial Capacity:</p> <p>Average annual turnover of three preceding financial years (2021-22, 2022-23 & 2023-24) from Consultancy contracts only should not be less than INR 150.00 lakh</p>	<p>- Turnover Certificate clearly stating the required turnover from consultancy contracts- issued by CA</p> <p>- Three years annual report regarding turn over details as per attached format Annexure 1 and certified by CA</p>
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2.	<p>Financial Capacity:</p> <p>Average annual turnover of three preceding financial years (2021-22, 2022-23 & 2023-24) from Consultancy contracts only should not be less than INR 150.00 lakh</p>	<p>- Turnover Certificate clearly stating the required turnover from consultancy contracts- issued by CA</p> <p>- Three years annual report regarding turn over details as per attached format Annexure 1 and certified by CA</p>								

		- Valid registration and licenses, GST, and IT certificates, and audited financial reports for the last three years.		
Part B: Evaluation Criteria:				
Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposals:				
Criteria	Specific experience of the Consultant (as a firm) relevant to the Assignment			Marks
Criteria 1: <u>Organization Profile</u>	Criteria	Max Marks	Marking Guidelines	20
	The firm must have experience in conducting study on disaster risk assessment of all types of disaster(s) and policy support to the states government in last 05 years.	10	02 marks for each project (Maximum upto 10 marks)	
	Experience in EAP/MDB-funded projects (e.g., World Bank)	05	1 project – 1 mark (Maximum upto 05 marks)	
	Experience with Central Government/State Government or other State Disaster Management Authorities	03	One government engagement – 1 mark (Maximum upto 03 marks)	
	Local presence or proposal to establish office in Dehradun	02	Office exists – 02 mark Only intention stated – 1 mark	
I	Total marks for criteria (i)			[20]

	<u>Criteria 2: Experience</u>	<p>I. Previous similar assignment such as designing/planning of RCC Framed Structure / Pre-Engineered Buildings (PEB) Structure/Multipurpose Disaster Shelter(s) etc. having minimum consultancy fee in the following manner:</p> <p>a. 01 No. of assignment with Consultancy Fee (Design of RCC Framed Structure / Pre-Engineered Buildings (PEB) Structure/Multipurpose Disaster Shelter(s) with value of minimum INR 100.00 Lakh successfully completed in last 05 years.</p> <p style="text-align: center;">Or</p> <p>b. 02 Nos. of assignments with Consultancy Fees (Design of RCC Framed Structure / Pre-Engineered Buildings (PEB) Structure/Multipurpose Disaster Shelter(s) with each value of minimum INR 50.00 Lakh each successfully completed in last 05 years.</p> <p>Note: Assignment value means the cost of consultancy (Exclusive of GST), not the cost of the project.</p>	[10]
		<p>II. Any design consultancy assignment with Fee of minimum INR 50.00 Lakh for RCC Framed Structure / Pre-Engineered Buildings (PEB) Structure/ Shelters etc. successfully completed in hilly terrain in last 5 years.</p> <p>Note: Assignment value means the cost of consultancy (Exclusive of GST), not the cost of the project</p>	[05]
	II	Total marks for criteria (i)	[15]
	<u>Criteria 3:</u>	Adequacy and quality of the proposed methodology, and work plan in responding to the Terms of Reference (TORs).	[25]
	<u>Proposed Methodology and Work Plan</u>	a) Understanding of the ToR	[05]
		b) Assessment of requirements, Technical Approach and Methodology	[10]

		<p>The proposed Approach & methodology must include, but not limited to, the following:</p> <ul style="list-style-type: none"> - Study of existing infrastructure facilities such as road network, drainage water supply, electrical, sanitation etc. - Concept note on operation and maintenance of the building/ sub project. - Environment safeguards. - Social safeguards. - Innovation & creativity in approach. - Salient features of major laws applicable to establishments engaged in civil construction like workmen compensation act, minimum wages, payment of wages etc.. 					
		<p>c) Work Plan</p> <p>The proposed Work Plan must include, but not limited to the following:</p> <ul style="list-style-type: none"> - Schedule for DPR preparation & Preparation of preliminary strategies for new construction, site and infrastructure development - Need Assessment and gap analysis - Resource allocation and management - Developing guidelines for shelter design, construction and operation - Establishing standards for shelter management & service delivery. - Ensuring compliance with relevant laws, regulations and industry standards. - Preparation of comprehensive waste management plan for disposal of construction & demolition waste - Work schedule and Planning for Deliverables etc. 	[10]				
	II	Total marks for criteria (ii)	[25]				
<p>Criteria 4: Key Experts' qualifications and competence for the Assignment: [Marks: 40]</p> <p><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 border="1"> <tr> <td><u>Position K-1</u></td><td><u>Team Leader</u></td><td colspan="2"><u>Total marks [08]</u></td></tr> </table>				<u>Position K-1</u>	<u>Team Leader</u>	<u>Total marks [08]</u>	
<u>Position K-1</u>	<u>Team Leader</u>	<u>Total marks [08]</u>					

1) Minimum Qualifications and Certifications (02 marks)

- Master's degree in Disaster Risk Management or related field: 02 marks
- Less than Master's degree: 0.00 marks

2) Relevant Work Experience in leading Research, Analysis, Designing and Implementation/ Execution of projects on Disaster Risk Management (03 marks)

- 10+ years of experience: 03.00 marks
- 8-10 years of experience: 2.00 mark
- 5-8 years of experience: 1.00 marks
- Less than 05 years of experience: 0.00 marks

3) Relevant Experience in Hilly Terrain (2.0 marks)

- 5+ years/3+ projects of experience in hilly terrain: 2.00 marks
- 2-4 years/1-2 projects of experience in hilly terrain: 1.00 marks
- Less than 2 years of experience or No project experience in hilly terrain: 0.00 marks

4) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)

- 0.50 marks for each project with maximum 1.00 marks

<u>Position K-2</u>	<u>Disaster Risk Management/ Shelter Specialist</u>	<u>Total marks [06]</u>
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1) Minimum Qualifications and Certifications (2.00 mark)

- Master's degree in Disaster Risk Management or related field: 2.00 mark
- Bachelor's degree in Disaster Risk Management or related field: 1.00 marks
- Less than Bachelor's degree in Disaster Risk Management or related field: 0.00 marks

2) Minimum Relevant Work Experience in research, analysis, design and implementation/execution and projects on disaster risk management (2 marks)

- 05+ years/3+ projects of experience: 2.00 marks
- 2-5 years/1-2 projects of experience: 1.00 marks
- Less than 01 year or no experience: 0.00 marks

3) Experience in in Hilly Terrain (1.00 marks)

- 3+ years/2+ projects of experience: 1.00 marks
- 1-3 years/1 project of experience: 0.50 mark
- Less than 01 year or no project experience: 0.00 marks

4) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADE etc.) (1.00 marks)

- 0.50 marks for each project with maximum 1.00 marks

Position K-3**Geo-Spatial Analysis Expert****Total marks [06]****1) Qualifications and Certifications (2.00 marks)**

- Master's degree in Geo-Spatial Science or related field: 2.00 marks
- Bachelor's degree in Geo-Spatial Science or related field: 1.00 marks
- Less than Bachelor's degree in Geo-Spatial Science or related field: 0.00 marks

2) Minimum Relevant Practical Experience of Geo-Spatial Analysis, hazard/risk/vulnerability mapping and/or crowd/flow management in disaster situations (02 marks)

- 05+ years/3+ projects of experience: 2.00 marks
- 2-5 years/1-2 projects of experience: 1.00 marks
- Less than 01 year or no experience: 0.00 marks

3) Proficiency in Geo-Spatial Software (1 mark)

- Proficient in 2+ geo-spatial software: 1.00 mark (Supporting documents/Certificates need to be attached with the CV)
- Proficient in 1 geo-spatial software: 0.50 marks (Supporting documents/Certificates need to be attached with the CV)
- Not proficient in any geo-spatial software: 0.00 marks

Note: Failure to submit software skills Supporting documents/certifications for Key Experts along with the CVs, will result in zero marks for “Relevant Software Skills” criterion.

4) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)

- 0.50 marks for each project with maximum 1.00 marks

<u>Position K-4</u>	<u>Structural Engineer</u>	<u>Total marks [06]</u>
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1) Minimum Qualifications and certifications (2.00 marks)

- Master's degree in Structural Engineering: 1.50 marks
- Certifications in structural analysis software (e.g., ETABS, STAAD): 0.25 marks for each Certification (maximum of 0.50 marks)
(Certificates need to be attached along with the CV)

Note: Failure to submit software skills certifications for Key Experts along with the CVs, will result in zero marks for minimum certifications criterion

2) Minimum Relevant work projects with design/structural engineering/ seismic design and analysis experience (02 marks)

- 5+ years of experience/ 3+ projects successfully completed: 2 marks
- 3-5 years of experience/ 2 projects successfully completed: 1.00 marks
- 2-3 years of experience/ 1 projects successfully completed: 0.50 marks
- Less than 2 years of experience/ No projects: 0 marks

3) Experience in designing structures for hilly terrain (1.00 marks)

- 3 years of experience/ 3+ projects: 1.00marks
- 1-3 years of experience/ 1 to 3 projects: 0.50 mark
- Less than 2 years of experience/Less than 1 projects: 0 marks

4) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)

- 0.50 marks for each project with maximum 1.00 marks

<u>Position K-5</u>	<u>Architect</u>	<u>Total marks [06]</u>
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1. Minimum Qualifications and Certifications (2.00 mark)

- Master's Degree in Architecture: 2.00 mark
- Bachelor's degree in Architecture: 1.00 marks

2. Minimum Relevant Work Experience of designing buildings/ structures (2.00 marks)

- 05+ years/3+ projects experience: 2.00 marks
- 3-5 years/2 project experience: 1.50 mark
- 2-3 years/ 1 project experience: 1.00 marks
- Less than 2 years/ no project experience:0.00 marks

3. Minimum Experience in Designing Buildings/Disaster Shelters in Hilly Terrain/Disaster Prone Areas (1.00 marks)

- Minimum 05+ years/2 projects experience: 1.00 marks
- 2-5 years/1 project experience: 0.50 mark
- Less than 2 years/ no project experience: 0.00 marks

5) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)

- 0.50 marks for each project with maximum 1.00 marks

<u>Position K-6</u>	<u>Community Engagement/ Social Development Specialist</u>	<u>Total marks [04]</u>
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1) Minimum Qualifications and Certifications (1.50 marks)

- Master's degree in Social Science/Sociology/Social Work or related field: 1.50 marks
- Bachelor's degree in Social Science/Sociology/Social Work or related field: 0.50 marks
- Less than Bachelor's degree in Social Science/Sociology/Social Work or related field:0.00 marks

2) Minimum Experience in Community & Stakeholder Engagement, Social Development and Social Safeguards Management (1.50 marks)

- 5+ years of experience: 1.50 marks
- 2-5 years of experience: 1.00 mark
- Less than 2 years of experience: 0.00 marks

	<p>3) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)</p> <ul style="list-style-type: none">0.50 marks for each project with maximum 1.00 marks <table><tr><td><u>Position K-7</u></td><td><u>Environmental Management/ Safeguard Specialist</u></td><td><u>Total marks [04]</u></td></tr></table> <p>1) Minimum Qualifications and Certifications (1.00 marks)</p> <ul style="list-style-type: none">Master's degree in Environmental Science or related field: 1.00 marksBachelor's degree in Environmental Science or related field: 0.50 marksLess than Bachelor's degree in Environmental Science or related field:0.00 marks <p>2) Minimum Relevant Work Experience in Environment Management/Safeguards (1.00 marks)</p> <ul style="list-style-type: none">Minimum 5+ years of experience: 1.00 marks2-5 years of experience: 0.50 marksLess than 2 years of experience: 0.00 marks <p>3) Experience in Environment Management/Safeguards in Hilly Terrain (1.00 marks)</p> <ul style="list-style-type: none">3+ years of experience: 1.00 marks1-3 years of experience: 0.50 markLess than 01 year or No experience:0.00 marks <p>4) Experience in EAP/MDB-funded projects (e.g., World Bank/ ADB etc.) (1.00 marks)</p> <ul style="list-style-type: none">0.50 marks for each project with maximum 1.00 marks <p>Total marks for Criterion 03:[40]</p> <p>Total marks for the four criteria: 100</p> <p>The minimum technical score (St) required to pass is: 70</p>	<u>Position K-7</u>	<u>Environmental Management/ Safeguard Specialist</u>	<u>Total marks [04]</u>
<u>Position K-7</u>	<u>Environmental Management/ Safeguard Specialist</u>	<u>Total marks [04]</u>		
21.1	Not Applicable			

[for STP]	
22.2	<p>Replace second sentence of ITC 22.2 with the following:</p> <p>“All other Financial Proposals shall not be opened.”</p>
	<p>Public Opening of Financial Proposals</p>
23	<p>Replace ITC 23.1 with the following:</p> <p>“23.1 After the technical evaluation is completed and the Bank has issued its no objection (if applicable), the Client shall notify online through e-procurement portal those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score, advising them the following:</p> <ul style="list-style-type: none"> (i) their Proposal was not responsive to the RFP and TOR or did not meet the minimum qualifying technical score; (ii) provide information relating to the Consultant’s overall technical score, as well as scores obtained for each criterion and sub-criterion; (iii) their Financial Proposals will not be opened; and (iv) notify them of the date, time and location of the online public opening of the Financial Proposals and invite them to attend.” <p>In ITC 23.2(b) first sentence, after the words ‘in writing’, add the following: ‘online through e-procurement portal’</p> <p>In ITC 23.2(b)(iv), after the words ‘location of the’ add the following: ‘online’</p> <p>Replace ITC 23.4 with the following:</p> <p>“23.4 The Consultant’s attendance at the opening of the Financial Proposals (in person, or online) is optional and is at the Consultant’s choice”</p> <p>Replace ITC 23.5 with the following:</p> <p>“The Financial Proposals shall be publicly opened online by the Client’s evaluation committee in the presence of the representatives of the Consultants and anyone else who chooses to attend. Any interested party who wishes to attend this public opening should contact the client as indicated in the Data Sheet. Alternatively, a notice of the public opening of Financial Proposals may be published on the Client’s website, if available. At the opening, the names of the Consultants, and the overall technical scores, including the break-down by criterion, shall be</p>

	<p>read aloud and recorded online simultaneously. The Financial Proposals shall be then opened, and the total prices read aloud and recorded online simultaneously. The records of the opening shall remain on the e-procurement portal for the information of all 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.”</p>
23.5	<p>Following the completion of the evaluation of the Technical Proposals, the Client will notify online through e-procurement portal, all Consultants of the location, date and time of the public opening of Financial Proposals.</p> <p>Any interested party who wishes to attend this public opening should contact:</p> <ol style="list-style-type: none"> 1. Dr. Mohit K Puniya, DPM, PIU-USDMA, U-PREPARE, Contact No.: +91 9456622571 2. Mr. Ankit Bhandari, Procurement Expert, PIU-USDMA, U-PREPARE Contact No.: 9557605120 3. Mr. Dheeraj Chauhan, Office Manager, PIU-USDMA, U-PREPARE Contact No.: 9758088688 <p>and request to be notified of the location, date and time of the public opening of Financial Proposals. The request should be made before the deadline for submission of Proposals, stated above.</p> <p>Alternatively, a notice of the public opening of Financial Proposals will be published on the Client's website and/or www.uktenders.gov.in website.</p> <p>In the event of the specified date of proposal opening being declared a holiday for the Client, the proposals will be opened at the appointed time and location on the next working day.</p>
25.1	<p>For the purpose of the evaluation, the Client will exclude: all local identifiable taxes such as GST or similar taxes levied on the contract's invoices.</p> <p>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> <p>All Taxes (Direct & Indirect) shall be paid by the bidder.</p>
26.1 (QCBS only)	<p>The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.</p> <p>The formula for determining the financial scores (Sf) of all other Proposals is calculated as following:</p>

	<p>$S_f = 100 \times F_m / F$, in which “S_f” is the financial score, “F_m” is the lowest price, and “F” the price of the proposal under consideration.</p> <p>The weights given to the Technical (T) and Financial (P) Proposals are:</p> <p>T = 70%</p> <p>P = 30%</p> <p>Proposals are ranked according to their combined technical (S_t) and financial (S_f) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: $S = S_t \times T\% + S_f \times P\%$.</p>
	D. Negotiations and Award
27.1	<p>Expected date and address for contract negotiations:</p> <p>Date: Will be notified later</p> <p>Address:</p> <p>Office of The Program Manager, PROJECT IMPLEMENTATION UNIT (PIU)- USDMA, U-PREPARE, 5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand</p>
29	<p>Replace ITC 29 with the following:</p> <p>“29.1 After completing the negotiations, and obtaining the Bank’s no objection to the negotiated draft Contract, if applicable, the Client shall, send a notification of award to the successful Consultant, confirming the Client’s intention to award the Contract to the successful Consultant and requesting the successful Consultant to sign and return the draft negotiated Contract within eight (8) Business Days from the date of receipt of such notification.</p> <p><u>Contract Award Notice</u></p> <p>Within ten (10) Business Days from the date of notification of award such request, the Client shall publish the Contract Award Notice which shall contain, at a minimum, the following information:</p> <ul style="list-style-type: none"> (a) name and address of the Client; (b) name and reference number of the contract being awarded, and the selection method used; (c) names of the consultants that submitted proposals, and their proposal prices as read out at financial proposal opening, and as evaluated;

	<p>(d) names of all Consultants whose Proposals were rejected or were not evaluated, with the reasons therefore; and</p> <p>(e) the name of the successful consultant, the final total contract price, the contract duration and a summary of its scope.</p> <p>29.2 The Contract Award Notice shall be published on the Client's website with free access if available, or in at least one newspaper of national circulation in the Client's Country, or on e-procurement portal."</p>
30.1	<p>Replace ITC 30 with the following:</p> <p>"The Contract shall be signed prior to the expiry date of the Proposal validity, specified in ITC 12.1 or any extension thereof."</p>
30.2	<p>Expected date for the commencement of the Services:</p> <p>Date: Will be notified later</p>
31.1	<p>The procedures for making a Procurement-related Complaint are detailed in the "<u>Procurement Regulations for IPF Borrowers</u> (Annex III)." If a Consultant wishes to make a Procurement-related Complaint, the Consultant shall submit its complaint following these procedures, In Writing (by the quickest means available, such as by email or fax), to:</p> <p>For the attention: <i>Mr. Anand Swaroop IAS</i></p> <p>Title/position: <i>Program Manager, PIU-USDMA</i></p> <p>Client: <i>U-PREPARE</i></p> <p>Email address: Swaroop.a417@gmail.com;</p> <p>In summary, a Procurement-related Complaint may challenge any of the following:</p> <ol style="list-style-type: none"> 1. the terms of this Request for Proposal; 2. the Client's decision to exclude a Consultant from the procurement process prior to the award of contract; and 3. the Client's decision to award the contract.

Annexure-1**Financial Particulars of the firm**

Financial Year	Total Turnover in INR

“Turnover” would mean the professional fee earned excluding taxes and travelling, if billed separately.

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 FORM	FORM	DESCRIPTION	Page Limit
FTP			
✓	TECH-1	Technical Proposal Submission Form.	
✓	Power of Attorney	No pre-set format/form.	
✓	TECH-2	Consultant's Organization and Experience.	
✓	TECH-2A	A. Consultant's Organization	
✓	TECH-2B	B. Consultant's Experience	
✓	TECH-3	Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Client.	
✓	TECH-3A	A. On the Terms of Reference	
✓	TECH-3B	B. On the Counterpart Staff and Facilities	
✓	TECH-4	Description of the Approach, Methodology, and Work Plan for Performing the Assignment	
✓	TECH-5	Work Schedule and Planning for Deliverables	
✓	TECH-6	Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)	

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

FORM TECH-1

TECHNICAL PROPOSAL SUBMISSION FORM

{Location, Date}

To:

The Program Manager,
Project Implementation Unit (PIU) - USDMA, U-PREPARE,
5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road,
Dehradun-248013, Uttarakhand.

Dear Sirs:

We, the undersigned, offer to provide the Design, Implementation Support, Operational Assistance, Policy Making etc. for Construction & Development of Multi-Purpose Disaster Shelters in Uttarakhand State under U-PREPARE Project in accordance with your Request for Proposals (RFP) dated *[Insert Date]* and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal.

We hereby declare that:

- a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by the Bank.
- b) Our Proposal shall be valid and remain binding upon us until *[insert day, month and year in accordance with ITC 12.1]*.
- c) We have no conflict of interest in accordance with ITC 3.
- d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Bank's policy in regard to Fraud and Corruption as per ITC 5.
- e) We are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by the World Bank Group or a debarment imposed by the World Bank Group in accordance with the Agreement for Mutual Enforcement of Debarment Decisions between the World Bank and other development banks. Further, we are not ineligible under the Client's country laws or official regulations or pursuant to a decision of the United Nations Security Council.
- f) In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in India.
- g) Except as stated in the Data Sheet, ITC 12.7, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for

reasons other than those stated in ITC 12 and ITC 27.4 may lead to the termination of Contract negotiations.

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

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

Signature (of Consultant's authorized representative) {In full and initials}:

Full name: {insert full name of authorized representative}

Title: {insert title/position of authorized representative}

Name of Consultant (company's name or JV's name):

Capacity: {insert the person's capacity to sign for the Consultant}

Address: {insert the authorized representative's address}

Phone/fax: {insert the authorized representative's phone and fax number, if applicable}

Email: {insert the authorized representative's email address} _____

FORM TECH-2 (FOR FULL TECHNICAL PROPOSAL ONLY)

CONSULTANT'S ORGANIZATION AND EXPERIENCE

Form TECH-2: a brief description of the Consultant's organization and an outline of the recent experience of the Consultant that is most relevant to the assignment. For each assignment, the outline should indicate the names of the Consultant's Key Experts who participated, the duration of the assignment, the contract amount, and the Consultant's role/involvement.

A - Consultant's Organization

1. Provide here a brief description of the background and organization of your company, and – in case of a joint venture – of each member for this assignment.
2. Include organizational chart, a list of Board of Directors, and beneficial ownership.

B - Consultant's Experience

1. List only previous similar assignments ((*Design of RCC Framed Structure / Pre-Engineered Buildings (PEB) Structure*) successfully completed in the last 05 years as per the format mentioned below:

Duration	Assignment name/& brief description of main deliverables/outputs	Name of Client & Country of Assignment	Approx. Contract value (in Rs.)/ Amount paid to your firm	Role on the Assignment
{e.g., Jan.2020–Apr.2021}	{e.g., “Improvement quality of.....”: designed master plan for rationalization of; }	{e.g., Ministry of, country}	{e.g.,Rs.1 mill/Rs. 0.5 mill}	{e.g., sole Consultant}
{e.g., Jan-May 2021}	{e.g., “Support to sub-national government.....”: drafted secondary level regulations on.....}	{e.g., municipality of....., country}	{e.g.,Rs. 0.2 mil/Rs. 0.2 mil}	{e.g., sole Consultant}

2. List only those assignments for which the Consultant was legally contracted by the Client as a company or was one of the joint venture members. Assignments completed by the Consultant's individual experts working privately or through other consulting firms cannot

be claimed as the relevant experience of the Consultant, or that of the Consultant's partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Consultant should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so, requested by the Client for verification or the client reserves the right to independently verify the same.

Duration	Assignment name/& brief description of main deliverables/outputs	Name of Client & Country of Assignment	Approx. Contract value (in Rs.)/ Amount paid to your firm	Role on the Assignment
{e.g., Jan.2020–Apr.2021}	{e.g., “Improvement quality of.....”: designed master plan for rationalization of; }	{e.g., Ministry of, country}	{e.g., Rs.1 mil/Rs. 0.5 mil}	{e.g., Lead partner in a JV A&B&C}
{e.g., Jan-May 2021}	{e.g., “Support to sub-national government.....”: drafted secondary level regulations on.....}	{e.g., municipality of....., country}	{e.g., Rs. 0.2 mil/Rs. 0.2 mil}	{e.g., sole Consultant}

FORM TECH-3 (FOR FULL TECHNICAL PROPOSAL)

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

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

A - On the Terms of Reference

{improvements to the Terms of Reference, if any }

B - On Counterpart Staff and Facilities

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

FORM TECH-4 (FOR FULL TECHNICAL PROPOSAL ONLY)

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

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

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

- 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-4 (FOR SIMPLIFIED TECHNICAL PROPOSAL ONLY)

DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

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}

- a) **Technical Approach, Methodology, and Organization of the Consultant's team.**
{Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TOR), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s); the degree of detail of such output; and describe the structure and composition of your team. Please do not repeat/copy the TORs in here.}
- b) **Work Plan and Staffing.** {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 understanding of the TOR and ability to translate them into a feasible working plan and work schedule showing the assigned tasks for each expert. 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) **Comments (on the TOR and on counterpart staff and facilities)**
{Your suggestions should be concise and to the point, and incorporated in your Proposal. Please also include comments, if any, on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc.}

FORM TECH-5 (FOR FTP)**WORK SCHEDULE AND PLANNING FOR DELIVERABLES**

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

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

FORM TECH-6(FOR FTP 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
KEY EXPERTS															
K-1	{e.g., Mr. Abbbb}	[Team Leader]	[Home]	[2 month]		[1.0]		[1.0]							
			[Field]	[0.5 m]		[2.5]		[0]							
K-2															
K-3															
n															
											Subtotal				
NON-KEY EXPERTS															
N-1			[Home]												
			[Field]												
N-2															
n															
											Subtotal				
											Total				

1 For Key Experts, the input should be indicated individually for the same positions as required under the Data Sheet ITC21.1.

- 2 Months are counted from the start of the assignment/mobilization. One (1) month equals twenty-six two (26) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
- 3 "Home" means work in the office stationed in Dehradun only. "Field" work means work carried out during the site visit in the locations identified for the development & construction of Multi-Purpose Disaster Shelters in Uttarakhand State.



Full time input

Part time input

FORM TECH-6 (CONTINUED)

CURRICULUM VITAE (CV)

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

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

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

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

Membership in Professional Associations and Publications:

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

Adequacy for the Assignment:

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

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

Enclosures: All supporting documents, certificates etc.

Certification:

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

{ day/month/year }

Name of Expert

Signature

Date

{ day/month/year }

Name of authorized
Representative of the Consultant
(the same who signs the Proposal)

Signature

Date

Section 4. Financial Proposal - Standard Forms

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

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

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

FORM FIN-1
FINANCIAL PROPOSAL SUBMISSION FORM

{Location, Date}

To:

The Program Manager,
Project Implementation Unit (PIU) - USDMA, U-PREPARE,
5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road,
Dehradun-248013, Uttarakhand

Dear Sirs:

We, the undersigned, offer to provide the **Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project** in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

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

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

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

We remain,

Yours sincerely,

Signature (of Consultant's authorized representative) {In full and initials}:

Full name: {insert full name of authorized representative}

Title: {insert title/position of authorized representative}

Name of Consultant (company's name or JV's name):

Capacity: {insert the person's capacity to sign for the Consultant}

Address: {insert the authorized representative's address}

Phone/fax: {insert the authorized representative's phone and fax number, if applicable}

Email: {insert the authorized representative's email address}_____

FORM FIN-2 SUMMARY OF COSTS

Item	Cost
	{ Consultant must state the proposed Costs in accordance with ITC 16.4 of the Data Sheet }
	In Indian Rupees (Rs.)
Cost of the Financial Proposal	
Including:	
(1) Remuneration	
(2) Reimbursable	
<u>Total Cost of the Financial Proposal:</u> {Should match the amount in Form FIN-1}	
Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded	
<u>Total Estimate for GST:</u>	

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.

A. Remuneration					
No.	Name	Position (as in TECH-6)	Person-month Remuneration Rate	Time Input in Person/Month (from TECH-6)	Total in Rs.
Key Experts					
K-1			[Home]		
			[Field]		
K-2					
Non-Key Experts					
N-1			[Home]		
N-2			[Field]		
Total Costs (Rs.)					

Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

1. Review of Remuneration Rates

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

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

Where w = weekends, ph = public holidays, v = vacation, and s = sick leave.

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

- (v) Overheads are the Consultant's business costs that are not directly related to the execution of the assignment and shall not be reimbursed as separate items under the Contract. Typical items are home office costs (non-billable time, time of senior Consultant's staff monitoring the project, rent of headquarters' office, support staff, research, staff training, marketing, etc.), the cost of Consultant's personnel not currently employed on revenue-earning projects, taxes on business activities, and business promotion costs. During negotiations, audited financial statements, certified as correct by an independent auditor and supporting the last three years' overheads, shall be available for discussion, together with detailed lists of items making up the overheads and the percentage by which each relates to basic salary. The Client does not accept an add-on margin for social charges, overhead expenses, etc. for Experts who are not permanent employees of the Consultant. In such case, the Consultant shall be entitled only to administrative costs and a fee on the monthly payments charged for sub-contracted Experts.
- (vi) Profit is normally based on the sum of the Salary, Social costs, and Overheads. If any bonuses paid on a regular basis are listed, a corresponding reduction shall be made in the profit amount. Profit shall not be allowed on travel or any other reimbursable expenses.
- (vii) Away from Home Office Allowance or Premium or Subsistence Allowances. Some Consultants pay allowances to Experts working away from headquarters or outside of the home office. Such allowances are calculated as a percentage of salary (or a fee) and shall not draw overheads or profit. Sometimes, by law, such allowances may draw social costs. In this case, the amount of this social cost shall still be shown under social costs, with the net allowance shown separately.

Sample Form

Consultant:
Assignment:

Country:
Date:

Consultant's Representations Regarding Costs and Charges

We hereby confirm that:

- (a) the basic fees indicated in the attached table are taken from the firm's payroll records and reflect the current rates of the Experts listed which have not been raised other than within the normal annual pay increase policy as applied to all the Consultant's Experts;
- (b) attached are true copies of the latest pay slips of the Experts listed;
- (c) the away- from-home office allowances indicated below are those that the Consultant has agreed to pay for this assignment to the Experts listed;
- (d) the factors listed in the attached table for social charges and overhead are based on the firm's average cost experiences for the latest three years as represented by the firm's financial statements; and
- (e) said factors for overhead and social charges do not include any bonuses or other means of profit-sharing.

[Name of Consultant]

Signature of Authorized Representative

Date

Name: _____

Title: _____

**Consultant's Representations Regarding Costs and Charges
(Model Form I)**

(Expressed in Rs.)

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

1. Expressed as percentage of 1

2. Expressed as percentage of 4

FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES

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

B. Reimbursable Expenses					
N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	In Indian Rupees (Rs.)
	{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					

Section 5. Eligible Countries

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

Under the ITC 6.3.2 (a): None

Under the ITC 6.3.2 (b): None

Section 6. Fraud and Corruption

1. Purpose

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

2. Requirements

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

- 2.2 To this end, the Bank:

- a. Defines, for the purposes of this provision, the terms set forth below as follows:
 - i. "corrupt practice" is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
 - ii. "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
 - iii. "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
 - iv. "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
 - v. "obstructive practice" is:
 - (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - (b) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 2.2 e. below.
- b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

- c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
- d. Pursuant to the Bank's Anti- Corruption Guidelines and in accordance with the Bank's prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;¹ (ii) to be a nominated² sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;
- e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect³ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

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

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

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

Section 7. Terms of Reference

UTTARAKHAND PREPAREDNESS AND RESILIENCE PROJECT (U-PREPARE)

TERMS OF REFERENCE

FOR

Hiring of Consultancy firm for

Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project

Job Title	: Hiring of Consultancy firm for Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project
Locations	: Uttarakhand, India
Contract Term	: Lump sum
Contract Duration	: Forty-Two (42) Months (12 Months for Design & DPR Preparation Stage & 30 Months for Implementation Design Support Stage)
Client	: Program Manager, PIU-USDMA, U-PREPARE, Uttarakhand

I. INTRODUCTION

Uttarakhand is a Himalayan Mountain region that is regularly impacted by flash floods, landslides, earthquakes, wildfires, glacier lake outbursts, and cloudbursts. Uttarakhand's disaster vulnerability is further exacerbated by climate change, elevating the risk of wildfires, flash floods, landslides, and droughts. In this context, the World Bank Uttarakhand Disaster Preparedness and Resilience Project (U-PREPARE) focuses on enhancing the climate and disaster resilience of selected critical public infrastructure in Uttarakhand and strengthening the state's preparedness and emergency response capacity.

A high and increasing number of people in Uttarakhand are affected by disasters. Due to Uttarakhand's rich cultural and religious history, many tourists and pilgrims come to the state every year and often visit remote areas that are particularly vulnerable to natural hazards. As a result, tourism contributes significantly to Uttarakhand's state gross domestic product, but suffers from increasing disaster risk. Significant additional public and external investments are ongoing or planned for as outlined in the Uttarakhand tourism policy and vision for 2030.¹

In 2021, 39 million tourists visited Uttarakhand, following 22 million in 2014², many of them for tourism and pilgrimage. Four million pilgrims alone visit the main pilgrimage, Chardham Yatra. The nearly 80 percent increase in tourists between 2014 and 2021 is expected to continue to rise by seven percent annually until 2027. Applying this rate could lead to up to 70 million annual tourists in 2030.

Past disasters have resulted in loss of lives, missing persons, and temporarily inaccessible areas, primarily in the mountainous areas in the north of Uttarakhand around the Chardham Yatra. The disastrous floods in June 2013 were the most extreme recent catastrophic event. According to the post-disaster needs assessment, 580 human lives were lost, over 4,083 persons were missing, and over a hundred thousand pilgrims were stranded. Yet, there are currently no shelters in the state and the shelter needs are poorly understood. The high number of tourists brings its own risks as it can contribute to infrastructure and environmental deterioration and further increase disaster risk.

Against this background, emergency shelter needs shall be assessed to inform the design of a shelter development plan, an accompanying policy, and the construction of pilot shelters to provide a safe haven during disasters for the local population, tourists, pilgrims, and the people employed by the tourism sector. The key objective is to provide safe short-term shelter between disaster onset and evacuation. The combination of the many pilgrims and the fragile mountainous context provides a novel context with little to no global precedents.

¹ Uttarakhand Tourism, 2022. "Uttarakhand Tourism Policy 2030"

² Ibid.

II. The Objectives of the Consulting Assignment

The overarching goal of this assignment is to inform the establishment of disaster shelters in Uttarakhand to protect the local population, tourists, and pilgrims during disasters. The objectives of the assignment are the following:

1. Develop a **comprehensive, multipurpose disaster shelter needs assessment** at the state level, considering the location-specific exposure to risk and vulnerability.
2. Develop a **staged shelter development plan** that is socially inclusive, including a state-level shelter policy and strategy indicating suitable locations, area-based carrying capacity, types and priorities of shelters, and operational plans, including adequate shelter management models, and Standard Operating Procedures (SOPs). These inputs shall include a proposition of where, how, and by when to construct how many shelters of which type, considering different possible future risk and development scenarios (e.g., high vs. low growth in population and pilgrim/tourist numbers) and development pathways (e.g., extensive/medium/low shelter coverage).
3. Identify specific **requirements for developed shelter typologies**, including space allocations focusing on the safety and security of vulnerable groups (e.g., women, children, and senior citizens), complying with relevant national guidelines such as the Rights of Persons with Disabilities Act 2016, needed equipment, and potential uses during non-emergency situations.
4. Design **ten multipurpose shelters** using the developed typologies and prepare drawings ready for construction.
5. Design an accompanying **dissemination package**, including open-access publication of key consultancy outputs and methods and publication of created information as open data.
6. Provide **implementation design support** during construction of shelters, including adaptation of drawings and overall guidance.

III. Scope of the Consulting Services

The scope of work for the Consultancy is to develop a comprehensive, multipurpose disaster shelter needs assessment, staged shelter development plan, shelter typologies, and provide complete DPRs and Detailed Estimates along with implementation design support during implementation of contracts, including preparation of bid documents and support during the bidding process. It will also include preparation of Good for Construction (GFC) Drawings, technical specifications and various terms & conditions contained in the contract agreement for successful completion of the works.

The consultancy firm will execute the following activities marked as (A) in consultation with the Project Implementation Unit (PIU)-USDMA, U-PREPARE Project, Project Management Unit (PMU), U-PREPARE Project, Uttarakhand State Disaster Management Authority (USDMA) and the World Bank, divided into the following two phases.

1. Design Stage

32.A1 – Development of a Comprehensive Multipurpose Disaster Shelter Needs Assessment

A1.1 Analyze disaster shelter needs building on the state's disaster exposure and vulnerability and create a state-level GIS map that indicates adequate area-based shelter specifications and capacity. This should include specific proposed locations for the first batch of priority pilot shelters and defined areas for possible later shelter development. The choices shall be made based on a replicable method that considers (i) hazard exposure, (ii) vulnerability, (iii) population and tourist/pilgrim density and (iv) reliable accessibility during disasters including for vulnerable groups, among other criteria. As feasible, based on the typology of shelters, the analysis shall identify methods for engaging the local community in the planning, construction, and maintenance of the shelters. The analysis shall identify and specify a set of scenarios for likely future developments of population and tourist/pilgrim growth (timeframe of 2035 or later, including consideration of developments such as projected infrastructure expansions and new areas of interest), plan for peak demand (high tourism/pilgrimage and monsoon season) and consider flow management and possible maximum carrying capacities of tourist and pilgrimage sites to maximize safety throughout the year. Further, the assessment shall screen, map, and prioritize public buildings with high construction standards that may be turned into temporary shelters during disasters, e.g., stadiums and schools. Further, vacant land slots that are outside the exposure zones, e.g., parking lots and open spaces outside forests/wildlife crossing areas, where temporary shelters could be installed immediately after the disaster events shall be identified. A hierarchical shelter system shall help provide more flexibility in accommodating the identified needs. The key output shall provide a basis for understanding current and expected shelter needs and identifying priority locations.

33.A2 – Design of a Staged Shelter Development Plan and Drafting of a Shelter Policy

A2.1 Design a state-level shelter strategy indicating possible locations, including assessing the suitability of pre-identified locations that will be shared with the consultancy firm, and suggest priority pilot disaster shelter locations to be constructed under U-PREPARE and independently of the project. A staged plan for future shelters shall be prepared based on the needs assessment (A1) and result in a draft shelter policy for Uttarakhand. The output shall align with the requirements of the laws and policies for differently abled people, senior citizens, the safety of women, and other vulnerable groups. Existing infrastructure that could serve/be amended to serve as shelter shall be assessed and integrated where adequate. Depending on locations, different shelter typologies/options (e.g., capacity, functions/operating model, construction type, material, layout with basic amenities/facilities) shall be proposed. The proposed priority locations shall include at least one of each shelter type identified.

A2.2 Establish operational plans for the multipurpose shelters (per type if and where adequate), including shelter management models, potential institutional mechanisms/business models for shelter use during non-emergency situations, related secondary uses (e.g., as a health post), and SOPs for maintenance, training, and mock drills. A monitoring and reporting system shall ensure compliance with established requirements during emergency and non-emergency periods. The activity shall draw on established best practices for multipurpose shelters in other parts of the country and worldwide. Maintenance and/or business models shall be aligned with local community needs, prioritize women-led activities, and consider the seasonality of tourism/pilgrimage, especially in areas close to the Chardham Yatra sites. Shelters should become an integrated part of Uttarakhand's emergency evacuation plan, including clear signage, easy-to-find information, consideration of various categories of differently-abled people. Details and SOPs for temporarily constructed shelters for post-disaster accommodation (e.g., tents) shall complement the new multipurpose and retrofitted shelters as per the identified needs.

A3 – Design of Shelters

A3.1 Prepare specifications for shelters (per type if and where adequate, including but not limited to designs, construction materials, and techniques), including an adequate number of model design variants (incl. drawings of schematic design) that permit adaptation to different shelter needs, space allocations with focus on vulnerable groups, safety and security (e.g., women, children, and senior citizens), compliance with relevant legislation and guidelines including the Rights of Persons with Disabilities Act 2016, needed equipment, potential uses as information/training center point, health posts, and node for Early Warning Systems (EWS). Any possible space requirements for storage of search and rescue equipment, EWS maintenance, and livelihood capital shall be explored (cf. space provision for livestock in multipurpose cyclone shelters).

A3.2 After the identification of the selected priority pilot shelter locations (A2.1), provide the civil engineering design and DPRs for those shelters including gender and accessibility audits before finalization. Prepare the complete DPRs of the selected priority pilot shelters (A2.1). Further, provide the Bill of Quantities (BOQs) of all civil engineering works and items of proposed shelters including tender drawings, technical specifications, and other tender documents (e.g., requests for proposals) to enable the specialized agency to award the works.

34.A4 – Provision of a Dissemination Package

A4.1 Prepare an open access documentation that outlines key outcomes of the consultancy in collaboration with USDMA, the PMU, and the World Bank. A final draft of the resulting document shall be made publicly available in open access at project closing (e.g., open repository/public preprint/working paper on the consultancy website).

A4.2 Prepare and render openly accessible data created and methods developed as part of the consultancy in collaboration with USDMA, the PMU, and the World Bank, following open data principles.

2. Implementation Design Support Stage

A5 – Implementation Design Support

A5.1 Provide design implementation support during the construction of shelters, including adaptation of drawings and overall guidance.

IV. DELIVERABLES (BOTH STAGES)

The consultancy firm will be expected to provide the following Deliverables (D):

Design Stage:

D1. Assignment-level reports:

D1.1 Inception Report: In the Inception Report, the consultancy firm will outline a comprehensive methodology aimed at ensuring the successful completion of the task within the designated timeframe. This methodology will encompass various phases, including a preliminary survey and planning, developing the concept design, establishing the project office, determining software utilization, staffing schedule and detailed project timeline etc. It is imperative that this methodology serves as the guiding framework for the project execution to meet time-bound objectives effectively and efficiently.

D1.2 Mid-Term Report: An interim report providing updates on the assignment's progress.

D1.3 Assignment Closing Report: A final report summarizing completed activities, results achieved, lessons learned, and suggesting potential next steps.

D2. Comprehensive disaster shelter needs assessment and shelter development plan:

D2.1 Multipurpose Disaster Shelter Needs Assessment: A detailed report outlining the requirements for disaster shelters at the state level based on demographics, vulnerability, hazard mapping, accessibility, safety, and security norms, and other relevant factors, including GIS layers complementing the analysis.

D2.2 State-Level Shelter Strategy: A strategic plan detailing the selection of shelter locations, capacity planning, resource allocation, and coordination with relevant authorities, building on D2.1. The plan should be based on a multi-phase implementation approach, highlighting key locations and proposed numbers of shelters to be developed in relevant phases.

D2.3 Draft Shelter Policy: Develop a draft disaster shelter policy outlining infrastructure requirements, operational procedures, and resource allocation strategies to ensure effective response during crises, emphasizing community and gender related requirements, safety, security, and accessibility, as well as resilience.

D2.4 Draft Operational Plans for Multipurpose Shelters: Documents informing future operational plans, including minimum equipment, schedules, and mock drills informed by existing best practices globally. Different versions of the plans shall respond to diverse shelter requirements, management, and secondary purposes of the developed shelter typologies.

D3. Shelter Design:

D3.1 Shelter Specifications and Design: A detailed document specifying architectural, safety, accessibility, basic amenities/facilities (including sanitation, water supply, and waste management) and technological aspects per type of shelter for constructing and maintaining multipurpose disaster shelters, focusing on inclusivity and sustainability. It is encouraged to explore different design and construction technologies, as well as the use of renewable energy through solar panels for the pilot shelters.

D3.2 Model Shelter DPRs: Development of generic draft DPRs for a minimum of six shelter types according to the needs identified in D2.2 and D2.4 (e.g., capacity, building materials, construction/retrofitting), including typology and specifications. All DPRs shall align with the laws and policies for differently-abled people, women, children, and senior citizens. A minimum of two shelter types shall focus on retrofitting existing (public) buildings in an exemplary manner by using representative public buildings selected for retrofitting.

D3.3 Site-Specific DPRs for Pilot Shelters: Ten site-specific detailed DPRs and engineering drawings for sites selected jointly with the client based on D2.2. There should be at least one site-specific DPR for each of the six model DPR types developed in D3.2. This deliverable consists of the following parts:

- i. **Preliminary Project Report (PPR)** including preliminary drawings, Detail of Measurements (DOM), Rate analysis for non-scheduled items, cost estimate
 - a. Preparation & submission of all necessary reports, documents, drawings and designs required for clearance from civic authorities/Statutory Authorities according to applicable acts, laws, regulations etc. and make any changes desired by such authorities at no extra cost.
 - b. The estimation of quantities shall be based on detailed design of all the components of the projects. The Consultant shall prepare and submit draft Detailed Project Report (DPR) in different volumes as directed by the client/employer for construction of Shelters/Buildings, which should include Main Report, Design Report, Material Report, Technical Specification, Rate Analysis, Cost Estimate, Bill of Quantity (BOQ), Drawings, Civil work contract Agreement etc.
 - c. The consultant shall supply all design calculations/computer input and output giving specific reference to BIS/NBC for structural design, along with soft copies. The structural drawing showing the reinforcement details/bar bending schedule shall be prepared as per the latest edition of SP:34 (S&T). All overriding conditions prescribed by IS: 13920 or any other BIS code shall be taken into account while preparing the structural drawings.

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- d. Preparation and submission of detailed designs, drawings and documents for all external utility services like electrification, water supply, sewerage, storm water drainage, fire hydrants schemes, rainwater harvesting, and other related schemes and any other specialized services as per project requirement suitable for construction and release to site including getting approvals from Client/Employer.
 - e. The Design consultant shall give all references of the codes followed in the design along with the photocopies of relevant pages of codes used as part of DPR.
 - f. Preparation and submission of tender drawings for the purpose of bidding process.
 - g. Preparation and submission of environmental and social screening, assessment and ESMPs of each sub project as set out as in the ESMF, RPF and SEP.
 - h. The Consultants shall prepare detailed plan for safety and environmental sustainability (including waste/debris management) during the construction period.
 - i. Preparation of DPR with detailed estimate as per CPWD norms with complete working details, schedules, building specifications, including specification for all trades and services, and Bill of Quantities (BOQ) including various services all based on DSR (Delhi Schedule of Rates) conforming to specifications to describe the whole project adequately, supplying details of calculations of all items in schedule of quantities. Where prescribed specifications and/or schedule of rates are not provided for certain items/services, specifications and rates based on proper market rate analysis supported by minimum three Quotations from reputed/specialized agencies shall be adopted along with Engineering Market Rate Analysis for these items with the approval of the Client/Employer. Cost estimation of dismantling and removal of debris in case of demolition structure must be included in the details estimate.
 - j. The consultant shall be responsible for making changes/modifications as directed by the client and stakeholders, and these changes must be incorporated into the documents. The revised document will be accepted by the competent authority, after which, it will be considered final.
 - k. The DPRs should be submitted separately for each Shelters/buildings/projects. The DPR shall consist of the following chapters:
 - i. Main Report including executive summary
 - ii. Topographical survey and Contour survey, Soil Investigation & Geo technical investigation report, Construction material Report, Design base report, Specifications & schedule of finishes
 - iii. Sub-Project Specific Environment (including, OHS) and Social Management Plans.
 - iv. Detailed Design/Technical Report [Architectural, Structural and MEP (Mechanical, Electrical & Plumbing) Services design]
 - v. Schedule of Rates (SoR)
 - vi. Rate Analysis as describe above.
 - vii. Detail of measurements
 - viii. Bill of Quantities (BOQ) and Cost Estimate(s)
 - ix. Technical Specification with respect to each BOQ item

- x. Details Drawings of existing buildings
- xi. Bid Drawings (Architectural, structural, services etc.), the Bid drawings shall be as good as the GFC/working drawings

ii. **Detailed Project Report (Final DPR)**

- a. Report regarding statutory approvals.
- b. The consultant shall prepare final volumetric design development via architectural renderings of all proposals and walkthrough presentation for all type of model designing.
- c. The Final DPR shall all comprise similar documents of the acceptance of draft DPR. However, all the comments/observations/suggestions/modifications as per statutory bodies, and competent authority/ client shall be incorporated in the final DPR and final estimates.

iii. **Good for Construction (GFC)/Working drawings**

- a. Before signing of the Works Contract for each subproject/package, the Consultant shall provide all the necessary GFC drawings and GA drawings up to successful completion of each subproject/package. However, the other GFC drawings as per requirement of site condition shall be provided by the Consultant during the implementation design support stage (construction & supervision stage), well in advance of execution of particular item/activity. All 10 (indicative number) sites will need site specific drawings at tender stage/final DPR.

iv. **Quality control and Construction Manual**

- a. The Consultant shall submit a Construction Supervision Manual identifying the quality requirements and /or standards for the project and documenting how the project will demonstrate compliance. The Construction Supervision Manual shall provide necessary processes and metrics for Quality Management and shall include but not limited to the following.
- b. The quality standards that apply to the project, with reference to the technical specifications and codes.
- c. Quality control, quality assurance and process improvement approaches for the project.
- d. Quality control tools and techniques.
- e. Use of the digital management information system (MIS) of the PMU/PIU: The construction supervision manual should specify the type of digital tools to be used, the interval, and the type of information (photos, videos, forms) to be submitted into the MIS to allow for quality remote supervision.
- f. The responsibility chart/ matrix showing who will be involved in managing and ensuring quality, when and what their specific duties will be.
- g. The metrics that shall be used to measure quality, environment management and safety during construction stage.
- h. Specific mentions about the parts of the projects or deliverables that will be measured and their time and frequency.
- i. Check lists for inspection of material and processes.

- j. Flow charting of processes to detect potential quality problems, including on EHS aspects.
- k. Scope for periodically quality audit.
- l. Balance the needs of the quality with scope, cost, time, resources and risk.

The start of the Quality Management involves setting quality targets. The "Quality Assurance Process" and "Quality Control Process" shall be undertaken, to measure and report the actual quality of deliverables, as parts, phases or complete project. As part of the Quality Management, all quality issues shall be identified and resolved quickly.

As the supervision of the construction works is to be done by the PIU/Field PIU as designated for particular or number of contracts, it shall perform Quality Assurance for consistency in quality and undertake Quality Control for meeting Quality Targets, Standards and acceptability criteria. They shall identify quality issues and initiate quality improvement and implement Quality Management to ensure further quality control. The PIU/FPIUs or other Third Party as nominated by PMU/PIU shall carry out independent laboratory tests in NABL accredited Laboratories and record the findings for appropriate action.

The Consultant shall prepare the Construction Supervision Manual for approval by the World Bank and the Client. It is expected that the Consultant will share the draft versions of the above plan and manuals before finalization.

D4. Dissemination Package:

D4.1 Open Access Documentation: A document outlining key outcomes, methodologies used, and critical outputs, facilitating validation and replication.

D4.2 Set of Created Data and Methods Published in Open Access: Openly accessible publication of data and methods developed during the consultancy, following open data principles.

D5. Implementation Design Support:

- The Consultant's team shall provide necessary home office input for the review, coordination, and finalization of Designs and Drawings to ensure their suitability for Good for Construction (GFC) purposes whichever and whenever required by the client during construction stage for successful completion of the project.
- If any changes/modifications are required in the design and/or drawings as per site conditions during the construction stage, the design consultant shall provide revised drawings and designs without any additional cost.
- Consultant shall provide clarifications/ modifications/ revisions during execution, if required, and provide revised data to the client for approval.
- Presentation of the project, if required by the client on specific occasion.
- The client may require the services of any of the key experts in case an eventuality arises during entire duration of the project.

- Scrutinize and approve the fabrication and shop drawings (if any) within 3 working days of submission as required under the contract with consultation of client/employer during construction stage.

V. Duration of Assignment

The expected time frame of the assignment is 42 months from contract signing, consisting of 12 months for the Design & DPR Preparation Stage and 30 Months for the Implementation Support Stage.

VI. Reporting Arrangements

1. Review of Technical Reports

The technical reports will be reviewed by a team of experts constituted by the U-PREPARE PMU, PIU and USDMA, supported by the World Bank. If corrections and further actions are needed, the consultancy firm will submit the amended report within two weeks for review and clearance by the committee. In the case that there is a need for further revision (third submission), it shall be completed in the next two weeks.

2. Progress Review

The progress of the consultancy firm's work will be monitored by a progress review committee which would be chaired by the Project Director/Program Manager, U-PREPARE, Govt. of Uttarakhand, and USDMA at each milestone. The committee will review the progress of the consultancy firm and will suggest appropriate corrections and measures per the work plan submitted by the consultancy firm. The consultancy firm will be required to give regular presentations on the progress of work in such meetings. For effective coordination and clearance of deliverables, representatives of the client and the consultancy firm shall meet every month. Besides regular meetings in Dehradun, the meetings may be held at selected sites for future shelters as per requirements.

The consultancy firm shall conduct a detailed study of shelters and submit requisite copies of complete work report/DPRs to client in accordance with the approved program. The client will apprise the consultancy firm in writing of comments on the reports and DPRs within two weeks from its date of submission. The consultancy firm shall submit revised report and design/drawing as second submission as per the comments of the client, within two weeks for issuing and approving.

3. Approval of Deliverables

The client reserves the right to approve or disapprove the deliverables upon the information available. On completion of the review, the client will return the submission with one of the following comments:

“Approved” to allow work to proceed.

“Not approved” resubmission required incorporating comments given.

Approval of drawings of shelters by the client shall encompass checking in principle only and not verifying every dimension and detailed manner. To enable the client to appreciate and understand the observations and comments of the consultancy firm, in addition to the deliverables, the consultancy firm shall submit relevant background documents that informed the deliverables, such as drawings, design calculations, explanatory notes containing adopted design criteria, loads, and a description of the methodology used.

4. **Review of Computerized Analysis and Design**

The following shall be compiled/documented by the consultancy firm in its submittals of deliverables for review:

- The consultancy firm shall use accredited/validated software and the same shall be indicated. Design criteria, structural & geotechnical analysis, and detailed design calculations should be in editable text files and PDF. However, a minimum 3 sets of all accepted/approved documents/design and drawings would be submitted by the consultant in hard whereas, the soft copy should be submitted on CDs or pen drives.
- Details of figures of models, wherever applicable.
- All information as called for in the clause of design calculations.
- If the client requests validation sample examples or calculations from the engineering software used, the consultant will provide them at no additional cost to the client.
- The consultancy firm shall submit printouts and softcopies of all pages as appeared in the output of the computer program without disturbing the output as generated by the program. The consultancy firm shall also submit all editable files of designs and drawings.

The date of dispatch of comments to the consultancy firm from the client's office shall be considered as the date of delivery. The consultancy firm will submit comments as soft copy to the PMU and will also be required to give a presentation on the same as and when required.

To perform the above activities efficiently, the consultancy firm is required to ensure the presence of key team members at least one week each calendar month in Uttarakhand at its own cost for carrying out various design and review activities and assist the client in the approval of different reports, design documents, and drawings during the contract period and attend the meetings with the client and other stakeholders.

VII. Environment and Social Safeguards

Efforts shall be made to ensure positive contribution to the Environment & confirmation to pollution control norms and Social Safeguards. It is mandatory for the consultant to design the Shelters as per water and energy efficiency norms.

1) Environment Management

- a) Carry out categorization/screening of the subproject based on the Project's ESMF
- b) Prepare a sub-project specific environmental screening report.

- c) Conduct Environmental Assessment to assess the environmental risks and impacts of the project.
- d) Identify the health and safety risks and impacts listed in the Environmental Health & Safety guidelines of the World Bank Group.
- e) Identify any risk to material threat to the protection, conservation, maintenance and restoration of natural habitats and biodiversity.
- f) Conduct baseline studies for environmental monitoring.
- g) Prepare subproject specific Environment Management Plan (EMP) for construction of the proposed building and budget provision for complying with the EMP.
- h) Preparation of Debris Management Plan (identify site for debris disposal), Waste Management Plan, and other required plans, as per site requirements.
- i) The consultant shall predict damages to the Environment and attempt to mitigate or minimize the damages by choosing appropriate site, cross-section, type of structures etc. and suggest appropriate measures in the design for protection of surrounding environment.
- j) The consultant shall design the building in such a way to utilize natural source of energy/light and minimize use of non-renewable energy resources. In case of retrofiting, the same provision shall be incorporated.
- k) The consultant shall prepare all necessary reports, documents, drawings, and designs required for regulatory/EIA approvals from State Level Environment Impact Assessment Committee, clearance from pollution control board, environment/forest and other civic authorities, if required.
- l) Preparation of Forest or Civil Land Transfer Cases if required.

2) Social Safeguards

- a) Coordination and liaison with the Forest Department (District/State Level) assess land requirement and its availability and ownership and collect the land documents related to land possession of Multi-Purpose Disaster Shelters to update the DPR accordingly.
- b) Assessing, Managing and monitoring of social risks and impacts associated with each stage of project in order to achieve social outcomes consistent with projects ESMF, RPF LMP and SEP and prepare site specific Environment and Social Management Plan (ESMP). Conduct field investigations/surveys to prepare a comprehensive Social Screening/ Assessment report for each site as per ESMF Document and is to be attached with all the DPRs.
- c) The Social Screening/Assessment will be based on current information, including an accurate description and delineation of the project and any associated aspects, and social baseline data at an appropriate level in detail, sufficient to inform characterization and identification of risks and impacts and mitigation measures. The assessment will evaluate the project's potential social risks and impacts; mitigation hierarchy for adverse social impacts and seeks opportunities to enhance the positive impacts of the project. The social assessment will include stakeholder engagement as an integral part of the assessment in accordance with stakeholder engagement plan.
- d) The design of the building should be gender audited to ensure safe and secured workplace for women.
- e) Identification and implementation measures to address impacts on cultural heritage in accordance with the mitigation hierarchy will be done to consider direct, indirect and cumulative project-specific risks and impacts on cultural heritage. The environmental and social assessment as set out as in the ESMF, RPF and SEP.
- f) The consultant shall follow the project level LMP and estimate the labour requirement to prepare site specific labour management plan and include provision for use of ICT based

tools for real time monitoring of compliance of labour laws and include in the ESMP for the bid documents.

- g) To mitigate unavoidable adverse social and economic impacts from land acquisition or restrictions on land use consultant will ensure that timely compensation for loss of assets should be provided to the Project affected families. in case of private land purchase, to execute the resettlement activities, appropriate disclosure of information and meaningful consultation will be conduct by the consultant to prepare ARAP/RAP document. Consultant will conduct a Socio-Economic Survey and prepare Resettlement Action Plan (RAP)/Abbreviated Resettlement Action Plan (A-RAP) as per the project level Resettlement Policy Framework.
- h) Conduct Consultations to identify traditional local communities. If any traditional local communities are identified, the proposed measures and action will be developed in consultation with the affected Traditional Local Communities as per the project level ESMF. The scope and scale of the plan will be in proportionate to the potential risks and impacts of the project. The format and title of the plan will be adjusted as appropriate to the project and will reflect any alternative terminology for these communities.
- i) Conduct consultations with stakeholders in accordance to identify cultural heritage that may be affected by the potential project; consider the significance of the cultural heritage affected by the project; assess the potential risks and impacts; and explore avoidance and mitigation options in accordance with the ESMP
- j) Implement the SEP and document the actions implemented to - dissemination of information, consultation, collaboration and partnership - with stakeholders through planning, implementation and O&M stages.
- k) Coordination and liaison with the PMU/PIU and other stakeholders involved in the social screening/assessment preparation.
- l) Review, Editing and Finalization of the Social Screening, Environment and Social Impact Assessment (ESIA) and ESMP and Resettlement Action Plan report as per the requirement.
- m) Conduct orientation for the Implementing agencies/ PIU staff on the Social Compliances of the project.
- n) Prepare specific training calendar for the different theme-based trainings on site for all workmen on sites, and budget provision for complying with the training calendar.
- o) Prepare relevant documents for the construction work to proceed in accordance with the Project ESMF, LMP and recommend update if necessary.
- p) Other relevant tasks given by Program Manager or Program Manager of relevant PIU.

VIII. Required qualifications of the consultancy firm and key staff

1. Required consulting firm experience and qualifications:

Required	Minimum of five (5) years of experience related to disaster risk management.
	Experience of designing and strategically planning disaster multipurpose shelters and workflow management.
	Availability of appropriate skills/experts among staff with demonstrated capacity to handle the proposed assignment in line with these terms of reference, including the availability of other resources, such as logistical, administrative, and support services of the firm.

	Valid registration and licenses, GST, and IT certificates, and audited financial reports for the last three years.
Desirable	Experience of working with EAP Projects such as World Bank-funded and/or other International Development Partner-funded projects.
	Experience of working with the Government of Uttarakhand and/or other state governments in India, mainly State Disaster Management Authorities/related to disaster.
	Experience of working with the Government of Uttarakhand and/or other state governments in India, mainly State Disaster Management Authorities/related to disaster.
	Experience with disaster risk management programs in Uttarakhand and/or other Indian Himalayan hill states.
	Established office in Dehradun completed or intention clarified in proposal.

- Preference(s) will be given to those having an established office in Dehradun.

Note: Any firm convicted by a court or debarred by any government/private procuring entity or by any World Bank-funded project or blacklisted in India or abroad by any government entity is not eligible to apply.

2. Team expertise, composition, and location:

The key personnel will require expertise in disaster risk management, disaster shelters, geospatial analysis, stakeholder and community consultation, and social and environmental safeguards.

The consulting team is expected to include, at a minimum, the positions listed in Section 3 below. No deviation of the actual team composition from the members listed in the proposal is allowed without prior approval.

3. Staffing Schedule During Design Stage:

Sr. No.	Key Expert	Design Stage			Total Man Month	Minimum Qualification & Experience
		No. of expert	Required duration (each expert In Month)	Input		
1	2	3	4	5	6	7
1	Team Leader	01	12	Full Time	12	<p>Education: Master's degree in disaster risk management or related field.</p> <p>Experience: 10 years of experience in leading research and analysis projects on disaster risk management.</p> <p>Experience of working in hilly areas in related field.</p>
2	Disaster risk management/shelter specialist	01	12	Full Time	12	<p>Education: Master's degree in a field related to disaster risk management.</p> <p>Experience: 5 years of experience in research and analysis projects on disaster risk management.</p> <p>Experience of working in hilly areas in related field.</p>
3	Geo-spatial analysis expert(s)	01	12	Full Time	12	<p>Education: Master's degree in geospatial analysis or related field.</p> <p>Experience: Significant practical experience in geospatial analysis or related field.</p> <p>Experience working with hazard/risk/vulnerability mapping and/or crowd/flow management in disaster situations.</p>
4	Structural Engineer	01	12	Intermittent	09	<p>Education: Master's degree in structural engineering or related field.</p> <p>Experience: 5 years of experience in design/structural engineering of civil construction activities.</p>

Sr. No.	Key Expert	Design Stage			Total Man Month	Minimum Qualification & Experience
		No. of expert	Required duration (each expert In Month)	Input		
1	2	3	4	5	6	7
						<p>Experience working with disaster shelters and local building materials and typologies in the region.</p> <p>Experience in Seismic Design and analysis</p> <p>Experience of working in hilly areas in related field.</p>
5	Architect	01	12	Intermittent	09	<p>Education: B. Arch (Additional marks for master's degree).</p> <p>Experience: 5 years of experience in designing buildings/structures.</p> <p>Experience working with disaster shelters and local building materials and typologies in the region.</p> <p>Experience of working in hilly areas in related field.</p>
6	Community engagement / social development specialist	01	12	Intermittent	06	<p>Education: Master's in sociology/MSW or in related field</p> <p>Experience: 5 years in community and stakeholder engagement, social development, and social safeguards management.</p> <p>Experience working with disaster management, short-term shelter.</p> <p>Experience of working with World Bank's Social Framework.</p> <p>Experience of working in hilly areas in related field.</p>

Sr. No.	Key Expert	Design Stage			Total Man Month	Minimum Qualification & Experience
		No. of expert	Required duration (each expert In Month)	Input		
1	2	3	4	5	6	7
7	Environmental management/safeguard specialist	01	12	Intermittent	06	<p>Education: Master's degree in environmental sciences or related field</p> <p>Experience: 5 years in environment, health and safety management.</p> <p>Experience of working with World Bank's Environment Framework.</p> <p>Experience of working in hilly areas in related field.</p>
Sr. No.	Non-Key Expert	Design Stage			Total Man Month	Minimum Qualification & Experience
		No. of expert	Required duration (each expert In Month)	Input		
1	2	3	4	5	6	7
1	Quantity Surveyor –	01	12	Intermittent	06	<p>Education: Graduate in Civil Engineering.</p> <p>Experience: Minimum 05 years post qualification experience in building construction as a quantity surveyor/Billing Engineer and completed Minimum 1 Govt. project as a quantity surveyor/ Billing Engineer.</p> <p>Should have experience of completed minimum 1 Govt. project as a quantity surveyor/Billing Engineer.</p>

Sr. No.	Key Expert	Design Stage			Total Man Month	Minimum Qualification & Experience
		No. of expert	Required duration (each expert In Month)	Input		
1	2	3	4	5	6	7
2	MEP Expert	01	06	Intermittent	06	Education: Graduate in Electrical Engineering/ E&M with minimum 05 years' experience in designing of MEP related works in building.

IX. Consultancy firm's responsibilities

- Conduct and complete the consultancy as per the agreed TOR and scope of the consultancy.
- Ensure monthly presence in Uttarakhand or Client's office, including key staff to carry out required activities during the contract period to help continuous interaction with the client.
- Collect all necessary primary data, including surveys, geotechnical investigations of selected sites, hazard risk and vulnerability data, and community profiling.
- Collect all secondary data not supplied by the client.
- Conduct field visits etc. as required for data collection for need assessment.
- Propose a post-consultancy monitoring and exit plan.
- Maintain the reports and design models, developed under the consultancy, for a period of one year after acceptance.
- Ensure that USDMA will have Intellectual Property Rights for all documents.

X. Payment Schedule

The payment schedule consists of two stages:

- 85% value of the lump-sum amount of contract bond for the design stage and
- the remaining 15% value of the lump-sum amount contract for implementation design support stage.

➤ **Payment Schedule For Design Stage: (A=85% value of the contract bond)**

Task(s)	Month												Percentage Payment on Acceptance and Approval
	1	2	3	4	5	6	7	8	9	10	11	12	
D1 Assignment-level Reports	Task 1												
D1.1 Submission and Acceptance of Inception Report	1												5% of A
D1.2 Submission and Acceptance of Mid-term Report						6							5% of A
D1.3 Submission and Acceptance of Assignment Closing Report												12	5% of A
D2 Comprehensive disaster shelter needs assessment and shelter development plan	Task 2												

Task(s)	Month												Percentage Payment on Acceptance and Approval
	1	2	3	4	5	6	7	8	9	10	11	12	
D2.1 Submission and Acceptance of Multipurpose Disaster Shelter Needs Assessment			3										10% of A
D2.2 Submission and Acceptance of State-level Shelter Strategy						6							5% of A
D2.3 Submission and Acceptance of Draft Shelter Policy								8					5% of A
D2.4 Submission and Acceptance of Draft Operational Plans for Multipurpose Shelters								8					10% of A
D3 Shelter Design	Task 3												
D3.1 Submission and Acceptance of Shelter Specifications and Design									9				10% of A
D3.2 Submission and Acceptance of Model Shelter DPRs										10			10% of A
D3.3 Submission and Acceptance of Site-specific DPRs for Pilot Shelters											12		25% of A
D4 Dissemination Package	Task 3												
D4.1 Submission and Acceptance of Open Access Documentation											12		10% of A
D4.2 Submission and Acceptance of Set of Created Data and Methods Published in Open Access											12		
													100% of A

Note:

- All statutory deductions shall be done as per existing rule.
- Payment will be made of the deliverables as accepted by the client or competent authority.
- Total 10 nos. of DPRs for 10 proposed Shelters has to be prepared. If the number of DPRs shall be increased or decreased, the cost shall be calculated on a pro rata basis based on no. of DPRs.
- The above payment Milestones are subject to various deliverables apart from the ones stated in the table such as Quality Assurance Plan, Environment & Social Safeguard Plan etc.

➤ **Payment Schedule for Implementation Design Support Stage: (B=15 % value of the contract bond)**

- This 15% will be divided equally among 10 disaster shelters (i.e., 1.5% per shelter).
- For each shelter, the 1.5% per shelter will be paid in 4 stages based on physical progress on Pro-Rata basis:

S. No.	Deliverable/Milestone	Fee Payable
1	25% completion of physical work	0.375%
2	50% completion of physical work	0.375%
3	75% completion of physical work	0.375%
4	100% completion of physical work	0.375%
Total Fee Payable Per Shelter		1.5%
Total Fee Payable for 10 Shelter(s) in the Implementation Stage		15%

➤ **Summary of Payment Breakdown**

- 85% during the design stage
- 15% during implementation, split across 10 shelters
- Each shelter's 1.5% is further divided into 4 payments based on physical completion

Notes:

- All payments shall be subject to Income Tax deduction at source.
- Payment of fee as per the various stages of the above Payment Schedule shall generally be considered as due only when the entire work up to that stage is completed in all respects for all the buildings, structures, landscaping and external development, and service connections etc. as applicable for that stage of the work. However, intermediate payments on pro-rata basis shall be admissible for release to the consultant as per phasing / or stages mentioned above.
- Any changes in design required for successful completion of the objective(s) shall be covered in the above schedule and scope of design consultant without any additional cost to the Client.

XI. Government of Uttarakhand responsibilities

- Provide secondary data available to relevant Government departments and facilitate the collection of any other needed data from state and central agencies.
- Form various committees to facilitate the review of inputs from the consultancy firm promptly.
- Facilitate the implementation of the project with all stakeholders and other departments.

XII. Codes to be followed by the consultant include but are not limited to the following:

1. IS: 1893 (Part-1): 2016- Indian Standard Criteria for Earthquake Resistant Design of Structures
2. IS: 13920:2016- Ductile Detailing of Reinforced Concrete Structures Subjected to Seismic Forces-Code of Practice
3. IS 13935:2009 Seismic evaluation, Repair and strengthening of masonry buildings – Guidelines.
4. IS: 15988-2013- Seismic Evaluation and strengthening of existing reinforced concrete buildings-guidelines, BIS
5. IS: 4326:2013- Earthquake resistant design and construction of buildings-code of practice, BIS, New Delhi.
6. IS: 1905:1987- Indian standard code of practice for structural use of unreinforced masonry (Third revision), BIS, New Delhi.
7. IS 1786: High strength deformed steel bars and wires for concrete reinforcement
8. IS: 456 (Part-1):2000-Code of Practice for Plain and Reinforced Concrete
9. IS: 516:1959-Methods of tests for strength of concrete
10. IS 383: Specification for Coarse and Fine Aggregates
11. IS 13828:1993-Improving earthquake resistance of low strength buildings- guidelines
12. IS 1904-1986- Indian Standard Code of practice for Design & Construction foundations in Soil: General Requirements
13. NDMA Guidelines
14. UTK-GSDMA Suite for Seismic Evaluation and Strengthening of Building
15. IITK-GSDMA Review of Document on Seismic Evaluation Buildings of Existing
16. State Disaster Management Action Plan for Uttarakhand State.
17. IS 2131: 1981- Method for standard penetration test for soils.
18. IS 1077: 1992- Common Burnt Clay Building Bricks-Specification.
19. ASTM C1084-97- Standard Test Method for Portland-Cement Content of Hardened Hydraulic-Cement Concrete.
20. IS 3495:1992-Methods of tests of burnt clay building bricks.
21. IS 432(Part II): 2004- Specification for Mild Steel and Medium Tensile Steel Bars and Hard-Drawn Steel Wire for Concrete Reinforcement

Note:

1. *All Detailed Progress Reports (DPRs) prepared under the contract shall be the exclusive property of the PIU-USDMA, U-PREPARE.*

PART II

Section 8. Conditions of Contract and Contract Forms

LUMP-SUM FORM OF CONTRACT

STANDARD FORM OF CONTRACT

Consultant's Services
Lump-Sum

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CONTRACT FOR CONSULTANT'S SERVICES

Lump-Sum

Project Name: Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE)

Loan No.: 9654-IN

Contract No.: ____/____/SERVICES/SHELTERS/PIU-USDMA/U-PREPARE/2024

Assignment Title: Hiring of Consultancy firm for Multipurpose Disaster Shelter Needs Assessment, Development plan, Shelter Designs, and Operational Assistance in Uttarakhand State under U-PREPARE Project

between

*The Program Manager,
Project Implementation Unit (PIU)- USDMA,
Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE),
5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road,
Dehradun-248013, Uttarakhand*

and

[Name of the Consultant]

Dated: _____

I. Form of Contract

LUMP-SUM

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

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

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

WHEREAS

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

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:

- (a) The General Conditions of Contract(including Attachment 1 “Fraud and Corruption”);
- (b) The Special Conditions of Contract;
- (c) Appendices:

Appendix A: Terms of Reference

Appendix B: Key Experts

Appendix C: Breakdown of Contract Price

Appendix D: Form of Advance Payments Guarantee

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

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

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

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

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

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

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

[Authorized Representative of the Consultant – name and signature]

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

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

[Name of the lead member]

[Authorized Representative on behalf of a Joint Venture]

[add signature blocks for each member if all are signing]

II. General Conditions of Contract

A. GENERAL PROVISIONS

1. Definitions

- 1.1. Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:
- (a) **“Applicable Law”** means the laws and any other instruments having the force of law in the Client’s country, or in such other country as may be specified in the **Special Conditions of Contract (SCC)**, as they may be issued and in force from time to time.
 - (b) **“Bank”** means the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA).
 - (c) **“Borrower”** means the Government, Government agency or other entity that signs the financing agreement with the Bank.
 - (d) **“Client”** means the implementing agency that signs the Contract for the Services with the Selected Consultant.
 - (e) **“Client’s Personnel”** refers to the staff, labor and other employees (if any) of the Client engaged in fulfilling the Client’s obligations under the Contract; and any other personnel identified as Client’s Personnel, by a notice from the Client to the Consultant.
 - (f) **“Consultant”** means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
 - (g) **“Contract”** means the legally binding written agreement signed between the Client and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).
 - (h) **“Day”** means a working day unless indicated otherwise.
 - (i) **“Effective Date”** means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
 - (j) **“Experts”** means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.
 - (k) **“Foreign Currency”** means any currency other than the currency of the Client’s country.

- (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.

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|---|---|
| 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 | <p>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.</p> <p>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.</p> |
| 7. Location | 7.1. The Services shall be performed at such locations as are specified in Appendix A hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government's country or elsewhere, as the Client may approve. |
| 8. Authority of Member in Charge | 8.1. In case the Consultant is a Joint Venture, the members hereby authorize the member specified in the SCC to act on their behalf in exercising all the Consultant's rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client. |
| 9. Authorized Representatives | 9.1. Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the SCC . |
| 10. Fraud and Corruption | 10.1. The Bank requires compliance with the Bank's Anti-Corruption Guidelines and its prevailing sanctions policies and procedures as set forth in the Bank's Sanctions Framework, as set forth in Attachment 1 to the GCC. |

a. Commissions and Fees

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

B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

11. 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 49 & 50.

18. Suspension

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

19. Termination

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

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

- (a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;
- (b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;
- (c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 50.1;
- (d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;
- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- (f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

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

b. By the Consultant

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

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 50.1.

- (d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant's notice specifying such breach.
- c. Cessation of Rights and Obligations** 19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records set forth in Clause GCC 25 and to cooperate and assist in any inspection or investigation, and (iv) any right which a Party may have under the Applicable Law.
- d. Cessation of Services** 19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Client, the Consultant shall proceed as provided, respectively, by Clauses GCC 27 or GCC 28.
- e. Payment upon Termination** 19.1.6. Upon termination of this Contract, the Client shall make the following payments to the Consultant:
- (a) payment for Services satisfactorily performed prior to the effective date of termination; and
 - (b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

C. OBLIGATIONS OF THE CONSULTANT

20. General

-
- a. Standard of Performance**
- 20.1. The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with the third parties.
- 20.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.
- 20.3. The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Client. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.
- b. Law Applicable to Services**
- 20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.
- 20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in the Client's country when
- (a) as a matter of law or official regulations, the Borrower's country prohibits commercial relations with that country; or
 - (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Borrower's Country prohibits any import of goods from that country or any payments to any country, person, or entity in that country.
- 20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.
- 21. Conflict of Interest**
- 21.1. The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

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| <p>a. Consultant Not to Benefit from Commissions, Discounts, etc.</p> | <p>21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 43 through 47) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.</p> <p>21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Bank's Applicable Regulations, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.</p> |
| <p>b. Consultant and Affiliates Not to Engage in Certain Activities</p> | <p>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.</p> |
| <p>c. Prohibition of Conflicting Activities</p> | <p>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.</p> |
| <p>d. Strict Duty to Disclose Conflicting Activities</p> | <p>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.</p> |
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| <p>22. Confidentiality</p> | <p>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</p> |
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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. Pursuant to paragraph 2.2 e. of Attachment 1 to the General Conditions, the Consultant shall permit and shall cause its agents (where declared or not), subcontractors, subconsultants, service providers, suppliers, and personnel, to permit, the Bank and/or persons appointed by the Bank to inspect the site and/or the accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have such accounts, records and other documents audited by auditors appointed by the Bank. The Consultant's and its Subcontractors' and subconsultants' attention is drawn to Clause GCC 10.1 (Fraud and Corruption) which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank's prevailing sanctions procedures).

26. 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.

29. Code of Conduct

Not used

30. Forced Labor

30.1. The Consultant, including its Subconsultants, shall not employ or engage forced labor. Forced labor consists of any work or service, not voluntarily performed, that is exacted

from an individual under threat of force or penalty, and includes any kind of involuntary or compulsory labor, such as indentured labor, bonded labor or similar labor-contracting arrangements.

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

31. Child Labor

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

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

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

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

- (a) with exposure to physical, psychological or sexual abuse;
- (b) underground, underwater, working at heights or in confined spaces;
- (c) with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads;
- (d) in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or

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

32. Non-Discrimination and Equal Opportunity

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

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

33. Training of Experts

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

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

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

34. Description of Key Experts

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

35. Replacement of Key Experts

- 35.1. Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.
- 35.2. 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.

36. Removal of Experts or Sub-consultants

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

- (a) persists in any misconduct or lack of care;
 - (b) carries out duties incompetently or negligently;
 - (c) fails to comply with any provision of the Contract;
 - (d) based on reasonable evidence, is determined to have engaged in Fraud and Corruption during the execution of the Services;
- the Consultant shall, at the Client's written request, provide a replacement.

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

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

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

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

E. OBLIGATIONS OF THE CLIENT

37. Assistance and Exemptions

37.1. Unless otherwise specified in the SCC, the Client shall use its best efforts to:

- (a) Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.
- (b) Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry and exit visas, residence permits, exchange permits and any other documents required for their stay in the Client's country while carrying out the Services under the Contract.
- (c) Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Experts and their eligible dependents.
- (d) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
- (e) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in the Client's country according to the applicable law in the Client's country.
- (f) Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in the Client's country, of bringing into the Client's country reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- (g) Provide to the Consultant any such other assistance as may be specified in the SCC.

38. Access to Project Site

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

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

39.1. If, after the date of this Contract, there is any change in the applicable law in the Client's country with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 39.1.

**40. Services, Facilities
and Property of the
Client**

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

**41. Counterpart
Personnel**

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

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

**42. Payment
Obligation**

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

F. PAYMENTS TO THE CONSULTANT

43. Contract Price

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

43.2. Any change to the Contract price specified in Clause GCC 43.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and

have amended in writing the Terms of Reference in **Appendix A**.

44. Taxes and Duties

- 44.1. The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the **SCC**.
- 44.2. 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.

45. Currency of Payment

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

46. Mode of Billing and Payment

- 46.1. The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 43.1.
- 46.2. The payments under this Contract shall be made in lump-sum instalments against deliverables specified in **Appendix A**. The payments will be made according to the payment schedule stated in the **SCC**.
- 46.2.1 Advance payment: Unless otherwise indicated in the **SCC**, an advance payment shall be made against an advance payment bank guarantee acceptable to the Client in an amount (or amounts) and in a currency (or currencies) specified in the **SCC**. Such guarantee (i) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in **Appendix D**, or in such other form as the Client shall have approved in writing. The advance payments will be set off by the Client in equal portions against the lump-sum installments specified in the **SCC** until said advance payments have been fully set off.
- 46.2.2 The Lump-Sum Installment Payments. The Client shall pay the Consultant within sixty (60) days after the receipt by the Client of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Client does not approve the submitted deliverable(s) as satisfactory in which case the Client shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.
- 46.2.3 The Final Payment. The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The Services shall then be deemed completed and

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

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

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

47. Interest on Delayed Payments

47.1. If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 46.2.2, interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the **SCC**.

G. FAIRNESS AND GOOD FAITH

48. Good Faith

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

H. SETTLEMENT OF DISPUTES

49. Amicable Settlement

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

49.2. If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 50.1 shall apply.

50. Dispute Resolution

50.1. Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may

be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the **SCC**.

II. General Conditions

Attachment 1

Fraud and Corruption

1. Purpose

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

2. Requirements

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

- 2.2 To this end, the Bank:

- a. Defines, for the purposes of this provision, the terms set forth below as follows:
 - i. "corrupt practice" is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;
 - ii. "fraudulent practice" is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation;
 - iii. "collusive practice" is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;
 - iv. "coercive practice" is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;
 - v. "obstructive practice" is:
 - (a) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or
 - (b) acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under paragraph 2.2 e. below.
- b. Rejects a proposal for award if the Bank determines that the firm or individual recommended for award, any of its personnel, or its agents, or its sub-consultants, sub-

contractors, service providers, suppliers and/ or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

- c. In addition to the legal remedies set out in the relevant Legal Agreement, may take other appropriate actions, including declaring misprocurement, if the Bank determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement process, selection and/or execution of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;
- d. Pursuant to the Bank's Anti-Corruption Guidelines and in accordance with the Bank's prevailing sanctions policies and procedures, may sanction a firm or individual, either indefinitely or for a stated period of time, including by publicly declaring such firm or individual ineligible (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;¹ (ii) to be a nominated² sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project;
- e. Requires that a clause be included in bidding/request for proposals documents and in contracts financed by a Bank loan, requiring (i) bidders (applicants/proposers), consultants, contractors, and suppliers, and their sub-contractors, sub-consultants, service providers, suppliers, agents personnel, permit the Bank to inspect³ all accounts, records and other documents relating to the procurement process, selection and/or contract execution, and to have them audited by auditors appointed by the Bank.

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

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

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

III. Special Conditions of Contract

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

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(a)	The Contract shall be construed in accordance with the law of India
4.1	The language is: <i>English.</i>
6.1 and 6.2	<p>The addresses are:</p> <p>Client :</p> <p style="padding-left: 40px;">Program Manager, PIU- USDMA, Uttarakhand Disaster Preparedness & Resilience Project (U-PREPARE) 5th Floor, USDMA Building, 36, IT Park, Sahastradhara Road, Dehradun-248013, Uttarakhand</p> <p>E-mail:</p> <p style="padding-left: 40px;">piuusdma.uprepare@gmail.com, procurement.piuusdma@gmail.com</p> <p>Consultant : _____</p> <p>Attention : _____</p> <p>Facsimile : _____</p> <p>E-mail (where permitted) : _____</p>
8.1	<i>JV/Consortium or sub-consulting the contract (whole or in-part): Not Allowed</i>
9.1	<p>The Authorized Representatives are:</p> <p>For the Client: <i>[name, title]</i> _____</p> <p>For the Consultant: <i>[name, title]</i> _____</p>
11.1	<p>The effectiveness conditions are the following:</p> <p>Signing of Contract by both the parties, after due approvals.</p> <p><i>Submission of Interest-bearing advance payment Bank Guarantee (The BG should be unconditional, irrevocable and Non-Transferrable)</i></p>

12.1	Termination of Contract for Failure to Become Effective: The time period shall be <i>One Month</i>.
13.1	Commencement of Services: The number of days shall be <i>15 days from the contract signing</i>. 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 atleast 7 days before the deployment.
14.1	Expiration of Contract: The time period shall be 42 (Forty Two) Months.
21 b.	The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3 Yes

<p>23.1</p>	<p>The following limitation of the Consultant's Liability towards the Client can be subject to the Contract's negotiations:</p> <p>“Limitation of the Consultant's Liability towards the Client:</p> <p>(a) Except in the case of gross negligence or willful misconduct or otherwise on the part of the Consultant or on the part of any person or a firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused by the Consultant to the Client's property, shall not be liable to the Client:</p> <p style="padding-left: 40px;">(i) for any indirect or consequential loss or damage; and</p> <p style="padding-left: 40px;">(ii) for any direct loss or damage that exceeds [insert a multiplier, e.g.: one, two, three] times the total value of the Contract;</p> <p>(b) This limitation of liability shall not</p> <p style="padding-left: 40px;">(i) affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services;</p> <p style="padding-left: 40px;">(ii) be construed as providing the Consultant with any limitation or exclusion from liability which is prohibited by the Applicable Law in India”</p>
<p>24.1</p>	<p>The insurance coverage against the risks shall be as follows:</p> <p>(a) The Consultant shall maintain Professional Liability Insurance, at its own cost, with a minimum coverage equal to 100% of the contract value, to cover against acts, errors, or omissions arising from its professional services under this Contract.</p> <p>The insurance shall remain valid for a period of 60 days after completion of the services or termination of the contract, whichever is later.</p> <p>The Consultant shall submit a copy of the valid insurance policy prior to contract signing. Failure to maintain such insurance shall be considered a material breach of contract.</p> <p>(b) Third Party liability insurance, with a minimum coverage of <i>INR</i> 50.00 Lakh or 100% of the contract value, which ever is lesser. The policy shall remain valid during the entire contract period and for at least 60 days after the completion of the services.</p>

	<p>(d) employer's liability and workers' compensation insurance in respect of the experts 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, shall be handed back to the U-PREPARE Project/Client after completion of the assignment or in between, as the case may be, before the final payment. and (iii) any documents prepared by the Consultant in the performance of the Services.</p> <p>All assets, documents, equipment(s), property etc. purchased from client's firm shall be owned by the Client/Govt. of Uttarakhand only.</p> <p>If the Consultant fails to maintain valid insurance coverage as required, the Client may:</p> <ul style="list-style-type: none"> • Withhold payments, or • Terminate the contract for default, and/or • Seek recovery of damages through legal remedy.
27.1	No Exemptions
27.2	The Consultant shall not use software(s), drawings, designs, data, documents and other related information produced for the contract for purposes unrelated to this Contract. If found so then penal action may be initiated.
37.1 (a) through (f)	Deleted
37.1(g)	Not Applicable
43.1	<p>The Contract price is: Rs. _____ [insert amount] [indicate: inclusive or exclusive] of local taxes.</p> <p>Any local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall be paid by the Consultant. The Client shall only reimburse Goods & Services Tax (GST) payable on the contract value by the consultants, as per Applicable Law in India subject to the Client, performing such duties in regard to the deduction of taxes</p>

	<p>as may be lawfully imposed. However, Consultant shall have to produce to the Client, all relevant documents establishing the proof of payment/ filing of return to the tax authority etc. The consultant should be registered itself for GST with appropriate authority in India & shall provide the Registration Number to the Client.</p> <p>The amount of such taxes is _____ <i>[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.]</i></p>																								
44.1 and 44.2	<p>The consultants and the Personnel shall pay the taxes, taxes, duties, fees, levies and other impositions levied under the existing, amended or enacted laws during life of this contract and the client shall perform such duties in this regard to the deduction of such taxes as may be lawfully imposed.</p> <p>The Client shall only reimburse the Goods and Services Tax (GST) payable on the contract value by the consultants, as per Applicable Law in India, subject to the Client, performing such duties in regard to the deduction of taxes as may be lawfully imposed. However, Consultant shall have to produce to the Client, all relevant documents establishing the proof of payment/ filing of return to the tax authority etc.</p>																								
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	D3.2 Set of Created Data and Methods Published in Open Access																						
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<p>➤ Payment Schedule for Implementation Design Support Stage: (B= 15% value of the contract bond)</p> <ul style="list-style-type: none"> This 15% will be divided equally among 10 disaster shelters (i.e., 1.5% per shelter). For each shelter, the 1.5% per shelter will be paid in 4 stages based on physical progress on Pro-Rata basis: <table border="1"> <thead> <tr> <th>S. No.</th><th>Deliverable/Milestone</th><th>Fee Payable</th></tr> </thead> <tbody> <tr> <td>1</td><td>25% completion of physical work</td><td>0.375%</td></tr> <tr> <td>2</td><td>50% completion of physical work</td><td>0.375%</td></tr> <tr> <td>3</td><td>75% completion of physical work</td><td>0.375%</td></tr> <tr> <td>4</td><td>100% completion of physical work</td><td>0.375%</td></tr> <tr> <td colspan="2">Total Fee Payable Per Shelter</td><td>1.5%</td></tr> <tr> <td colspan="2">Total Fee Payable for 10 Shelter(s) in the Implementation Stage</td><td>15%</td></tr> </tbody> </table> <p>Summary of Payment Breakdown</p> <ul style="list-style-type: none"> 85% during the design stage. 15% during implementation, split across 10 shelters. Each shelter's 1.5% is further divided into 4 payments based on physical completion. 			S. No.	Deliverable/Milestone	Fee Payable	1	25% completion of physical work	0.375%	2	50% completion of physical work	0.375%	3	75% completion of physical work	0.375%	4	100% completion of physical work	0.375%	Total Fee Payable Per Shelter		1.5%	Total Fee Payable for 10 Shelter(s) in the Implementation Stage		15%
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46.2.1	<p>The following provisions shall apply to the advance payment and the advance bank payment guarantee:</p> <p>(1) An advance payment of Rs.... <i>[insert amount]</i> shall be made within <i>[insert number]</i> days after the receipt of an Interest-Bearing</p>																						

	<p>advance bank payment guarantee and the invoice by the Client. The advance payment will be set off by the Client in equal portions against <i>[list the payments against which the advance is offset]</i>.</p> <p>(2) The advance bank payment guarantee shall be in the amount of the 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> <p>(4) The Bank Guarantee must be Unconditional, Irrevocable and Non-Transferrable.</p>
46.2.4	<p>The account is:</p> <p><i>[insert account]</i> for Rs.</p>
47.1	Interest on Delayed Payment: Not Applicable
50.1	<p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to <i>[name an appropriate professional body, e.g., Indian Council of Arbitration/ President of the Institution of Engineers (India)/ The International Centre for Alternative Disputes Resolution (India)*]</i> for a list of not fewer than five (5) nominees and, on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>[insert the name of the same professional body as above]</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p>

	<p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>[name an appropriate appointing authority, e.g., Indian Council of Arbitration/ President of the Institution of Engineers (India)/ The International Centre for Alternative Disputes Resolution (India)*]</i>.</p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>[name the same appointing authority as in said paragraph (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p>
	<p>2. <u>Rules of Procedure.</u> Arbitration proceedings shall be conducted in accordance with the procedure of the Arbitration & Conciliation Act 1996, of India (As Amended time to time).</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 a recognized legal or technical expert with extensive experience in relation to the matter in dispute.</p>
	<p>5. <u>Miscellaneous.</u> In any arbitration proceeding hereunder:</p> <p>(a) proceedings shall, unless otherwise agreed by the Parties, be held in the city where the contract is signed;</p> <p>(b) the English language shall be the official language for all purposes;</p> <p>(c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any</p>

objections to or claims of immunity in respect of such enforcement.

- (d) Where the value of the contract is Rs.50 million and below, the disputes or differences arising shall be referred to the Sole Arbitrator. The Sole Arbitrator should be appointed by agreement between the parties; failing such agreement, by the appointing authority, namely the Indian Council of Arbitration/President of the Institution of Engineers (India)/The International Centre for Alternative Disputes Resolution (India)*.
- (e) The Arbitrator should give final award within..... days of starting of the proceedings [*indicate the days (Between 120-180) by which arbitrator should give award*].
- (f) Performance under the contract shall continue during the arbitration proceedings and payments due to the consultant by the Client shall not be withheld, unless they are the subject matter of the arbitration proceedings.

** Choose one alternative. Insert Chairman of the Executive Committee of the Indian Roads Congress (for highway project) or any other appropriate institution (for other types of consultancies).*

Alternatively

[Apart from the adhoc arbitration services obtained through mutually agreed Arbitrator(s) as above, Institutional arbitration services are also available in India. Institutional arbitration (and mediation) dispute resolution mechanisms can be gainfully used, preferably for relatively larger contracts. Following clause may be included, if it is decided to use Institutional Services for arbitration for resolution of disputes, and in such a case other clauses related to Arbitration/ Arbitrator would be deleted. In the sample clause below, substitute the reference to 'Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration' by the specific institution that is sought to be engaged e.g. The International Centre for Alternative Dispute Resolution (ICADR), The Indian Institute of Arbitration and Mediation (IIAM), Indian Chamber's Council of Arbitration, Delhi International Arbitration Centre (DAC), Construction Industry Arbitration Council (CIAC), Council For National and International Commercial Arbitration, London Court of International Arbitration (India Centre) or the like.]

"Any dispute or difference whatsoever arising between the parties out of or relating to the construction, meaning, scope, operation or effect of this contract or the validity or the breach thereof shall be settled by

	<p>arbitration in accordance with the Rules of Domestic Commercial Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties.</p> <p>The arbitral tribunal shall consist of 3 Arbitrators, arbitration proceedings shall be held at_____, India and the language of the arbitration proceedings and that of all documents and communications between the parties shall be English”. <i>[ICA rules provide for arbitration tribunal of 3 arbitrators if the value of claim is over Rs 10 Million unless the parties have agreed otherwise for a sole arbitrator].</i></p>
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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 46.2.3 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 Rs.)

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

1 Expressed as percentage of 1

2 Expressed as percentage of 4

Signature _____

Date _____

Name and Title: _____

APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE

[See Clause GCC 42.2.1 and SCC 46.2.1]

{Guarantor letterhead or SWIFT identifier code}

Bank Guarantee for Advance Payment

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

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

Date: _____ *[insert date]*_____

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

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

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

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

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

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

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

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

the latest, upon our receipt of the payment certificate or paid invoice indicating that the Consultant has made full repayment of the amount of the advance payment, or on the __ day of *_[month]_____*, *_[year]__*,² whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

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

[signature(s)]

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

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