

## PROCUREMENT PLAN (Textual Part)

### I. General

#### 1. Project information:

Country: Zambia

Project Name: Transforming Landscapes for Resilience and Development in Zambia (TRALARD)

Project Id: P164764

#### 2. Project Implementation agency: Ministry of National Development Planning

#### 3. Date of the Procurement Plan: 1<sup>st</sup> June 2018

#### 4. Period covered by this Procurement Plan: 1<sup>st</sup> June 2018 to 31<sup>st</sup> December 2019

### II. Preamble

In accordance with paragraph 5.9 of the “World Bank Procurement Regulations for IPF Borrowers” (July 2016) (“Procurement Regulations”) the Bank’s Systematic Tracking and Exchanges in Procurement (STEP) system will be used to prepare, clear and update Procurement Plans and conduct all procurement transactions for the Project.

**This textual part along with the Procurement Plan tables in STEP constitute the Procurement Plan for the Project.** The following conditions apply to all procurement activities in the Procurement Plan. The other elements of the Procurement Plan as required under paragraph 4.4 of the Procurement Regulations are set forth in STEP.

### III. Banks Standard Procurement Documents:

*The Bank’s Standard Procurement Documents* shall be used for all contracts subject to international competitive procurement and those contracts as specified in the Procurement Plan tables in STEP.

### IV. National Procurement Arrangements:

In accordance with paragraph 5.3 of the Procurement Regulations, when approaching the national market (as specified in the Procurement Plan tables in STEP), the country’s own procurement procedures may be used.

When the Borrower uses its own national open competitive procurement arrangements as set forth in ***The Zambia - Public Procurement Act, 2008, Amendment Act of 2013 and the Public procurement Regulations, of 2013***, such arrangements shall be subject to paragraph 5.4 of the Procurement Regulations and the following conditions.

*(the “Procurement Guidelines”), and the additional provisions in the following paragraphs:*

*(a) Eligibility: Eligibility to participate in a procurement process and to be awarded an Association-financed contract shall be as defined under Section I of the Procurement Guidelines; accordingly, no bidder or potential bidder shall be declared ineligible for contracts financed by the Association for reasons other than those provided in Section I of the Procurement Guidelines. No restriction based on nationality of bidders and/or origin of goods shall apply, and foreign bidders shall be allowed to*

*participate in NCB without application of restrictive conditions, such as, but not limited to, mandatory partnering or subcontracting with national entities.*

*(b) Domestic Preference: No margins of preference of any sort shall be applied in the bid evaluation.*

*(c) Bidding Documents: Procuring entities shall use bidding documents acceptable to the Association.*

*(d) Bid validity: An extension of bid validity, if justified by exceptional circumstances, may be requested in accordance with Appendix 1 of the Procurement Guidelines. A corresponding extension of any bid guarantee shall be required in all cases of extension of bid validity. A bidder may refuse a request for extension of bid validity without forfeiting its bid guarantee.*

*(e) Qualification: Qualification criteria shall be clearly specified in the bidding documents. All criteria so specified, and only such specified criteria, shall be used to determine whether a bidder is qualified. Qualification shall be assessed on a “pass or fail” basis, and merit points shall not be used. Such assessment shall be based entirely upon the bidder’s or prospective bidder’s capability and resources to effectively perform the contract, taking into account objective and measurable factors, including: (i) relevant general and specific experience, and satisfactory past performance and successful completion of similar contracts over a given period; (ii) financial position; and where relevant (ii) capability of construction and/or manufacturing facilities*

*(f) Prequalification procedures and documents acceptable to the Association shall be used for large, complex and/or specialized works. Verification of the information upon which a bidder was prequalified, including current commitments, shall be carried out at the time of contract award, along with the bidder’s capability with respect to personnel and equipment. Where pre-qualification is not used, the qualification of the bidder who is recommended for award of contract shall be assessed by post-qualification, applying the qualification criteria stated in the bidding documents.*

*(g) Bid Evaluation: All bid evaluation criteria other than price shall be quantifiable in monetary terms. Merit points shall not be used, and no minimum point or percentage value shall be assigned to the evaluation criteria or significance of price in bid evaluation. No negotiations shall be permitted.*

*(h) Guarantees: Guarantees shall be in the format, shall have the period of validity and shall be submitted when and as specified in the bidding documents.*

*(i) Cost Estimates: Detailed cost estimates shall be confidential and shall not be disclosed to prospective bidders. No bids shall be rejected on the basis of comparison with the cost estimates without the Association’s prior written concurrence.*

*(j) Rejection of bids and re-bidding: No bid shall be rejected solely because it falls outside of a predetermined price range or exceeds the estimated cost. All bids (or the sole bid if only one bid is received) shall not be rejected, the procurement process shall not be cancelled, and new bids shall not be solicited without the Association’s prior written concurrence.*

*(k) Fraud and corruption: In accordance with the Procurement Guidelines, each bidding document and contract shall include provisions stating the Association’s policy to sanction firms or individuals found to have engaged in fraud and corruption as set forth in the Procurement Guidelines.*

*(l) Inspection and audit rights: In accordance with the Procurement Guidelines, each bidding document and contract shall include provisions stating the Bank’s policy with respect to inspection and audit of accounts, records and other documents relating to the submission of bids and contract performance.*

When **other national procurement arrangements** other than national open competitive procurement arrangements are applied by the Borrower, such arrangements shall be subject to paragraph 5.5 of the Procurement Regulations.

***In accordance with paragraph 5.4(c) and 5.5 of the Procurement Regulations, the request for bids/request for proposals/request for quotations document shall require that Bidders/Proposers submitting Bids/Proposals/quotations present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank’s Anti-Corruption Guidelines, including without limitation the Bank’s right to sanction and the Bank’s inspection and audit rights. The form of the Letter of Acceptance is attached in Appendix 1.***

- V. Prequalification: Not Applicable
- VI. ***Leased Assets*** as specified under paragraph 5.10 of the Procurement Regulations: Not Applicable
- VII. ***Procurement of Second Hand Goods*** as specified under paragraph 5.11 of the Procurement Regulations: ***Not Applicable***
- VIII. ***Domestic preference*** as specified under paragraph 5.51 of the Procurement Regulations (***Goods and Works***).

Goods: Non –identified for now

Works: Non –identified for now

- IX. Hands-on Expanded Implementation Support (HEIS)*** as specified under paragraphs 3.10 and 3.11 of the Procurement Regulations is Applicable. *Not Applicable*
- X. Other Relevant Procurement Information.**  
*Not Applicable*
- XI. Procurement Prior Review Thresholds (US\$ millions)**

Type of Procurement	High Risk	Substantial Risk	Moderate Risk	Low Risk
Works (including turnkey, supply & installation of plant and equipment, and PPP)			15	
Goods, information technology and non-consulting services			2	
Consultants: firms			0.5	
Consultants: Individuals			0.3	

**Post Review: All contacts not subject to prior review shall be subject to post review.**

**XII. Thresholds for Procurement Approaches and Method (US\$ millions)**

Works			Goods, IT and Non-consulting Services			Shortlist of National Consultants	
Open International	Open National	Request for Quotation	Open International	Open National	Request for Quotation	Consulting Services	Engineering & Construction Supervision
≥	<	≤	≥	<	≤		
15	15	0.2	2	2	0.1	0.3	0.3

XIII. **Summary of the procurement packages:** (Planned for the first 18 months after project effectiveness):

**Category:**

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, QCBS etc.)	Evaluation Options (BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
1.	Supply & Delivery of Four(4) Motor Vehicles for project support		post		RFQ	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
2.	Supply & Delivery of Office Equipment (Computer/Laptop/Printer)		post		RFQ	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
3.	Consultancy Services to conduct a Baseline Study		prior		QCBS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
4.	Consultancy Services to conduct Institutional Needs Assessment		post		CQS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
5.	Consultancy Services to conduct Integrated Natural Resource Investment Identification and Planning (will include stakeholder facilitations and consultations)		prior		QCBS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
6.	Consultancy Services to prepare SESA (include Environmental and Social Due Diligence)		post		CQS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
7.	Consultancy Services to conduct Feasibility Studies that will inform costs of investment projects/ waterways development/rehabilitation		prior		QCBS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018

8.	Consultancy Services to prepare Implementation, Monitoring and Evaluation Framework		post		IND V	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
9.	Consultancy Services to Prepare the Project Implementation Manual (PIM)		post		IND V	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
10.	Consultancy services to carry out a climate change risk and vulnerability assessment		prior		CDS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
11.	Consultancy Services to carry out a Feasibility Study for the GCF Proposal related to TRALARD		post		CQS	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
12.	Consultancy to undertake Studies for Identification of Pure Populations of Indigenous Tilapias for Conservation and Aquaculture.		post		IND V	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018
13.	Consultancy to undertake a study on Policy impact of fish ban in Zambia on livelihood		post		IND V	Rated Criteria	Single stage	No	No	Sept 2018	Oct 2018

## Appendix 1

### Letter of Acceptance of the World Bank's Anti-Corruption Guidelines and Sanctions Framework

Date: \_\_

Invitation of Bids/Proposals No. \_\_\_\_\_

To:

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We, along with our sub-contractors, sub-consultants, service providers, suppliers, agents (whether declared or not) consultants and personnel, acknowledge and agree to abide by the World Bank's policy regarding Fraud and Corruption (corrupt, fraudulent, collusive, coercive, and obstructive practices), as set out and defined in the World Bank's Anti-Corruption Guidelines<sup>1</sup> in connection with the procurement and execution of the contract (in case of award), including any amendments thereto.

We declare and warrant that we, along our sub-contractors, sub-consultants, service providers, suppliers, agents (whether declared or not), consultants and personnel, , are not subject to, and are not controlled by any entity or individual that is subject to, a temporary suspension, early temporary suspension, or debarment imposed by a member of the World Bank Group, including, inter alia, a cross-debarment imposed by the World Bank Group as agreed with other international financial institutions (including multilateral development banks), or through the application of a World Bank Group finding of non-responsibility on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement. Further, we are not ineligible under the laws or official regulations of *[Insert name of Employer as per bidding document]* or pursuant to a decision of the United Nations Security Council.

We confirm our understanding of the consequences of not complying with the World Bank's Anti-Corruption Guidelines, which may include the following:

- a. rejection of our Proposal/Bid for award of contract;
- b. in the case of award, termination of the contract, without prejudice to any other remedy for breach of contract; and
- c. sanctions, pursuant to the Bank's Anti-corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the Bank's Sanctions Framework. This may include a public declaration of ineligibility, either indefinitely or for a stated period of time, (i) to be awarded or otherwise benefit from a Bank-financed contract,

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<sup>1</sup>*Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by International Bank for Reconstruction and Development Loans and the International Development Agency Credits and Grants*, dated October 15, 2006, and revised in January 2011 and July 2016, as they may be revised from time to time.

financially or in any other manner;<sup>2</sup> (ii) to be a nominated<sup>3</sup> 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.

We understand that we may be declared ineligible as set out above upon:

- a. completion of World Bank Group sanctions proceedings according to its prevailing sanctions procedures;
- b. cross-debarment as agreed with other international financial institutions (including multilateral development banks);
- c. the application of a World Bank Group finding of non-responsibility on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement; or
- d. temporary suspension or early temporary suspension in connection with an ongoing World Bank Group sanctions proceeding.

For avoidance of doubt, the foregoing effects of ineligibility do not extend to a sanctioned firm's or individual's execution of its ongoing Bank-financed contracts (or its ongoing sub-agreements under such contracts) that are not the subject of a material modification, as determined by the Bank.

We shall permit, and shall cause our sub-contractors, sub-consultants, agents (whether declared or not), personnel, consultants, service providers or suppliers, to permit the Bank to inspect<sup>4</sup> all accounts, records, and other documents relating to the procurement process and/or contract execution (in the case of award), and to have them audited by auditors appointed by the Bank. We agree to preserve all accounts, records, and other documents (whether in hard copy or electronic format) related to the procurement and execution of the contract.

Name of the Bidder/Consultant: \_\_\_\_\_

Name of the person duly authorized to sign the Bid/Proposal on behalf of the Bidder/Consultant:

Title of the person signing the Letter: \_\_\_\_\_

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> Inspections in this context are usually 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.





**PROCUREMENT PLAN** Zambia : Transforming landscapes for resilience and development In Zambia

**General Information**  
**Country:** Zambia **Bank:** Approval Date of the Original Procurement Plan: 2018-08-02  
**Revised Plan Date(s):** (comma delimited, leave blank if none) 2018-08-02  
**Project ID:** P164764 **GPN Date:**  
**Project Name:** Transforming landscapes for resilience and development in Zambia  
**Loan / Credit No:**  
**Executing Agency(ies):** Ministry of National Development Planning

**WORKS**

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

**GOODS**

Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Procurement Process	Prequalification (Y/N)	Actual Amount (US\$)	Process Status	Draft Pre-qualification Documents		Prequalification Evaluation Report		Draft Bidding Document /Justification		Specific Procurement Notice / Invitation		Bidding Documents as Issued		Proposal Submission / Opening / Minutes		Bid Evaluation Report and Recommendation for Award		Signed Contract		Contract Completion	
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
MNDP/TRAD/CS/001/2018 / Supply & Delivery of Four(4) Motor Vehicles for project support			Post	Request for Quotations	Limited	Single Stage - One Envelope		0.00	Pending Implementation							2018-08-25									2018-10-20		2019-04-18
MNDP/TRAD/GO/002/2018 / Supply & Delivery of Office Equipment (Computer,Laptop/Printer)			Post	Request for Quotations	Limited	Single Stage - One Envelope		0.00	Pending Implementation							2018-08-25									2018-10-20		2019-04-18

**NON CONSULTING SERVICES**

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

**CONSULTING FIRMS**

Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Contract Type	Actual Amount (US\$)	Process Status	Terms of Reference	Expression of Interest Notice		Short List and Draft Request for Proposals		Request for Proposals as Issued		Opening of Technical Proposals / Minutes		Evaluation of Technical Proposal		Combined Evaluation Report and Draft Negotiated Contract		Signed Contract		Contract Completion	
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
MNDP/TRAD/CS/009/2018 / Consultancy Services to carry out a Feasibility Study for the GCF Proposal related to TRALARD			Post	Consultant Qualification Selection	Open - International		0.00	Pending Implementation	2018-07-31	2018-08-21	2018-10-04									2018-11-03		2018-12-08		2019-06-06	
ZM/MNDP/71139-CS-CGS / Consultancy to Prepare SESAs for TRALARD			Post	Consultant Qualification Selection	Open - National		0.00	Pending Implementation	2018-07-31	2018-08-21	2018-10-04									2018-11-03		2018-12-08		2019-06-06	

**INDIVIDUAL CONSULTANTS**