PROCUREMENT MANUAL
FOR
Tamil Nadu Rural Transformation Project
JULY 2017

Tamil Nadu Rural Transformation Society (TNRTS)
(Project No. P157702)
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<td>Consultant’s Qualification Based Selection</td>
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<td>BPL</td>
<td>Below Poverty Line</td>
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<tr>
<td>BER</td>
<td>Bid/Proposal Evaluation Proposal</td>
</tr>
<tr>
<td>BAFO</td>
<td>Best And Final Offer</td>
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<tr>
<td>DEA</td>
<td>Department of Economic Affairs</td>
</tr>
<tr>
<td>DGS&amp;D</td>
<td>Directorate of Goods, Services and Disposal</td>
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<td>DS</td>
<td>Direct Selection</td>
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<tr>
<td>EOI</td>
<td>Expression of Interest</td>
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<td>ESMF</td>
<td>Environment Social management framework</td>
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<td>FBs</td>
<td>Fixed Budget</td>
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<td>FM</td>
<td>Financial Management</td>
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<td>FPA</td>
<td>Financial Public account</td>
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<td>FTP</td>
<td>Full Technical Proposal</td>
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<td>HR</td>
<td>Human Resources</td>
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<td>GoI</td>
<td>Government of India</td>
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<td>GST</td>
<td>Goods &amp; Service Tax</td>
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<td>IBRD</td>
<td>International Bank for Reconstruction and Development</td>
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<td>ICS</td>
<td>Selection of Individual Consultants</td>
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<tr>
<td>IDA</td>
<td>International Development Association</td>
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<td>IEC</td>
<td>Import , Export Code</td>
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<td>INR</td>
<td>Indian Rupee</td>
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<td>IPF</td>
<td>Investment Project Financing</td>
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<td>NCB</td>
<td>National Council Board</td>
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<td>NRLP</td>
<td>National Rural Livelihood Program</td>
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<tr>
<td>NRLM</td>
<td>National Rural Livelihood Mission</td>
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<td>PDO</td>
<td>Project Development Objective</td>
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<td>PPSD</td>
<td>Project Procurement Strategy for Development</td>
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<td>PC</td>
<td>Producer Collective</td>
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<td>QBS</td>
<td>Quality Based Selection</td>
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<td>Quality Cost based Selection</td>
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<td>QPD</td>
<td>Quality, Profitability and Delivery</td>
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<td>RFP</td>
<td>Request for Proposal</td>
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<td>Request for Bid</td>
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<td>RFQ</td>
<td>Request for Quotation</td>
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<td>SMF</td>
<td>Social Management Frame work</td>
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<td>STEP</td>
<td>Systematic Tracking Exchanges in Procurement</td>
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<td>SPMU</td>
<td>State Project Management Unit</td>
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<td>SPD</td>
<td>Standard Procurement Documents</td>
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<tr>
<td>TN</td>
<td>Tamil Nadu</td>
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<tr>
<td>TDP</td>
<td>Tribal Development Plan</td>
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<tr>
<td>TNEPRP</td>
<td>Tamil Nadu Empowerment and Poverty Reduction Project</td>
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<td>TNPVP</td>
<td>Tamil Nadu PudhuVaaḻhvu Project</td>
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<tr>
<td>TNRTP</td>
<td>Tamil Nadu Rural Transformation Project</td>
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<tr>
<td>TOR</td>
<td>Terms of Reference</td>
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<tr>
<td>TSA</td>
<td>Technical Support Agency</td>
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<td>UNDP</td>
<td>United Nation Development Program</td>
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<tr>
<td>VAT</td>
<td>Value-Added Tax</td>
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1. Background:

Government of Tamil Nadu through the Rural Development and Panchayati Raj Department has initiated the Tamil Nadu Rural Transformation Project (TNRTP) with funding support from the World Bank. The proposed project builds on the government and on-going World Bank supported Tamil Nadu Empowerment and Poverty Reduction Project (TNEPRP) and National Rural Livelihoods Project (NRLP) which supports the National Rural Livelihoods Mission (NRLM) - both are flagship programs in the State for rural livelihoods and community mobilization. Launched in 2004 and 2011 respectively, the TNEPRP and NRLP are supporting the empowerment of the poor and improving their livelihoods by developing, strengthening, and synergizing pro-poor community institutions/groups; enhancing skills and capacities of the poor (especially women, youth, differently-abled, and the vulnerable); and financing productive demand driven investments in economic activities. The focus of TNEPRP and NRLP has been to reduce vulnerability of the below poverty line (BPL) households (categorized as poor and ultra-poor households), building their social and institutional capital, and increasing their capacity to participate and benefit from economic activities. With respect to higher order/value added/commercial-scale economic activities, programs like TNEPRP and NRLP have initiated work on mobilization of rural producer households into producer groups/organizations to have better access to inputs, modern technology, and financial capital. The purpose of aggregating the rural producer households is to ensure that they effectively participate and sustainably benefit from the rapidly expanding infrastructure facilities, industrial development and market access in the State.

a) The project would achieve the project PDO (“To promote rural enterprises, access to finance and employment opportunities in selected blocks of Tamil Nadu) by: i) creating and/or strengthening an enabling environment for promoting and strengthening enterprises and jobs in the target areas through identifying market and value chain development opportunities; ii) mobilizing and aggregating rural producers’ (from SHG households) into producer collectives; iii) enhancing access to finance through development of appropriate financial products and linkages with formal financial institutions; iv) financing of business plans of producer collectives and enterprises linked to value chain opportunities; v) developing an institutional architecture for efficient delivery of business development and financial services; vi) upgrading skills in selected self-employment occupations and enhancing access to wage-employment jobs in growth blocks; and vii) forging partnerships with key stakeholders (public/private/research/academia) and leverage expertise of partners to engage in specific win-win opportunities to ensure sustainability of project initiatives.

b) The project components, as envisaged in the concept note, largely remain unchanged and are summarized below:

Component 1: Rural Enterprise Ecosystem Development:

The objective of this component is to create an enabling environment to promote and strengthen enterprises and generate employment. The overall focus of this component is
to identify market and value chain opportunities, support business conditions
development, provide informed pathways for enterprise promotion develop individual
and collective enterprises and strengthen prioritized value chains.

Component 2: Enterprise Business plan financing:

The objective of this component is to (i) support enhanced financial access through
development of appropriate financial products (such as matching grant) and other financial
instruments through linkages with formal financial institutions; (ii) encourage and
incubate transformational and innovative ideas through the scoping and piloting of
innovations within and outside the project.

Component 3: Skills and Job Opportunities:

The objective of this component is to create (a) sustainable wage and self-employment
opportunities, (b) promote relevant skills for higher value agriculture, and (c) enable
entrepreneurship through market responsive skills and entrepreneurship development.

Component 4: Project Support and Management:

The objective of this component is to provide support services, Monitoring and
Evaluation, Financial management, Procurement Management and Human Resources for
successful implementation of the project and to achieve the objective of the project.

This component is structured around three subcomponents which are Subcomponent 4.a –
Implementation Support Systems (human resources (HR), FM, Procurement, Safeguards,
and ICT); Subcomponent 4.b – Monitoring, Evaluation, and Grievance Redressal; and

1.1. The Procurement Plan: Items to be procured under the TNRTP Project shall
be as per the Procurement Plan agreed with the World Bank. As far as
thresholds for procurement and procurement methods are concerned, the
provisions as laid down in this Procurement Plan, including its amendments
agreed with the World Bank, shall prevail.
2. **Purpose:**

   2.1. The purpose of this manual is to enlighten all stakeholders including the officials of the line departments associated with the TNRTP Project, about the rules and procedures that shall govern procurement of goods, works, and services under the Project. This manual intends to ensure transparency, economy, efficiency and value for money in project procurement.

   2.2. **Any deviation from this Procurement Manual is not permitted except with prior approval of TNRTP Society and World Bank.**

   2.3. For any violation or exception to the provisions of the manual, the matter will be forwarded to the appropriate authority in the State Government for necessary disciplinary action against erring officers/staff responsible for the violation/exception.

   2.4. This Manual will continue to be improved/ updated with World Bank’s concurrence to keep it relevant and useful. Any constructive view on this manual is welcome.

3. **Mandatory World Bank Regulations applicable for Procurement under TNRTP:**

   3.1. Procurement would be carried out in accordance with the World Bank’s Procurement Framework 2016 and “Procurement Regulations for Borrowers 2016”; herein referred to as Regulations, will be applicable for all procurement under the project. As per requirement of the NPF, a comprehensive Project Procurement Strategy for Development (PPSD) is being prepared by the Project.

   3.2. The provisions in the ‘Regulations’ shall precede the provisions in this manual, to the extent provided in the legal agreements and the procurement plan.


   3.4. All expenditures under the project for procurement of goods, works, non-consultancy and consultancy services shall become eligible for reimbursement/disbursement by the World Bank only if they are procured as per laid down procedures of the World Bank in the aforementioned regulations and World Bank’s approved Procurement Plan.

   3.5. The World Bank may declare **mis-procurement** if goods/ works & consultants are not procured as per agreed norms. If any procurement is declared as ‘mis-procurement’ by the World Bank, this would result in non-reimbursement of the related expenditures by the World Bank and this may also lead to deletion of the related amount from the Bank’s loan for the Project. Therefore, Procurement officials of TNRTP shall be responsible for adhering to the World Bank’s Regulations, as any lapse in procurement procedure may result in financial loss to the State Government.

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1 Society: The Special Purpose Vehicle (SPV) as Implementing Agency for the Project.
4. **Methods of Procurement & Related Thresholds and Prior Review Thresholds**

As per the Project Procurement Strategy for Development (PPSD) prepared by the project, the implementing agencies will primarily use Open National/International Approach for Goods, Works, Non-consulting and Consulting Services with Standard Procurement Documents for RFB and RFP. RFQ will be used for small value and limited approach procurement. The project does not envisage using Initial Selection, BAFO, Competitive Dialogue and Negotiations. The Prior review thresholds shall be as per the Procurement Plan approved by the World Bank. Following table shows the approved thresholds in a glance:

<table>
<thead>
<tr>
<th>Type of Procurement</th>
<th>Method threshold (Million US$)</th>
<th>Prior Review (By World Bank /Thresholds*for substantial Risk Project (million US$))</th>
</tr>
</thead>
<tbody>
<tr>
<td>Works</td>
<td>International Open Procurement &gt;40</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>National Open Procurement &lt;40</td>
<td></td>
</tr>
<tr>
<td></td>
<td>National Request for Quotation &lt;0.1</td>
<td></td>
</tr>
<tr>
<td>Goods, IT and Non-Consulting Services</td>
<td>International Open Procurement &gt;3</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>National Open Procurement &lt;3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>National Request for Quotation &lt;0.1</td>
<td></td>
</tr>
<tr>
<td>Consultant Firms</td>
<td>CQS &lt;0.3</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>LCS, FBS – in justified cases</td>
<td></td>
</tr>
<tr>
<td></td>
<td>QCBS, QBS - in all other packages</td>
<td></td>
</tr>
<tr>
<td>Individual Consultant</td>
<td>As per section 7.34 - 7.39 of the regulations</td>
<td>0.3</td>
</tr>
<tr>
<td>Direct Selection</td>
<td>With prior agreement based on justification</td>
<td>0.1</td>
</tr>
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</table>

5. **Process Description of Methods of Procurement:**

5.1 **Open International Approach** (Section VI of Regulations): An Open International Approach is the most efficient / economic and preferred method of procurement to be adopted, where import of goods or likely participation of foreign firm is involved. Procurement of goods or works through Open International is not envisaged under TNRTP Project. However, if required, it shall be done in accordance with World Bank regulations.

5.2 **Open National Approach** (Section VI of Regulations): An Open National Approach is the competitive bidding procedure normally used for national level public procurement and may be the most appropriate method of procurement of goods, works and non-consulting services which, by their nature or scope, are unlikely to attract foreign competition.
Open National Approach is the most appropriate method of procurement where foreign bidders are not expected to be interested because:

i. Of the size and value of contract, (refer to thresholds)

ii. The goods, works and non-consulting services are available locally at prices below the international market, and

iii. Works are labor intensive, and scattered geographically or spread over time

However foreign bidders are not to be precluded from participation if they wish to bid and are agreeable to accept Open National terms and conditions as applicable to Indian bidders and particularly with respect to bidding in Indian Rupees and payment in Indian Rupees.

Open National Approach Conditions under the Project:

The following provisions are the additional conditions agreed between the Bank and DEA and shall be applicable for procurement through Open National Procurement under the project. The provisions are as follows:

- Only the Standard Procurement Document (RFB with single or two envelopes in case of e-procurement approved by the Bank) agreed with the GoI Task Force (and as amended for time to time), shall be used for bidding;

- Request to bid shall be advertised in at least one widely circulated national daily newspaper (or on a widely used website or electronic portal with free national and international access along with an abridged version of the said advertisement published in a widely circulated national daily inter-alia giving the website/electronic portal details from which the details of the invitation to bid can be downloaded), at least 30 days prior to the deadline for the submission of bids;

- No special preferences will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state owned enterprises, small scale enterprises or enterprises from any given state;

- Extension of bid validity shall not be allowed with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank (i) for the first request for extension if it is longer than four weeks; and (ii) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by Bank only in cases of Force Majeure and circumstances beyond the control of the Purchaser/ Employer).

- Re-bidding shall not be carried out with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank. The system of rejecting bids outside a pre-determined margin or “bracket” of prices shall not be used in the project;
Rate contracts entered into by Directorate General of Supplies and Disposals will not be acceptable as a substitute for Open National procedures unless agreed with the Bank on case to case basis. Such contracts will be acceptable however for any procurement under the Shopping procedures. Framework Agreements using DGS&D rate contracts can be used to procure goods up to NCB threshold subject to incorporation of right to audit and Fraud & Corruption clauses.

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

No Pre-qualifications will be conducted.

Flow chart of the procurement process in respect of Goods (Open National Approach)

a. Assessment of Requirements & Obtaining Administrative Approval Technical Sanction
b. Preparation of Technical specifications and budget estimate
c. Deciding Procurement Strategy (Type and size of contracts)
d. Decide key bidding dates / time lines for procurement and use STEP for procurement plan clearances. Prepare Bid Document
e. Seek Bank’s No Objection for all prior review cases and wherever applicable through STEP
f. Advertisement for Request for Bids
g. Downloading of Bidding Document from the website by the prospective bidders
h. Pre Bid Meeting (if mentioned in the bidding document)
i. Receipt and Opening of Bids at the prescribed venue, date and time
j. Preparation of Minutes of Bid Opening and submission for Bank’s approval through STEP
k. Evaluation of Bids and preparation of Bid Evaluation Report (Recommending the Most Advantageous Bid and qualified bidder)
l. Seeking Approval to Evaluation Report of the Competent Authority
m. Seeking Approval of Bank to Evaluation Report, where applicable through STEP
n. Notification of Award
o. Receipt of Performance Security
p. Verification of Performance Security from the Issuing bank if it is a Bank Guarantee
q. Signing of Contract
r. Return of Bid Securities
s. Sending the signed Contract to the bank for obtaining WBR number, wherever applicable through STEP
t. Management of Contract as per terms and conditions of the contract
u. Quality Control, Inspection, and Installation
v. Completion of Delivery/Commissioning and handing Over

5.3 Request for Quotation (As per Section 6.7 of Regulations):
Request for Quotation may be used for comparing price quotations obtained from several suppliers, or from service providers (in the case of non-consulting services) with a minimum of three, to assure competitive prices.

Requests for quotation shall indicate the description and quantity of goods, as well as desired delivery (or completion), delivery terms, time and place. The evaluation of quotations shall follow the same principles as of open bidding. The terms of the accepted offer shall be incorporated in a purchase order or brief contract. The technical specification /requirement mentioned in the RFQ and the final contract specification and technical requirement shall always remain consistent.

It is an appropriate method for procuring urgent requirements of limited quantities of readily available, off-the-shelf items of goods or standard specification commodities of small value (less than the equivalent of US dollars 100,000) when more competitive methods are not justified on the basis of cost and efficiency.

<table>
<thead>
<tr>
<th>Important aspects of using Request for Quotations</th>
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<tbody>
<tr>
<td>a. RFQ for goods shall indicate the items to be supplied with quantities to be supplied, specifications / drawings for the items and the required delivery period, warranty required, the method of evaluation, the date and time by which the quotations should be submitted;</td>
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<tr>
<td>b. Rates quoted should be fixed for the duration of the contract and shall not be subject to adjustment on any account;</td>
</tr>
<tr>
<td>c. The prices shall be quoted in Indian Rupees only;</td>
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<tr>
<td>d. Each bidder shall submit only one quotation;</td>
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<td>e. Quotation shall remain valid for a period not less than 15 days after the deadline date specified for submission of quotations;</td>
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<tr>
<td>f. All duties, taxes and other levies payable on the raw materials and components shall be included in the total price;</td>
</tr>
<tr>
<td>g. Sales tax/other applicable taxes in connection with the sale shall be shown separately;</td>
</tr>
<tr>
<td>h. If the quotations are called for more than one item, it should also be indicated in the RFQ whether the evaluation would be for each item separately or as a package of all items together;</td>
</tr>
<tr>
<td>i. A reasonable period of say 10 to 15 days is usually provided for the suppliers to submit the quotations;</td>
</tr>
<tr>
<td>j. Minimum three quotations from different bidders to ensure competition;</td>
</tr>
<tr>
<td>k. Public opening of quotations may be done wherever possible to ensure transparency;</td>
</tr>
<tr>
<td>l. Evaluation of quotations in the same way of open bidding / as per criteria in bid document and Selection of the lowest evaluated responsive Bidder;</td>
</tr>
<tr>
<td>m. Issue of Purchase/Supply Order to the selected Supplier. The Purchase order as appropriate, must include: Description, specification / drawing and quantity along with price; Delivery period; Terms of delivery free on rail (f.o.r) station of dispatch or free delivery to the consignee; Payment terms.</td>
</tr>
</tbody>
</table>
5.4 **Direct Selection:** (As per section 6.8 of Procurement Regulations)

- Proportional, fit-for-purpose, and VFM considerations may require a direct selection approach: that is, approaching and negotiating with only one firm. This selection method may be appropriate when there is only one suitable firm or there is justification to use a preferred firm.
- Direct selection may be appropriate under the following circumstances:

  a. an existing contract, including a contract not originally financed by the Bank, for Goods, Works, or Non-consulting Services, awarded in accordance with procedures acceptable to the Bank, may be extended for additional Goods, Works, or Non-consulting Services of a similar nature, if:
     i. it is properly justified;
     ii. no advantage could be obtained through competition; and
     iii. the prices on the extended contract are reasonable;
  
  b. there is a justifiable requirement to re-engage a firm that has previously completed a contract, within the last 12 months, with the Borrower to perform a similar type of contract. The justification shall show that:
     i. the firm performed satisfactorily in the previous contract;
     ii. no advantage may be obtained by competition; and
     iii. the prices for the direct contracting are reasonable;
  
  c. the procurement is of both very low value and low risk, as agreed in the Procurement Plan;
  
  d. the case is exceptional, for example, in response to Emergency Situations;
  
  e. standardization of Goods that need to be compatible with existing Goods may justify additional purchases from the original firm, if the advantages and disadvantages of another brand or source of equipment have been considered on grounds acceptable to the Bank;
  
  f. the required equipment is proprietary and obtainable from only one source;
  
  g. the procurement of certain Goods from a particular firm is essential to achieve the required performance or functional guarantee of an equipment, Plant, or facility;
  
  h. the Goods, Works, or Non-consulting Services provided in the Borrower’s country by an SOE, university, research center or institution of the Borrower’s country are of a unique and exceptional nature in accordance with Paragraph 3.23 c.; or
  
  i. direct selection of UN Agencies in accordance with Paragraphs 6.47 and 6.48.
j. In all instances of direct selection, the Borrower shall ensure that:

a. the prices are reasonable and consistent with the market rates for items of a similar nature; and
b. the required Goods, Works, or Non-consulting Services are not split into smaller-sized procurement to avoid competitive processes.

6. Process description for various methods under Consultancy Services

Service contracts will be procured by the project using one of the following methods based on the complexity of the service, and the delegated financial limit:

1. Quality Cost Based Selection (QCBS)
2. Least Cost Based Selection (LCS)
3. Quality Based Selection (QBS)
4. Fixed Budget Based Selection (FBS)
5. Consultant’s Qualification Based Selection (CQS)
6. Direct Selection (DS); and
7. Selection of Individual Consultants (ICS)

Key Processes involved in the Procurement of Consultancy Services

In all service requirements following key processes will be followed:

- **Preparation of the Terms of Reference (TOR):** A well-defined ToR should be prepared specifying the services to be provided on following lines: (i) Background information, (ii) A precise Statement of objectives, (iii) An outline of the tasks to be carried out, (iv) A time schedule for completion of tasks, (v) The support / inputs provided by the Procuring Entity, (vi) Composition of Review Committee to monitor consultants work (vii) List of key personnel whose CV and experience would be evaluated; (ix) duration of the contract. 
  Terms of Reference will be approved by the Bank for all consultancy assignments covered under prior or post review.

- **Preparation of cost estimate and budget:** based on the assessment of the resources needed to carry out the assignment, staff time, logistical support, and physical inputs. Costs shall be divided into three broad categories, (i) fee or remuneration, (ii) reimbursable, and (ii) miscellaneous expenses. While preparing the cost estimates, scope of work indicated in the TOR shall be considered.

- **Deciding the contracting strategy** viz. going for lump-sum or time based contract\(^2\), individual vs. firm, advertising vs. internal short listing, terms of

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\(^2\) **Lump Sum**- These contracts are used for assignments like Feasibility Studies, Environmental Studies, Detailed design of a standard structure etc., in which the content and the duration of the work is clearly defined. Payment is made upon delivery of outputs.
payment etc. Depending on the decision made, one of the selection methods mentioned above will be chosen.

- **Advertising** i.e. seeking Expression of Interest to be published in newspapers having wide circulation, one national and one regional newspaper and on the official website of the Project.

- **Short listing of consultants** i.e. the expressions of interest received shall be evaluated based on the relevant qualifications and experience specified in the advertisement, to arrive at shortlist of the consultants. The shortlists shall comprise of 5 to 8 firms so that at the proposal stage, there is adequate competition among the Consultants.

- **Seeking Request for Proposals (RFP):** Proposals from the short listed firms will be sought in two envelope system i.e., technical proposal in one envelope and financial proposal in another envelope. Standard Procurement document of the Bank will be followed for this purpose.

- **Evaluation:** A Technical Evaluation committee for evaluation of technical proposals, consisting of minimum 3 members shall be formed and this committee will evaluate the proposals received from the firms. The evaluation of the proposals shall be carried out in two stages: first the quality, and then cost. The technical evaluation committee members shall evaluate the proposals individually and submit the report in the prescribed format, clearly indicating strengths and weakness of each proposal. The evaluation will be carried out in compliance to the terms and conditions outlined in the RFP document and non-responsive proposals, if any, shall be kept outside the evaluation with clearly documenting the reasons. The Project shall prepare the technical evaluation report in the prescribed format. Financial proposals shall be kept in safe custody with the Finance/Admin unit until the technical evaluation is concluded. On completion of technical evaluation, financial proposals of all technically disqualified (those who have not scored the minimum pass score as mentioned in the RFP) offers will be returned unopened. Procurement unit will open the financial proposals of qualified offers in their presence and carry out the financial evaluation and scoring.

- **Combined Evaluation:** The combined evaluation of successful bids would be done by assigning 70 or 80% weight to the technical score and 30 or 20% to the financial (application of weight for commercial offer will depend on the method used). The consultant scoring the highest marks will

---

**Time Based** - these contracts are used for assignments in which it is difficult to define the scope and the duration of the work to be performed. Payment is based upon an hourly, daily, or monthly rate, plus reimbursable expenses using actual expenses or agreed-upon unit prices. This type of contract provides for a maximum total payable amount that includes a contingency for unforeseen work and duration, price adjustments etc. Examples of Time Based contracts include Preparation of data, Complex Studies, Supervision of construction of civil works, Training assignments, Advisory services etc.

3 The Technical Evaluation Committee shall consist of only relevant subject matter experts nominated by the SPD.
be recommended by the committee for award of work and invited for negotiations as per the terms and conditions of the RFP document.

- **Negotiations and Award**: It may be necessary to conduct negotiations with the selected consultant on the TOR, the methodology, staffing, Department’s inputs, and special conditions of the contract. The firm obtaining the highest total score should be invited for negotiations and discussions. These discussions shall not substantially alter the original TOR or the terms of the contract, lest the quality of the final product, its cost, and the relevance of the initial evaluation be affected. In methods where price is a factor of the selection (QCBS, FBS and LCS), no negotiations can be held on unit rates. Based on the final negotiated ToR and contract, an award is made to the selected agency.

- **Rejection of All proposals, and Re-invitation**: Rejection of all proposals and re-inviting new proposals, shall be referred to the competent authority at the project level and shall be subjected to Bank’s No Objection.

6.1 **Quality Cost Based Selection** (QCBS) is the method where the selection is based on the quality of the proposals and cost of services to be provided. This method is appropriate when the scope of work of the assignment is precisely defined and the TOR is well specified and clear; further an estimate for the staff time as well as the other inputs and cost required of the Consultants can be assessed with reasonable precision.

6.2 **Least Cost Based Selection** (LCS) Under LCS a minimum qualifying mark for quality is established and indicated in the RFP. Short-listed consultants have to submit their proposals in two envelopes. The technical proposals are opened first and evaluated. Proposals scoring less than minimum qualifying marks are rejected, and the financial envelopes of the rest are opened in public. The consultant with the lowest evaluated price is selected. The LCS method is more appropriate for small assignments of a standard or routine nature where well established practices and standards exist from which a specific and well defined outcome is expected, and which can be executed at different costs. Some examples are engineering designs and/ or supervision of simple projects; repetitive operations and maintenance work and routine inspection, and simple surveys.

6.3 **Fixed Budget Based Selection** (FBS) is based on disclosing the available budget to the invited consultants in RFP and selecting the consultant with the highest – ranking technical proposal within the budget. It needs to be ensured that budget is compatible with the TOR and that consultant will be able to perform the tasks within the budget. FBS is appropriate only when: (a) the budget is fixed and cannot be exceeded; (b) the TOR are simple and assignment can be precisely defined; and (c) the time and staff month effort required from the consultant can be assessed with precision. Typical assignments awarded under FBS are: Statutory audit, sector studies, market
studies, and surveys of limited scope; simple pre-feasibility studies and review of existing feasibility studies; and review of existing technical design and bidding documents.

6.4 **Quality Based Selection**: QBS is appropriate for the following types of assignments: (i) the outcome of the assignment will have high impact and hence it is essential to engage most qualified consultant. Examples are national policy formulation; capacity building program etc; (ii) the assignment is very complex or highly specialized where it is difficult to define scope of work with accuracy. Examples are country specific study; reforms related studies, high precision scientific work etc.

In QBS, the RFP may request submission of a technical proposal only (without the financial proposal), or request submission of both technical and financial proposals at the same time, but in separate envelopes (two-envelope system). The RFP shall provide either the estimated budget or the estimated time of key experts, specifying that this information is given as an indication only and that consultants shall be free to propose their own estimates.

If technical proposals alone were invited, after evaluating the technical proposals using the same methodology as in QCBS, the project shall ask the consultant with the highest ranked technical proposal to submit a detailed financial proposal. The project and the consultant shall then negotiate the financial proposal and the contract.

6.5 **Consultant’s Qualification – Based Selection** (CQS) method applies to very small assignments for which the full–fledged selection process would not be justified. CQS is considered for assignments such as: brief evaluation studies at critical decision points of projects; executive assessment of strategic plans; high level, short term, legal –expertise; and participation in project review expert panel etc. Under CQS the project first prepares the TOR, then requests for Expression of Interest and qualification information on the consultant’s experience and competence relevant to the assignment. A shortlist with at least 3 firms is prepared and the firm with the best qualifications and references is selected. The selected firm is asked to submit a combined technical and financial proposal and is then invited to negotiate the contract if the technical proposal is found technically responsive and acceptable.

6.7 **Direct Selection** (DS)

- Proportional, fit-for-purpose, and VfM considerations may require a direct selection (single-source or sole-source selection), approach, that is: approaching and negotiating with only one firm. This selection method may be appropriate when only one firm is qualified, a firm has experience of exceptional worth for the assignment, or there is justification to use a preferred firm.

- Direct selection may be appropriate under the following circumstances:

  a. an existing contract for Consulting Services, including a contract not originally financed by the Bank but awarded in accordance with procedures acceptable to the Bank, may be extended for additional Consulting Services
of a similar nature, if it is properly justified, no advantage may be obtained by competition, and the prices are reasonable;

b. for tasks that represent a natural continuation of previous work carried out by a Consultant within the last 12 months, where continuity in the technical approach, experience acquired, and continued professional liability of the same Consultant may make continuation with the initial Consultant preferable to a new competition, if performance has been satisfactory in the previous assignment(s);

c. there is a justifiable requirement to reengage a firm that has previously completed a contract with the Borrower to perform a similar type of Consulting Service. The justification shows that the firm performed satisfactorily under the previous contract, no advantage may be obtained by competition, and the prices are reasonable;

d. the procurement is of both very low value and low risk, as agreed in the Procurement Plan;

e. in exceptional cases, for example, in response to Emergency Situations;

f. only one firm is qualified, or one firm has experience of exceptional worth for the assignment;

g. the Consulting Services provided in the Borrower’s country by an SOE, university, research center, or institution of the Borrower’s country are of a unique and exceptional nature, in accordance with Paragraph 3.23. c.; or

h. direct selection of UN Agencies in accordance with Paragraphs 7.27 and 7.28.

- In all instances of direct selection, the Borrower shall ensure fairness and equity, and shall have in place procedures to ensure that:

  a. the prices are reasonable and consistent with the market rates for services of a similar nature; and

  b. the required Consulting Services are not split into smaller-size procurements to avoid competitive processes.

6.8 Selection of Individual Consultant: For hiring of individuals, it is necessary to finalize the job description, qualification and experience required and terms of engagement. Thereafter an advertisement (if the assignment is complex) may be put into the newspapers indicating the above details. The applications received shall be scrutinized and ranking shall be prepared. Thereafter the top-ranked individual shall be invited for interviews/discussions and would be offered the assignment. Consultants shall be selected through comparison of qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached
directly by the Procuring Entity.

**Steps to be followed in the Selection of Individual Consultants:**

- Establish the need for the assignment and outsourcing the services
- Finalize the job description, qualification and experience required and terms of engagement or the preparation of the Terms of Reference (TOR)
- Preparation of cost estimate and the budget provisions.
- Advertising (if the assignment is complex) or Put a notice on notice board or Website disclosing your estimated cost.
- Receipt of CVs (Minimum Three CVs are required) among those who have expressed interest in the assignment or have been approached directly by the Procuring Entity.
- Evaluation, scrutinized and ranking of CVs;
- top-ranked individual shall be invited for Negotiations and award of the contract to the selected consultant

A table listing applicable steps in selection process for each method has been given below:

<table>
<thead>
<tr>
<th>Aspect</th>
<th>QCBS</th>
<th>LCS</th>
<th>QBS</th>
<th>FBS</th>
<th>CQS</th>
<th>DS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare ToR</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Prepare Cost Estimate</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Advertise for EOI (2 weeks)</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>Prepare Shortlist of top 5 - 8 firms</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Best firm shortlisted</td>
<td>X</td>
</tr>
<tr>
<td>Prepare and Issue RFP to 5 - 8 firms (4 weeks)</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Issued to only one best firm shortlisted</td>
<td>Issued to SS</td>
</tr>
<tr>
<td>Technical evaluation and rejection below pass mark</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Commercial Evaluation and combined scores</td>
<td>✓</td>
<td>L1 of tech qualified selected</td>
<td>Only for T1 rest returned</td>
<td>Highest ranking technical proposal within the budget.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Aspect</td>
<td>QCBS</td>
<td>LCS</td>
<td>QBS</td>
<td>FBS</td>
<td>CQS</td>
<td>DS</td>
</tr>
<tr>
<td>---------------------------------------------</td>
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<td>-----</td>
<td>-----</td>
<td>-----</td>
<td>-----</td>
<td>----</td>
</tr>
<tr>
<td>Cost Negotiated for Award</td>
<td>X</td>
<td>X</td>
<td>√</td>
<td>X</td>
<td>√</td>
<td>√</td>
</tr>
</tbody>
</table>

As per the Procurement regulations, following selection methods and approaches may be followed for Consultancy contracts:

<table>
<thead>
<tr>
<th>Consulting Services</th>
<th>Market approach options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved selection methods and arrangements</td>
<td>Open</td>
</tr>
<tr>
<td>Selection methods</td>
<td>✓</td>
</tr>
<tr>
<td>Quality Cost Based Selection</td>
<td>✓</td>
</tr>
<tr>
<td>Fixed Budget Based Selection</td>
<td>✓</td>
</tr>
<tr>
<td>Least Cost Based Selection</td>
<td>✓</td>
</tr>
<tr>
<td>Quality Based Selection</td>
<td>✓</td>
</tr>
<tr>
<td>Consultant's Qualification Based Selection</td>
<td>✓</td>
</tr>
<tr>
<td>Direct Selection</td>
<td>x</td>
</tr>
</tbody>
</table>

| Selection Arrangements                                                              | As per acceptable commercial Procurement practices |
| UN Agencies                                                                          | As per Paragraphs 7.27 and 7.28                      |
| Non Profit Organizations (such as NGOs)                                              | ✓           | ✓       | ✓      | ✓           | ✓         | ✓         |
| Banks                                                                                | ✓           | ✓       | ✓      | ✓           | ✓         | ✓         |
| Procurement Agents                                                                   | ✓           | ✓       | ✓      | ✓           | ✓         | ✓         |

Selection Methods for Individual Consultants

| Selection of Individual Consultants                                                 | ✓           | ✓       | ✓      | x           | x         | x         |

✓ This market approach option is available
X This market approach option is not available

7. Procurement/ Contract Approval authorities:

7.1. All procurements over and above USD 100,000 in the TNRTCP project shall be centralized with the TNRTCP Society and shall be done by the Procurement Unit of the TNRTCP Society.

7.2. Procurement may be conducted at State, District and Block level agencies.

7.3. Decision on the Bid/Proposal Evaluation Reports BERS shall be finalized within 45 days from the date of bid/proposal opening in case of Open National Goods, Works and Services Procurement and award of contract shall be completed within maximum 75 days from the date of bid opening.
All shopping contracts shall be finalized within **30 days** from the date of receipt of quotations.

8. **Miscellaneous**

8.1 Contracts will be randomly audited by the World Bank officials/consultants as per standard norms. Full documentation relating to procurement shall be retained safely at TNRTP Society at respective State, District and Block Level authorities for audit. Procurement Unit of the TNRTP Society shall also ensure that all original quotations/bids/proposals and other documents leading to award decision and its rationale is stored safely for review and audit, as and when needed.

8.2 Assets Register: The Procurement Unit of TNRTP Society responsible for TNRTP shall maintain an Assets Register.

9. **Roles and responsibilities of the Procurement Specialist:**

In addition to overall responsibility of procurement activities, the Procurement specialist will:

9.1 Develop and update project Procurement Plan at regular intervals and provide updates to the Project Director and World Bank.

9.2 Ensure that consistent and correct methods of procurement as specified in the Financing Agreement and as per procedures outlined in this Manual are consistently followed in the project;

9.3 Finalize technical specifications for goods and terms of references for consulting services respectively;

9.4 Professional guidance and handholding support in finalizing RFPs and conduct public opening of bids/proposals, as applicable.

9.5 Evaluation of quotations/ bids for goods and proposals for consultancy assignments followed by preparation of evaluation reports.

9.6 Develop and maintain Procurement Management Information System of all procurement done in the Project;

9.7 Maintain records of all procurement related complaints received and their disposal;

9.8 Collect, collate all procurement related information for review by Bank and its auditors;

9.9 Ensure that all procurement related records and documents required by the Bank Guidelines are properly maintained, with a system to retrieve the required document within reasonable time.

9.10 Be the Point of Contact for using the STEP in association with the authorizing Authority.
10. **Guidelines for Community Based Procurement**

10.1 Under TNRTP, federated structures of Producer Groups, Enterprise Groups and Producer Collectives will be formed at different levels for undertaking value chain linked activities in farm, nonfarm or Services sector for better production, storage, marketing, etc. These groups would undertake procurement of goods, works and services in line with the selected value added activity.

10.2 To ensure that community procurement processes are efficient, transparent, cost-effective, and competitive to ensure quality of goods and services, the procurement guidelines should:

- Be simple for understanding and implementation to local staff and the community;
- Be sufficiently transparent to permit real competition among suppliers and to facilitate control in the selection of contractors and use of funds;
- Use simple, standardized documentation; and
- Balance risk versus control/management with efficiency considerations.

10.3 The specific steps and principles would be detailed in the Project Implementation Plan (PIP). It should also detail the minimum requirements that a beneficiary community should fulfill before it can be permitted to handle procurement; the assessment should determine whether communities would be able to meet these requirements. The requirements would include the communities’ organizational and legal status. Communities that have a defined membership usually have an executive committee that facilitates collective decision making in contracting, while the community’s legal status enable the community to enter into contracts and open Bank accounts. The assessment report should identify actions required to strengthen the communities’ procurement capacity.

10.4 In general, procurement would follow the proposed and approved plan, arrived at by the following process of:

- Need assessment through a participatory process
- Preparing procurement plan by: (i) Grouping items or services to be purchased and (ii) describing the anticipated method for purchasing same.
- Establishing purchase committee comprising of community members.
- Posting a general advertisement in a public place (i) including shopping areas, community hall/centre, government office etc.; (ii) community discussion groups; (iii) local radio stations; (iv) local newspapers etc.

11. **Delegated Financial Limits and Methods for Procurement at various Levels**

11.1 **Financial Limits and methods**
Procurement thresholds and arrangements for procurement of goods, works, non-consulting and consulting services undertaken by Producer Groups and Enterprise Groups and Producer Collectives under the TNRTP Project are explained below:
<table>
<thead>
<tr>
<th>Key Implementing Units</th>
<th>Description of Procurement</th>
<th>Value (Threshold) per Contract and Method of Procurement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Community Based Organisations</strong> i.e Producer Groups, Enterprise Groups, Producer Collectives under TNRTP.</td>
<td>Expenditure for common goods and services as well as sub-projects under the Livelihood Investment Component. Example, building an agricultural link road for enhanced livelihood opportunity, constructing a village meeting/storage space under value chain development, investing in water harvesting technique, buying seeds for food security, buying mobile phones for agricultural inputs, buying milk vans, buying sorting tables under specific Producer Groups, Producer Collectives, Enterprise Groups, Additionally office management related procurement of goods, equipment, works.</td>
<td><strong>Goods and Works</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Method</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Petty Purchase</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Local Shopping</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Limited Tendering</td>
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<td></td>
<td></td>
<td>Open Tendering</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Single Tender</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Community Force Account</td>
</tr>
</tbody>
</table>

**Services**
Individual Consultants up to a value of INR 1,00,000 per contract following competitive procedures.
Institutional Consultants up to a value of INR 10,00,000 per contract following competitive methods of QBS, CQS, FBS and LCS

The above are the maximum per contract value that can be issued at this level. If there is a need to procure an item above this value, the process will be handled at the next higher level.
FORMATS

1. REQUEST FOR QUOTATION
2. TECHNICAL EVALUATION REPORT
3. EXPRESSION OF INTEREST

PROCUREMENT OF GOODS
UNDER
REQUEST FOR QUOTATIONS PROCEDURES

REFERENCE NUMBER:

REQUEST FOR QUOTATIONS FOR ...................... (insert name of the assignment)

To
___________________________________
___________________________________
___________________________________
___________________________________

Dear Sirs,

Sub : Request For Quotations for......................
1. You are invited to submit your most competitive quotation for the following goods:

<table>
<thead>
<tr>
<th>Sl. No</th>
<th>Brief Description of the Goods</th>
<th>Specifications*</th>
<th>Quantity</th>
<th>Delivery Period</th>
<th>Place of Delivery</th>
<th>Installation Requirement if any</th>
</tr>
</thead>
</table>

2. Government of India has received a Loan from the International Bank for Reconstruction and Development (IBRD) in the form of loan toward the cost of Tamil Nadu Rural Transformation Project. Tamil Nadu Rural Transformation Project Society (TNRTP), Government of Tamil Nadu (GoTN) an implementing agency of the Client and intends to apply part of the proceeds of this credit to eligible payments under the contract for which this invitation for quotations is issued.

3. **Bid Price**

   a) The contract shall be for the full quantity as described above. Corrections, if any, shall be made by crossing out, initialing, dating and re writing.

   b) All duties, taxes and other levies payable on the raw materials and components shall be included in the total price.

   c) Sales tax in connection with the sale shall be shown separately.

   d) The rates quoted by the bidder shall be fixed for the duration of the contract and shall not be subject to adjustment on any account.

   e) The Prices shall be quoted in Indian Rupees only.

4. Each bidder shall submit only one quotation. Bidder shall not contact other Bidders in matters relating to this Quotation.

5. **Validity of Quotation**

   Quotation shall remain valid for a period not less than 30 days after the deadline date specified for submission.

6. **Evaluation of Quotations**

   The Purchaser will evaluate and compare the quotations determined to be substantially responsive i.e. which
   (a) are properly signed ; and
   (b) Confirm to the terms and conditions, and specifications.
The Quotations would be evaluated for all the items together. Sales tax in connection with sale of goods shall not be taken into account in evaluation.

7. Award of contract

The Purchaser will award the contract to the bidder whose quotation has been determined to be substantially responsive and who has offered the lowest evaluated quotation price.

7.1 Notwithstanding the above, the Purchaser reserves the right to accept or reject any quotations and to cancel the bidding process and reject all quotations at any time prior to the award of contract.

7.2 The bidder whose bid is accepted will be notified of the award of contract by the Purchaser prior to expiration of the quotation validity period. The terms of the accepted offer shall be incorporated in the supply order (sample form attached).

8. Payment shall be made after delivery of the goods.

9. Normal commercial warranty/guarantee shall be applicable to the supplied goods

10. You are requested to provide your offer in a sealed envelope latest by 15.00 hours on ................. (date).

11. We look forward to receiving your quotations and thank you for your interest in this project.

(Purchaser)
Name: .................
CEO, TNRTCP
Address: .................
Tel. No. .................
E-Mail:

FORMAT OF QUOTATION (on letter head of Supplier)

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Description Goods</th>
<th>Specifications</th>
<th>Qty.</th>
<th>Unit</th>
<th>Quoted Unit Rate in Rs.</th>
<th>Total Amount</th>
</tr>
</thead>
</table>

25
Total

Sales Tax

**Gross Total Cost : Rs. .......................**

We agree to supply the above goods in accordance with the technical specifications for a total contract price of Rs. .......... (amount in figures) (Rs. .......... amount in words) within the period specified in the Invitation for Quotations.

We also confirm that the normal commercial warrantee/guarantee of .......... months shall apply to the offered goods.

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf will engage in bribery or collusive agreements with competitors.

**Signature of Supplier**

**ATTACHMENT**
SUPPLY ORDER

To:

M/s

Dear Sirs,

Sub: Supply of

Ref Your quotation no……… dated 

1. Your quotation no……of (Date) for the supply of 

has been accepted. You are requested to supply the following goods/equipment at the rates quoted by you and specified against each as per the specifications and terms & conditions specified hereunder:

<table>
<thead>
<tr>
<th>SL.No</th>
<th>Brief description of goods/equipment</th>
<th>Specification S</th>
<th>Quantity to be supplied</th>
<th>Unit Rate (Rs.)</th>
<th>Total Price (Rs.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
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<td></td>
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<tr>
<td>3</td>
<td></td>
<td></td>
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<tr>
<td>4</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total</td>
</tr>
</tbody>
</table>

Vat/Sales Tax will be extra:
1. Delivery Period: ……….days from the date of issue of this supply order.
2. Place of delivery
3. Consignee Address:
4. Vat/Sales tax if any will be paid at actual prevailing on the date of supply.
5. Standard Manufactures commercial Warranty/Guarantee shall be………..months from the date of delivery and acceptance.
6. Payment shall be made within 15 days of delivery; and acceptance of the goods/equipment.

(Purchaser)

Date: Place: Name: 

Designation:
SAMPLE FORM OF EVALUATION REPORT

SELECTION OF CONSULTANTS

The World Bank
Washington, D.C.

October 1999

Preface

Consultants employed by Bank Borrowers and financed by the World Bank or under trust funds are hired according to the Bank’s Consultant Guidelines (Guidelines). The Guidelines specify the Borrowers’ obligations to submit certain reports to the Bank during the selection process:

(a) for contracts subject to prior review by the Bank (see Appendix 1, para. 2(a), of the Guidelines):

---

4 This preface is not part of the report. It should not appear in the report submitted to the Bank.
5 The term Consultants in this document refers to organizations and not individuals.
6 Trust funds are funds provided by donors and administered by the Bank.
(i) a technical evaluation report subject to prior review by the Bank, such as the Bank’s no-objection prior to opening the financial proposals; or

(ii) a technical evaluation notice for contracts above the prior review threshold but below a higher threshold indicated in the Loan Agreement. In such case, the Borrower needs not wait for the Bank’s no-objection to open the financial proposals;

In both cases the Borrower must send to the Bank for prior review the combined technical/financial evaluation report;

(b) for contracts subject to post-review by the Bank:

(i) a combined technical/financial report to be reviewed or audited subsequently.

This document sets out the format of a sample evaluation report. It is provided to Bank Borrowers to facilitate the evaluation of consultants’ proposals and the subsequent review of these proposals by the Bank. Its use is strongly recommended but not mandatory.

The evaluation must be in accordance with the criteria spelled out in the Request for Proposals and carried out by qualified evaluators. The Request for Proposals should be prepared in agreement with the Guidelines (para. 2.8).
The evaluation report includes five sections:

Section I. A Short Report Summarizing the Findings of the Technical Evaluation;
Section II. Technical Evaluation Report—Forms;
Section III. A Short Report Summarizing the Findings of the Financial Evaluation;
Section IV. Financial Evaluation Report—Forms;
Section V. Annexes:
   Annex I. Individual Evaluations;
   Annex II. Information Data Monitoring;
   Annex III. Minutes of the Public Opening of the Financial Proposals;
   Annex IV. Copy of the Request for Proposals;
   Annex V. Miscellaneous Annexes—Ad Hoc.

The report can be used for all methods of selection described in the Guidelines. Though it mainly addresses Quality- and Cost-Based Selection, each section contains a note indicating the data and forms that are to be provided for the other methods of selection.

The evaluation notice is sent to the Bank after the technical evaluation is completed. It includes only Form IIB and a short explanatory note to flag important aspects of the evaluation. Following the Bank’s no-objection to the evaluation notice, the Borrower prepares Forms IVC and IVD and a short explanatory note to highlight the most important aspects of the financial evaluation.

For complex, specialized assignments, Borrowers may wish to obtain assistance from consultants to evaluate proposals. Such consultants or individual consultants may be financed under the relevant loan, credit, or grant.

Users of this sample evaluation report are invited to submit comments on their experience with the document to:
Procurement Policy and Services Group
Operational Core Services Department
The World Bank
1818 H Street, N.W.
Washington, D.C. 20433
U.S.A.
Fax: (202) 522-3318
CONSULTANT EVALUATION REPORT

Country [insert: name of country]

Project Name [insert: project name]

Loan/Credit No. [insert: loan/credit number]

Title of Consulting Services [insert: title]

Date of Submission [insert: date]
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    Annex V. Miscellaneous Annexes—Ad Hoc ................................................................ Error! Bookmark not defined.
Section I. Technical Evaluation Report—Text

1. **Background**
   Include a brief description, context, scope, and objectives of the services. Use about a quarter of a page.

2. **The Selection Process (Prior to Technical Evaluation)**
   Elaborate on information provided in Form IIA.
   Describe briefly the selection process, beginning with the advertising (if required), the establishment of the shortlist, expressions of interest, and withdrawals of firms before proposal submissions. Describe major events that may have affected the timing (delays, complaints from consultants, key correspondence with the Bank, Request for Proposals (RFP), extension of proposal submission date, and so on).
   Use about one-half to one page.

3. **Technical Evaluation**
   Describe briefly the meetings and actions taken by the evaluation committee: formation of a technical evaluation team, outside assistance, evaluation guidelines, justification of subcriteria and associated weightings as indicated in the Standard Request for Proposals; relevant correspondence with the Bank; and compliance of evaluation with RFP.
   Present results of the technical evaluation: scores and the award recommendation.
   Highlight strengths and weaknesses of each proposal (most important part of the report).

   (a) **Strengths:** Experience in very similar projects in the country; quality of the methodology, proving a clear understanding of the scope of the assignment; strengths of the local partner; and experience of proposed staff in similar assignments.

   (b) **Weaknesses:** Of a particular component of the proposal; of a lack of experience in the country; of a low level of participation by the local partner; of a lack of practical experience (experience in studies rather than in implementation); of staff experience compared to the firm’s experience; of a key staffer (e.g., the team

---

8 Section I applies to Quality- and Cost-Based Selection (QCBS), Quality-Based Selection (Quality-Based), Fixed-Budget Selection (Fixed-Budget), and Least-Cost Selection (Least-Cost). Provide appropriate information in the case of Selection Based on Qualifications (Qualifications) and Single-Source Selection (SS).
leader); of a lack of responsiveness; and of disqualifications (conflict of interest).

Comment on individual evaluators’ scores (discrepancies).

Items requiring further negotiations.

Use up to three pages.
Section II. Technical Evaluation Report—Forms

Form IIA. Technical Evaluation—Basic Data

Form IIB. Evaluation Summary—Technical Scores/Ranking

Form IIC. Individual Evaluations—Comparison (Average Scores)

Section II applies to Quality- and Cost-Based Selection (QCBS), Quality-Based Selection (Quality-Based), Fixed-Budget Selection (Fixed-Budget), and Least-Cost Selection (Least-Cost). Supply appropriate data in cases of Selection Based on Qualifications (Qualifications) and Single-Source Selection (Single-Source) in Form IIA.
Form IIA. Technical Evaluation - Basic Data

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
</table>
| 2.1     | Name of country  
Name of Project |
| 2.2     | Client:  
(a) name  
(b) address, phone, facsimile |
| 2.3     | Type of assignment (pre-investment, preparation, or implementation), and brief description of sources |
| 2.4     | Method of selection:  
QCBS ___ Quality-Based ___  
Fixed-Budget ___ Least-Cost ___  
Qualifications ___ Single-Source ___ |
| 2.5     | Prior review thresholds:  
(a) Full prior review  
(b) Simplified prior review (notice)  |
| 2.6     | Request for expressions of interest:  
(a) publication in United Nations Development Business (UNDB)  
Yes __________ No __________  
(b) publication in national newspaper(s)  
Yes __________ No __________  
(c) number of responses  
US$ __________________  
US$ __________________ |

---

10 See Guidelines.
11 Required for large contracts (see Guidelines).
12 Indicate whether expressions of interest advertised in Web or hardcopy edition of UNDP.
2.7 Shortlist:
(a) names/nationality of firms/associations (mark domestic firms and firms that had expressed interest)

1. __________________________
2. __________________________
3. __________________________
4. __________________________
5. __________________________
6. __________________________

(b) Submission to the Bank for no-objection
Date __________________________

(c) Bank’s no-objection
Date __________________________

2.8 Request for Proposals:
(a) submission to the Bank for no-objection
Date __________________________

(b) Bank’s no-objection
Date __________________________

(c) issuance to Consultants
Date __________________________

2.9 Amendments and clarifications to the RFP (describe)
________________________________________________________

2.10 Contract:
(a) Bank Standard Time-Based
Yes _____
Price adjustment: Yes_____ No _____

(b) Bank Standard Lump Sum
Yes____
Price adjustment: Yes_____ No _____

(c) other (describe)
________________________________________________________

2.11 Pre-proposal conference:
Yes __________ No ______________
(a) minutes issued
Yes __________ No ______________

2.12 Proposal submission:
(a) two envelopes (technical and financial proposals)
Yes ______

(b) one envelope (technical)
Yes ______

(c) original submission
Date ______________ Time ______________

(d) extensions(s)
Date ______________ Time ______________

2.13 Submission of Financial Proposal
Location __________________________

2.14 Opening of Technical Proposals by selection committee
Date ___________ Time ______________

2.15 Number of proposals submitted
2.16 Evaluation committee\textsuperscript{13}:

Members’ names and titles
(normal three to five)
1. ____________________________
2. ____________________________
3. ____________________________
4. ____________________________
5. ____________________________

2.17 Proposal validity period (days):
(a) original expiration date
   Date ___________ Time ___________
(b) extension(s), if any
   Date ___________ Time ___________

2.18 Evaluation Criteria/subcriteria\textsuperscript{14}:

(a) Consultants’ experience
   (i) ___________ Weight ___________
   (ii) ___________ Weight ___________

(b) methodology
   (i) ___________ Weight ___________
   (ii) ___________ Weight ___________

(c) key staff
   (i) individual(s)
      (A) ___________ Weight ___________
      (B) ___________ Weight ___________
      (C) ___________ Weight ___________
   (ii) group(s)
      (A) ___________ Weight ___________
      (B) ___________ Weight ___________
      (C) ___________ Weight ___________

(d) training (optional)
   (i) ___________ Weight ___________
   (ii) ___________ Weight ___________

(e) local input (optional)
   (i) ___________ Weight ___________
   (ii) ___________ Weight ___________

\textsuperscript{13} It is important that evaluators be qualified.
\textsuperscript{14} Maximum of three subcriteria per criterion.
2.19 Technical scores by Consultant  Minimum qualifying score ________________

<table>
<thead>
<tr>
<th>Consultants’ names</th>
<th>Technical scores</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
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<td>3.</td>
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<td>4.</td>
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</tbody>
</table>

2.20 Evaluation report:
(a) submission to the Bank for no-objection  Date __________________________

2.21 Evaluation notice:
(a) submission to the Bank:  Date __________________________
## Form IIB. Evaluation Summary

### Technical Scores/Ranking

<table>
<thead>
<tr>
<th>Consultants’ names</th>
<th>[Insert name of Consultant 1]</th>
<th>[Insert name of Consultant 2]</th>
<th>[Insert name of Consultant 3]</th>
<th>[Insert name of Consultant 4]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria</td>
<td>Scores</td>
<td>Scores</td>
<td>Scores</td>
<td>Scores</td>
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<td>Experience</td>
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<td>Methodology</td>
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<td>Proposed staff</td>
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<td>Training</td>
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<tr>
<td>Local input</td>
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<td><strong>Total score</strong>a</td>
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<tr>
<td>Rank</td>
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</tbody>
</table>

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a. Proposals scoring below the minimum qualifying score of [number] points have been rejected.
Form IIC. Individual Evaluations—Comparison

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Consultant 1</th>
<th>Consultant 2</th>
<th>Consultant 3</th>
<th>Consultant 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Experience</td>
<td>A, B, C, D</td>
<td>AV&lt;sup&gt;a&lt;/sup&gt;</td>
<td></td>
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<tr>
<td>Methodology</td>
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<tr>
<td>Key staff</td>
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<tr>
<td>Total</td>
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</tbody>
</table>

a. A, B, C, and D = scores given by evaluators; AV = average score, see Annex I(i).
NOTE:

Please see the Preface.

For contracts above a threshold indicated in the Loan Agreement and requiring the Bank’s no-objection of the technical evaluation report, financial proposals must not be opened before the Borrower has received such no-objection. The technical evaluation (technical scores in particular) cannot be changed following the opening of the financial proposals.
Section III. Financial Evaluation Report—Award Recommendation—Text\textsuperscript{15}

[The text will indicate:

(a) any issues faced during the evaluation, such as difficulty in obtaining the exchange rates to convert the prices into the common currency used for evaluation purposes;

(b) adjustments made to the prices of the proposal(s) (mainly to ensure consistency with the technical proposal) and determination of the evaluated price (does not apply to Quality-Based (Quality-Based), Selection Based on Qualifications (Qualifications), and Single-Source Selection (Single-Source));

(c) tax-related problems;

(d) award recommendation; and

(e) any other important information.

Taxes are not taken into account in the financial evaluation whereas reimbursables are.]

\textsuperscript{15} Applies to QCBS, Fixed-Budget, and Least-Cost. For Quality-Based, Qualifications, and Single-Source provide relevant information as indicated.
Section IV. Financial Evaluation Report—Award Recommendation—Forms

Form IVA. Financial Evaluation—Basic Data

Form IVB. Adjustments—Currency Conversion—Evaluated Prices

Form IVC. QCBS—Combined Technical/Financial Evaluation—Award Recommendation

Form IVD. Fixed-Budget and Least-Cost Selection—Award Recommendation

---

Applies to QCBS, Fixed-Budget, and Least-Cost. For Quality-Based, Qualifications, and Single-Source, provide relevant information as indicated.
Form IVA. Financial Evaluation—Basic Data

4.1 Bank’s no-objection to technical evaluation report (Quality-Based, Qualifications, Single-Source) Date __________________________

4.2 Public opening of financial proposals Date ____________ Time ____________
   (a) Names and proposal prices (mark Consultants that attended public opening)
   1. ____________________________
   2. ____________________________
   3. ____________________________
   4. ____________________________

4.3 Evaluation committee: members’ names and titles (if not the same as in the technical evaluation - Quality-Based, Qualifications, Single-Source)
   ____________________________
   ____________________________
   ____________________________

4.4 Methodology (formula) for evaluation of cost (QCBS only; cross as appropriate)
   Weight inversely proportional to cost ________ Other ________

4.5 Submission of final technical/financial evaluation report to the Bank (Quality-Based, Qualifications, Single-Source) Date __________________________

4.6 QCBS (a) Technical, financial and final scores (Quality-Based: technical scores only)

<table>
<thead>
<tr>
<th>Consultant Name</th>
<th>Technical scores</th>
<th>Financial scores</th>
<th>Final scores</th>
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</thead>
<tbody>
<tr>
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</table>

(b) Award recommendation ____________________________________________

4.7 Fixed Budget and Least-Cost (a) Technical scores, proposal and evaluated prices

<table>
<thead>
<tr>
<th>Consultant Name</th>
<th>Technical scores</th>
<th>Proposal prices</th>
<th>Evaluated prices</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
(b) Award recommendation ________________________________
(c) Fixed-Budget: best technical proposal within the budget (evaluated price) Name ________________________________
(d) Least-Cost: lowest evaluated price proposal above minimum qualifying score Name ________________________________
Form IVB. Adjustments—Currency Conversion—Evaluated Prices

<table>
<thead>
<tr>
<th>Consultants’ Names</th>
<th>Proposals’ prices\textsuperscript{a}</th>
<th>Adjustments\textsuperscript{b}</th>
<th>Evaluated price(s) ((3) = (1) + (2))</th>
<th>Conversion to currency of evaluation\textsuperscript{c}</th>
<th>Financial scores\textsuperscript{d}</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Currency</td>
<td>Amounts (1)</td>
<td>(2)</td>
<td>Exchange rate(s)\textsuperscript{e} (4)</td>
<td>Proposals’ prices ((5) = (3)(4))</td>
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</table>

\textsuperscript{17} For Quality-Based, Qualifications, and Single-Source, fill out only up to column 3.
a. Comments, if any (e.g., exchange rates); three foreign currencies maximum, plus local currency.
b. Arithmetical errors and omissions of items included in the technical proposals. Adjustments may be positive or negative.
c. As per RFP.
d. 100 points to the lowest evaluated proposal; other scores to be determined in accordance with provisions of RFP.
e. Value of one currency unit in the common currency used for evaluation purposes, normally the local currency (e.g., US$1 = 30 rupees). Indicate source as per RFP.
Form IVC. QCBS—Combined Technical/Financial Evaluation—Award Recommendation

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<tbody>
<tr>
<td></td>
<td>Technical scores&lt;sup&gt;a&lt;/sup&gt; S(t)</td>
<td>Weighted scores S(t) x T&lt;sup&gt;b&lt;/sup&gt;</td>
<td>Technical rank</td>
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</table>

Award recommendation: To highest combined technical/financial score.
Consultant’s name: ________________________________
a. See Form IIB.
b. T = As per RFP.
c. See Form IVB.
d. F = as per RFP.
Form IVD. Fixed-Budget and Least-Cost Selection—Award Recommendation

<table>
<thead>
<tr>
<th>Consultants’ names</th>
<th>Fixed-Budget Selection</th>
<th>Least-Cost Selection</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Technical scores&lt;sup&gt;a&lt;/sup&gt;</td>
<td>Evaluated prices&lt;sup&gt;b&lt;/sup&gt;</td>
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<tr>
<td>Award recommendation</td>
<td>To best technical score with evaluated price within budget. Consultant’s name: __________________</td>
<td>To lowest evaluated price above minimum qualifying score. Consultant’s name: __________________</td>
</tr>
</tbody>
</table>

<sup>a</sup> See Form IIB.
<sup>b</sup> See Form IVB.

<sup>18</sup> Fill in appropriate part of form.
Section V. Annexes¹⁹
Annex I. Individual Evaluations

Form V Annex I(i). Individual Evaluations
Form V Annex I(ii). Individual Evaluations—Key Personnel

Annex II. Information Data Monitoring

Annex III. Minutes of Public Opening of Financial Proposals

Annex IV. Request for Proposals

Annex V. Miscellaneous Annexes—Ad Hoc

¹⁹ Annex I applies to Quality-Based, Fixed-Budget and Least-Cost. For Qualifications and Single-Source, it is replaced by a review of the strengths and weaknesses of the proposal, which may be amended by one or several evaluators.
## Annex I (i). Individual Evaluations

Consultant’s name: ________________________________  

<table>
<thead>
<tr>
<th>Criteria/Sub-Criteria</th>
<th>Maximum Scores</th>
<th>Evaluators</th>
<th></th>
<th></th>
<th></th>
<th>Average Scores</th>
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<tbody>
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<td>1</td>
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<td>Experience</td>
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a. If specified in the RFP

1. Evaluator’s Name: ________________________________ Signature: ____________________ Date: __________

2. Evaluator’s Name: ________________________________ Signature: ____________________ Date: __________

3. Evaluator’s Name: ________________________________ Signature: ____________________ Date: __________
Annex I(ii) Individual Evaluations—Key Personnel

Consultant’s Name: ____________________________

<table>
<thead>
<tr>
<th>Key Staff Names(^a)</th>
<th>Maximum Scores</th>
<th>General Qualifications ((^b))</th>
<th>Adequacy for the Assignment ((^b))</th>
<th>Experience in Region ((^b))</th>
<th>Total Marks (100)</th>
<th>Score</th>
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Total

a. Sometimes evaluations are made by groups instead of individuals. Each group (e.g. financial group) has a weight. The group score is obtained by the weighted scores of the members of the group. For example, the score of a group of three individuals scoring a, b, and c would be ax + by + cz with x, y, and z representing the respective weights of the members (x + y + z = 1) in this group.

b. Maximum marks as per RFP

Name of Evaluator: __________________ Signature: __________________ Date: __________
Annex II. Information Data Monitoring

5.1 Loan/credit/grant
   (a) number
   (b) date of effectiveness
   (c) closing date
      (i) original
      (ii) revised

5.2 General Procurement Notice
   (a) first issue date
   (b) latest update

5.3 Request for expressions of interest20:
   (a) publication in United Nations Development Business (UNDB) Date __________________________
   (b) publication in national local newspaper(s) Name of newspaper(s) and date(s) ____________

5.4 Did the use of price as a factor of selection change the final ranking?21 Yes ___________ No ___________

5.5 Did the use of “local input” as a factor of selection change the technical ranking?22 Yes ___________ No ___________

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20 Required for large contracts (see Guidelines).
21 Compare technical rank with rank in Form IVC.
22 Figure out technical scores with and without “local input” (Form IIB).
Annex III. Minutes of Public Opening of Financial Proposals

MINUTES

[The minutes should indicate the names of the participants in the proposal opening session, the proposal prices, discounts, technical scores, and any details that the Client, at its discretion, may consider appropriate.

All attendees must sign the Minutes.]
Annex IV. Request for Proposals

[A Standard Request for Proposals must be used for World Bank-financed contracts in excess of US$200,000. The Bank also recommends the use of the Standard Request for Proposals document for smaller contracts to simplify its prior review (i.e., when the Borrower cannot issue the document without the Bank’s no-objection). The Standard Request for Proposals is available on the Bank’s Internet site (http://www.worldbank.org/html/opr/procure/conspage.html) and in the Bank InfoShop at the following address:

The World Bank InfoShop
701 18th Street, N.W.
Rm. J 1-060
Washington, D.C. 20433, U.S.A.
1.202.458-5454
books@worldbank.org].

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24 Annex IV applies to all selection procedures (The Bank Standard Request for Proposals may be used for Qualifications and Single-Source, with appropriate modifications).
SAMPLE FORMAT:

REQUEST FOR EXPRESSIONS OF INTEREST

(CONSULTING SERVICES– FIRMS SELECTION)

[COUNTRY]
[NAME OF PROJECT]
Loan No./Credit No./Grant No.:___________________________

Assignment Title: __________________
Reference No. (as per Procurement Plan): ________________

The [insert name of Borrower/Beneficiary/Recipient] [has received/has applied for/intends to apply for] financing from the World Bank toward the cost of the [insert name of project or grant], and intends to apply part of the proceeds for consulting services.

The consulting services (“the Services”) include [insert brief description, implementation period, etc.]

The [insert name of implementing agency/client] now invites eligible consulting firms (“Consultants”) to indicate their interest in providing the Services. Interested Consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the Services. The shortlisting criteria are: [insert criteria related to required qualifications and experience of the firm, but not individual experts’ bio data].

The attention of interested Consultants is drawn to paragraph 1.9 of the World Bank’s Guidelines: Selection and Employment of Consultants [under IBRD Loans and IDA Credits & Grants] by World Bank Borrowers [insert correct title and date of applicable Guidelines edition as per legal agreement] (“Consultant Guidelines”), setting forth the World Bank’s policy on conflict of interest. [If applicable, insert the following additional text: In addition, please refer to the following specific information on conflict of interest related to this assignment: [insert information on conflict of interest related to the assignment as per paragraph 1.9 of Consultant Guidelines].]

Consultants may associate with other firms in the form of a joint venture or a sub consultancy to enhance their qualifications.

A Consultant will be selected in accordance with the [insert selection method] method set out in the Consultant Guidelines.

Further information can be obtained at the address below during office hours [insert office hours if applicable, i.e. 0900 to 1700 hours].

Expressions of interest must be delivered in a written form to the address below (in person, or by mail, or by fax, or by e-mail) by [insert date].
[insert name of office]
Attn: [insert name of officer & title]
[insert postal address and/or street address]
[insert postal code, city and country]
Tel: [include the country and city code]
Fax: [include the country and city code]
E-mail: [include e-mail address]

[Provide enough information allowing Consultants to decide whether or not to prepare an expression of interest or insert a link to the website where the terms of reference can be found. Requested information should be the minimum required to judge a Consultant’s suitability and not so complex as to discourage Consultants from expressing interest.]