

## Procurement Plan (Jal Marg Vikas Project)

### I. General

1. **Project information:** [Country: India, Borrower: Ministry of Shipping, Government of India, Project Name: Capacity Augmentation of National Waterway – 1 (Jal Marg Vikas Project), Loan No.:.....; Project ID: P-149460, Project Implementing Agency (PIA): Inland Waterways Authority of India (IWAI), Ministry of Shipping]
2. **Bank's approval Date of the procurement Plan :** March 15, 2017
3. **Date of General Procurement Notice:** 15-September-2014
4. **Period covered by this procurement plan:** First 18 months of the project, including retroactive financing.

### II. Goods and Works and non-consulting services.

1. **Prior Review Threshold:** Procurement Decisions subject to Prior Review by the Bank as stated in Appendix 1 to the Guidelines for Procurement:

<i>Category</i>	<i>Method of Procurement</i>	<i>Threshold (US\$ Equivalent)</i>
Works	International Competitive Bidding (ICB)	> 40,000,000
	National Competitive Bidding (NCB)	Up to 40,000,000 (with NCB conditions)
	Shopping	Up to 100,000
	Direct Contracting (DC)	As per paragraph 3.7 of Guidelines
	Public-Private Partnership (PPP) for Works	As per paragraph 3.14 of Guidelines
	Force Account	As per paragraph 3.9 of Guidelines
	Framework Agreement (FA)	As per paragraph 3.6 of Guidelines
Goods and non-consultant services (NCS)	International Competitive Bidding (ICB)	> 3,000,000
	Limited International Bidding (LIB)	wherever agreed by Bank
	National Competitive Bidding (NCB)	Up to 3,000,000 (with NCB conditions)
	Shopping	Up to 100,000
	Direct Contracting (DC)	As per paragraph 3.7 of Guidelines
	Public-Private Partnership (PPP) Services	As per paragraph 3.14 of Guidelines
	Force Account (only for NCS)	As per paragraph 3.9 of Guidelines
Framework Agreement (FA) <sup>1</sup>	As per paragraph 3.6 of Guidelines	

<sup>1</sup> DGS&D rate contracts may be used as framework agreement (FA) provided:

- Use of DGS&D rate contracts as FA must be reflected on the procurement plan agreed by the Bank for particular goods.
- Before issuing the purchasing order, the implementing agency will carry out a price analysis on the specific good that is intended to be purchased. If after this due diligence the implementing agency concludes (and Bank agrees) that the DGS&D rate contracts are more advantageous, DGS&D rate contracts may be used as FA.

	Procurement from United Nations (UN) Agencies	As per paragraph 3.10 of Guidelines
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**World Bank review of procurement:** The World Bank will prior review (thresholds are based on “Substantial” risk rating, which may be modified if risk rating is changed after assessment by Bank during implementation of the project) the following contracts:

- a) Works (Including turnkey, supply & installation of plant and equipment and PPP) : All contracts more than US\$ 10 million equivalent
- b) Goods, Information Technology and non-consulting services : All contracts more than US\$ 2 million equivalent

First contract issued by implementing agency [IA] will be subject to prior review irrespective of their value. In addition, the justifications for all contracts to be issued on the basis of LIB, single-source or direct contracting, will be subject to prior review. The above thresholds are for the initial 18 month implementation period; based on the procurement performance of the project these thresholds may be subsequently modified. **Even for Post Review cases, the inputs of Bank on Technical Specifications will be obtained by project.** The procurement plan will be updated annually (or at any other time if required) and will reflect any change in prior review thresholds. The World Bank will carry out an annual ex-post procurement review of the procurement falling below the prior review thresholds provided above. To avoid any doubts, the Bank may conduct at any time Independent Procurement Reviews (IPRs) of all the contracts financed under the grant.

2. **Prequalification.** Bidders for Least Available Depth tender for the first contract and any other contract, as per requirement, shall be prequalified in accordance with the provisions of paragraphs 2.9 and 2.10 of the Guidelines.
3. **Proposed Procedures for CDD Components (as per paragraph. 3.17 of the Guidelines):** Not Applicable
4. **Reference to (if any) Project Operational/Procurement Manual:** N/A
5. **Any Other Special Procurement Arrangements:** Retroactive Financing as per Legal Agreement.
6. **Procurement Packages with Methods and Time Schedule**

1	2	3	4	5	6	7	8	9
Ref. No.	Contract (Description)	Estimated Cost	Procurement Method	Prequalification (yes/no)	Domestic Preference	Review by Bank	Expected Bid-Opening	Comments

- To meet the Bank's requirements for right to audit and F&C, these clauses may be included in the Purchase Orders (in case the purchasers are directly placing the purchase orders to DGS&D rate contract holders). On the other hand, if indent is placed through DGS&D, the Purchaser has the option to sign a separate undertaking with DGS&D rate contract holder, where Bank's right to audit and F&C clauses could be mentioned.

		(Rs. Million)			(yes/no)	(Prior / Post)	Date	
CANW-1/IWAI/JMV/4A	Interior Works for Office of the Project Management Unit of Jal Marg Vikas Project	7.9	Shopping	No	No	Post	24-Apr-15	The value of contract was increased to Rs. 9.1 Million
CANW-1/IWAI/JMV/4B	Furniture and other equipment for Office of the Project Management Unit of Jal Marg Vikas Project	6.6	Shopping	No	No	Post	24-Apr-15	The value of contract was increased to Rs. 7.4 Million
CANW-1/IWAI/JMV/4C	Office Interiors 2 for PMU	2.5	Shopping	No	No	Post	24-Apr-15	
CANW-1/IWAI/JMV/5	Laptops (6 Nos.)	0.46	Shopping	No	No	Post	26-Sept-14	
CANW-1/IWAI/JMV/7	Self Propelled Cutter Suction Dredger (2 Nos.)	600	ICB	No	No	Prior	May-16	
CANW-1/IWAI/JMV/8	Inspection cum Survey Vessel (2 Nos.)	100	ICB	No	Yes	Prior	22-Jan-15	The contract is awarded at Rs. 139.94 Million
CANW-1/IWAI/JMV/9	Performance based Maintenance contract for Navigation on Part of National Waterway – 1 (Farakka – Bhagalpur)	2,034.9	ICB	Yes	No	Prior	15-Feb-16	Contractor finalized, Contract to be signed for Rs. 1589.1 Million
CANW-1/IWAI/JMV/10	Procurement of EPC Contract for Construction of Terminal at Varanasi	2,018	ICB	No	No	Prior	28-Sept-15	Contractor finalized, Contract signed for Rs. 1695.9 Million
CANW-1/IWAI/JMV/11	Procurement of EPC Contract for Construction of IWT Terminal at Sahibganj, Jharkhand	2,921	ICB	No	No	Prior	14-Mar-16	Contractor finalized, Contract signed for Rs. 2809 Million
CANW-1/IWAI/JMV/15	Procurement of EPC Contract for Construction of Multimodal IWT Terminal at Haldia, West Bengal	4,650	ICB	No	No	Prior	18-Apr-16	Contractor finalized, Contract to be signed for Rs. 5173.62 Million
CANW-1/IWAI/JMV/16	Procurement of EPC Contract for Construction of Navigation Lock at Farakka, West Bengal	3,520	ICB	No	No	Prior	May-16	Contractor finalized, Contract signed for Rs. 3591.9 Million
CANW-1/IWAI/JMV/17	Laptop (1 No.) (Apple)	0.16	Shopping	No	No	Post	03-Dec-15	Through DGS&D Rate Contract
CANW-1/IWAI/JMV/18	B&W Printer (1 No.)	0.27	Shopping	No	No	Post	03-Dec-15	Through DGS&D Rate Contract
CANW-1/IWAI/JMV/19	Color Printer (1 No.)	0.19	Shopping	No	No	Post	03-Dec-15	Through DGS&D Rate Contract
CANW-	Desktop (8 Nos.)	0.37	Shopping	No	No	Post	03-Dec-15	Through

1/IWAI/ JMV/20								DGS&D Rate Contract
CANW- 1/IWAI/ JMV/21	Laptop (10 Nos.)	0.62	Shopping	No	No	Post	03-Dec-15	Through DGS&D Rate Contract
CANW- 1/IWAI/ JMV/22	UPS (10 Nos.)	0.24	Shopping	No	No	Post	03-Dec-15	Through DGS&D Rate Contract
CANW- 1/IWAI/ JMV/28	Performance based Maintenance contract for Navigation on Part of National Waterway – 1 (Barh – Ghazipur)	6,925	ICB	Yes	No	Prior	15-Apr-17	
CANW- 1/IWAI/ JMV/29	Performance based Maintenance contract for Navigation on Part of National Waterway – 1 (Ghazipur – Varanasi)	2,346.6	ICB	Yes	No	Prior	15-Apr-17	
CANW- 1/IWAI/ JMV/30	Procurement of EPC Contract for Construction of IWT Terminal at third Location	600	ICB	No	No	Prior	18-Mar-17	
CANW- 1/IWAI/ JMV/31	Procurement of EPC Contract for Construction of IWT Terminal at Kalughat, Bihar	800	ICB	No	No	Prior	18-Feb-18	
CANW- 1/IWAI/ JMV/32	Procurement of EPC Contract for Construction of IWT Terminal at Ghazipur, Uttar Pradesh	600	ICB	No	No	Prior	18-Jan-17	
CANW- 1/IWAI/ JMV/33	Procurement of EPC Contract for Construction of Vessel Repair and Maintenance Facility, Site 1	375	ICB	No	No	Prior	18-Jul-17	
CANW- 1/IWAI/ JMV/34	Procurement of EPC Contract for Construction of Vessel Repair and Maintenance Facility, Site 2	375	ICB	No	No	Prior	18-Aug-17	
	<b>Total</b>	<b>2,7857.81</b>						<b>Rs. 15,015.96 Million worth of contract awarded</b>

### **III. Selection of Consultants**

- Prior Review Threshold:** Selection decisions subject to Prior Review by Bank as stated in Appendix 1 to the Guidelines Selection and Employment of Consultants:

<b><i>Category</i></b>	<b><i>Method of Procurement</i></b>	<b><i>Threshold (US\$ Equivalent)</i></b>
Consultants' Services	Selection Based on Consultants' Qualifications (CQS)/Least-Cost Selection (LCS)	Up to 300,000

	Single-Source Selection (SSS)	As per paragraphs 3.9-3.11 of Guidelines
	Individuals	As per Section V of Guidelines
	Particular Types of Consultants	As per paragraphs 3.15-3.21 of Guidelines
	Quality- and Cost-Based Selection (QCBS)/ Quality-Based Selection (QBS)/ Selection under a Fixed Budget (FBS)	for all other cases
	(i) International shortlist	> 800,000
	(ii) Shortlist may comprise national consultants only	Up to 800,000

- a) Consulting Services (firms) : All contracts more than US\$ 1 million equivalent;
- b) Individual Consultants : All contracts above US\$ 300,000.

First Consultancy contract issued by implementing agency [IA] will be subject to prior review irrespective of their value. In addition, the justifications for all contracts to be issued on the basis of single-source, will be subject to prior review. The above thresholds are for the initial 18 month implementation period; based on the procurement performance of the project these thresholds may be subsequently modified. **Even for Post Review cases, the inputs of Bank on TORs will be obtained by project.** The procurement plan will be updated annually (or at any other time if required) and will reflect any change in prior review thresholds. The World Bank will carry out an annual ex-post procurement review of the procurement falling below the prior review thresholds provided above. To avoid any doubts, the Bank may conduct at any time Independent Procurement Reviews (IPRs) of all the contracts financed under the grant.

**NCB Condition:** National competition for the procurement of goods and works according to the established thresholds will be conducted in accordance with paragraphs 3.3 & 3.4 of Section III of the Guidelines and the following provisions:

- a) Only the model bidding documents for NCB agreed with the GOI Task Force (and as amended for time to time), shall be used for bidding;
- b) Invitations 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;
- c) No special preference 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;
- d) Except with the prior concurrence of the Bank, there shall be no negotiation of price with the bidders, even with the lowest evaluated bidder;
- e) 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);

- f) 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;
- g) Rate contracts entered into by Directorate General of Supplies and Disposals (DGS&D) will not be acceptable as a substitute for NCB procedures unless agreed with the Bank on case to case basis. Such contracts will be acceptable however for any procurement under the Shopping procedures;
- h) Two or three envelope system will not be used (except when using e-procurement system assessed and agreed by the Bank).

**2. Short list comprising entirely of national consultants:** Short list of consultants for services, estimated to cost less than \$ 800,000 equivalent per contract, may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

**3. Any Other Special Selection Arrangements:** Retroactive Financing as per Legal Agreement

**4. Consultancy Assignments with Selection Methods and Time Schedule**

1	2	3	4	5	6	7
Ref. No.	Description of Assignment	Estimated Cost (Rs. Million)	Selection Method	Review by Bank (Prior / Post)	Expected Proposals Submission Date	Comments
CANW-1/IWAI/JMV/1	Detailed Feasibility Study for Capacity Augmentation of National Waterway-1 and Detailed Engineering for its Ancillary Works and processes	454.34	QCBS	Prior	22-Apr-15	Contract awarded at Rs. 188.1 Million + GBP 0.74 Million (excluding applicable taxes)
CANW-1/JMV/IWAI/2	Consultancy for Environmental and Social Impact Assessment (ESIA), Environmental Management Plan (EMP) and Resettlement Action Plan (RAP) for Capacity Augmentation of National Waterway-1 (Jal Marg Vikas)	57.57	QCBS	Prior	30-Jan-15	Contract awarded at Rs. 28.61 Million (excluding applicable taxes)
CANW-1/JMV/IWAI/4	Consultant for IWT Sector Development Strategy and Market Development Study for Capacity Augmentation of National Waterway-1	66.79	QCBS	Prior	13-Mar-15	Contract awarded at Euro 0.84 Million + Rs. 0.62 Million (excluding all applicable taxes)
CANW-1/JMV/IWAI/12	Supporting Services for Design of Inland Vessels for Capacity Augmentation of	23.84	QCBS	Prior	04-Apr-16	Contract awarded at Euro 0.28 Million (excluding all applicable taxes)

	National Waterway – 1 (Jal Marg Vikas Project)					
CANW-1/JMV/IWAI/13	Consultancy for Communications Needs Assessment, Development and Implementation of Communications Strategy and Strategic Communications Support for 'Capacity augmentation of navigational infrastructure of National Waterway-1' between Haldia to Allahabad (Jal Marg Vikas Project)	6.5	QCBS	Post	21-Mar-16	Contract awarded at Rs. 2.16 Million (excluding all applicable taxes)
CANW-1/JMV/IWAI/14	Implementation of Resettlement Action Plan (RAP) for Jal Marg Vikas Project for the Capacity Augmentation of Navigation on National Waterway -1	3.34	QCBS	Post	04-Apr-16	
CANW-1/JMV/IWAI/23	Consultancy for Inland Waterways Transport Institutional Strengthening and Capacity Building	42.49	QCBS	Post	May-16	
CANW-1/JMV/IWAI/24	Technical Support Services Consultancy – Cluster 1 for MMT at Varanasi and Sahibganj (located at Patna)	97.22	QCBS	Prior	Jun-16	
CANW-1/JMV/IWAI/25	Technical Support Services Consultancy – Cluster 2 for MMT at Haldia and Navigation Lock at Farakka (located at Kolkata)	117.96	QCBS	Prior	Jun-16	
CANW-1/JMV/IWAI/26	Consultancy Services for Project Preparatory and Definition Study for Development of Ferry services on NW-1	37.41	QCBS	Prior	Jun-16	Contract awarded at Rs. 14.31 Million + USD 0.47 Million (excluding all applicable taxes)
CANW-1/JMV/IWAI/27	Consultancy Services for Plan and Implementation support for commercialization of NW-1	34.42	QCBS	Prior	Jun-16	Contract awarded at Euro 0.5 Million (excluding all applicable taxes)
	<b>Total</b>	<b>941.88</b>				<b>Rs. 233.8 Million + GBP 0.74 Million + Euro 1.62 Million + USD 0.47 Million worth of contract awarded</b>





CANW-1UM/WA14 / Consultant for IWT Sector Development Strategy and Market Development Study for Capacity Augmentation of National Waterway-1	IBRD / P4740	Component A: Improving the navigability of NW-1 (Raikla to Varanasi) Component B: Institutional Strengthening and improving the investment climate, vessel design and construction framework	Prior	Quality And Cost-Based Selection	Open - International		1,027,490.00	0.00	Under Implementation	2017-03-21	2017-04-10	2017-04-11		2017-05-25	2017-06-01			2017-06-22	2015-03-13	2017-07-22	2017-06-22	2017-08-26		2017-09-30	2018-09-30
CANW-1UM/WA15 / Consultancy Services for Study on the effect of navigational activities on Dolphin in the National Waterway - 1	IBRD / P4740	Component B: Institutional Strengthening and improving the investment climate, vessel design and construction framework	Post	Quality And Cost-Based Selection	Open - International		227,570.85	0.00	Under Implementation	2017-04-07	2017-03-06	2017-04-18		2017-06-01				2017-06-29		2017-07-29		2017-09-02		2017-10-07	2018-10-07
CANW-1UM/WA16 / Consultancy Services for Risk Assessment and Disaster Management Plan for National Waterway-1	IBRD / P4740	Component A: Improving the navigability of NW-1 (Raikla to Varanasi) Component B: Institutional Strengthening and improving the investment climate, vessel design and construction framework	Post	Quality And Cost-Based Selection	Open - International		384,838.06	0.00	Under Implementation	2017-04-11	2017-04-07	2017-04-26		2017-06-09				2017-07-07		2017-08-06		2017-09-10		2017-10-15	2018-04-13
CANW-1UM/WA17 / Consultancy for Assets Management Framework Development for National Waterway-1	IBRD / P4740	Component A: Improving the navigability of NW-1 (Raikla to Varanasi) Component B: Institutional Strengthening and improving the investment climate, vessel design and construction framework	Post	Quality And Cost-Based Selection	Open - International		469,676.11	0.00	Under Implementation	2017-04-11	2017-06-07	2017-05-02		2017-06-15				2017-07-13		2017-08-12		2017-09-16		2017-10-21	2018-06-30

**INDIVIDUAL CONSULTANTS**

Activity Reference No. / Description	Loan / Credit No.	Component	Review Type	Method	Market Approach	Contract Type	Estimated Amount (US\$)	Actual Amount (US\$)	Process Status	Terms of Reference		Invitation to Identified/Selected Consultant		Draft Negotiated Contract		Signed Contract		Contract Completion							
										Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual						